

Cogita

MULTIDISCIPLINARY RESEARCH JOURNAL

Vol. XIV, no. 2/June, 2022

Bucharest, 2022
ISSN 2068-6706

**Cogito Journal is published under the aegis of
“Dimitrie Cantemir” Christian University**

Address: 176 Splaiul Unirii, Bucharest
Phone: 021.330.79.00, 021.330.79.11,
021.330.79.14
Fax: 021.330.87.74
E-mail: cogito.ucdc@yahoo.com

*Cogito Journal is included in IDB ,
SCOPUS, EBSCO, PROQUEST,
CEEOL, INDEX COPERNICUS,
HEINONLINE, DOAJ, ULRICH'S
PERIODICALS DIRECTORY, CNCS
recognized*

Cogita

MULTIDISCIPLINARY RESEARCH JOURNAL

Vol. XIV, no. 2/June, 2022



Every author is responsible for the originality of the article and that the text was not published previously.

CONTENTS

PHILOSOPHY AND RELIGION

A POSSIBLE TRANSDISCIPLINARY APPROACH OF TODAY'S TECHNOLOGICAL EXPANSION.....7

Gabriela Pohoată

BLESSING AS 'SECURITY', AND 'ANTIDOTE' AGAINST CURSE IN LUKE 6:28A..... 18

Christopher Naseri

LAW, POLITICAL SCIENCES AND ECONOMICS

CURRENT CHALLENGES TO PUBLIC ORDER AND SECURITY.....30

Ianuș Erhan

DICHOTOMY OF INVESTING IN NEW TECHNOLOGIES IN CORPORATIONS..... 51

Maik F. Teeuwen,
Alexandru Vladoi,
Arno Schmitz-Urban

THE LEGALITY, PROSPECT, AND CHALLENGES OF ADOPTING AUTOMATED PERSONAL INCOME TAX BY STATES IN NIGERIA: A FACILE STUDY OF EDO STATE64

Paul Atagamen Aidonojie,
Joseph Nwazi,
Ugiomo Eruteya

THE CARPATHIANS AND THE PRODUCTION OF LIMINALITY88

Daria Voyloshnikova

VOTE BUYING AND THE CREDIBILITY OF THE KOGI STATE 2019 GUBERNATORIAL ELECTION IN LOKOJA METROPOLIS	108
Zekeri Momoh	

FOREIGN LANGUAGES AND LITERATURES

LANGUAGE INTERACTION, MAINTENANCE, AND LOSS IN MAKASSAR: A SOCIOLINGUISTIC STUDY.....	125
Iskandar Iskandar, Abdullah Abdullah, Munir Munir	

STRATEGIES OF EXPLICIT AND IMPLICIT REALIZATION OF MODALITY IN INTERSEMIOTIC TRANSLATION.....	145
Nataliia Holubenko	

THE AESTHETICS OF ETERNAL PARADOX: ENDLESS DIALOGUE BETWEEN ISLAMIC AND MINANGKABAU THOUGHT IN WISRAN HADI'S DRAMATURGY	160
Dede Pramayoza	

BUN'YABUSHI A LESS KNOWN FORM OF JAPANESE PUPPET ENTERTAINMENT AND ITS IMPLICATIONS FOR THEATE	181
Rosa Isabella Furnari	

A POSSIBLE TRANSDISCIPLINARY APPROACH OF TODAY'S TECHNOLOGICAL EXPANSION

Gabriela Pohoată*

gabriela_pohoata@yahoo.com

“The unhappiness of our epoch lies in the excess of science and in the forgetfulness of existence and innerness”¹
Soren Kierkegaard

Abstract: *The current research work aims at analyzing the relationship between the intellectual development of the human being and the advancement of current technology, trying to identify the limits of this relationship. We start from the premise that the transdisciplinary approach, by making use of fundamentals, can provide an insight both into the current technological reality and its future perspectives. The recourse to philosophy to understand what is happening today with man in relation to technology is conferred by the need to seek the basis of this progress of human thought that is not immune to insurmountable difficulties and undesirable effects.*

Keywords: *technology, mind, consciousness, philosophy, intuition, modern man, science.*

A philosophical analysis of the current technological reality cannot avoid the problematization of the way in which man relates to knowledge in the exercise of his own consciousness, of his own mind. Human thinking, in its ascent to the truth, always generates limits that, once pushed, inevitably lead to solutions in aporetic keys. Genuine knowledge supposes a redirection and reorientation of the intellectual perspective from "technical" to "non-technical" problems so that, at some point, following a moment of sudden enlightenment (as Plato says in Letter VII), the *nous*, fully awake, may be able to comprise, in a single embrace, the

* Prof. PhD. Hab., The Faculty of Judicial and Administrative Sciences, “Dimitrie Cantemir” Christian University, Bucharest.

** Translated by Mihaela Mocanu Lecturer PhD., The Faculty of Foreign Languages and Literatures, “Dimitrie Cantemir” Christian University, Bucharest.

¹ Soren Kierkegaard, *Philosophical Bits and Pieces*, Timișoara, Amarcord Publishing House, 1999.

whole reality.² The role of transdisciplinarity is to make coexist in today's man both the subjective objectivity of science and the objective subjectivity of tradition³, and to place the human at the crossroads of scientific honesty and the pathos of tradition. Analyzing the principle of objectification characteristic of modern science, Schrodinger observed that “the scientific world has become objective in such an odious way that it has eliminated the possibility of its spirit and immediate sensations and that modern science is based on objectification and has thus lost the possibility of an adequate understanding of the subject of knowledge.⁴ Most important scientists subscribe to the thesis that “progressive distance from the outside world is the price paid to know something about the world.” Schrodinger's statement can be included in the same thematic register, according to which “the suppression of the Subject of Knowledge from the image of the objective world is the high price we would paid for the image to be quite satisfactory.⁵ The old urge of philosophy “know thyself” seems to no longer make sense now, when neuroscience comes to tell us that we, humans, do not really have a “self”. It eloquently proves to us, through experiments made on the brain, that we are, each of us, a bunch of psychic and neural phenomena, raised on physiological ground. We are, in short, “something” who believes to be “someone”. “We are the Self-Tool, natural information processing systems, which emerged in the process of biological evolution on this planet. The Self is a tool - one that has evolved to control and predict one's own behavior and the understanding of others' behaviour. Each of us lives his conscious life in his own Tunnel of the Ego, not in direct contact with the external reality, but possessing an inner perspective, of the first person”.⁶

Modern epistemology and current technology

Modern philosophy begins with the problem of method outlined simultaneously in England and France.⁷ In modern times the dominant philosophy was epistemology or the philosophy of science. In this sense, the scientific and philosophical contribution brought by R. Descartes is

² Andrei Cornea, *Interpretation to Plato's Republic, Works*, vol. V, Bucharest, The Scientific and Encyclopaedic Publishing House, 1986, p. 76.

³ Basarab Nicolescu, *We, the Particle and the World*, translated by V. Sporic, Iași, Polirom Publishing House, 2002, p. 143.

⁴ Erwin Schrodinger, *What is life? Spirit and Matter*, translated by V. Efimov, The Political Publishing House, Bucharest, 1980, p. 149.

⁵ Ibidem

⁶ Thomas Metzinger, *The Ego Tunnel. The Science of the Mind and the Myth of the Self*, Bucharest, Humanitas, 2015.

⁷ P.P. Negulescu, *The Problem of Knowledge in Selected Works*, vol. I, Bucharest, The Romanian Publishing House, 1965.

crucial for the further development of modern science. By developing his method, Descartes wanted to provide a procedure capable of providing the seeker of truth with clear and distinct knowledge that is fully true and certain.⁸ For Descartes, “clear and distinct parts” represent everything that is part of the field of pure mathematics.⁹ Descartes is the one who introduced the systematic and uniform use of symbols in mathematics and natural sciences. The mathematical and physical notations used today are the Cartesian ones. He is followed in this project by the scholars of the 17th-18th century, of which we mention here only Galileo Galilei and Isaac Newton with his program of mathematization (equation) of the laws of nature. But the Leibnizian project of elaborating a universal symbolic language is the most consistent and will be completed at the end of the 19th century by means of Frege's *Ideography*, and in the second half of the 20th century, by the appearance of informatics and electronic computers. Indeed, contemporary computer science has its origins in Leibniz's theoretical projects and practical achievements. Ion Vezeanu states that “Leibniz is the founder of informatics”.¹⁰ He is the one who rediscovers the binary calculus (0.1), according to a Chinese manuscript entrusted by a Jesuit monk, absolutely necessary in the operation of computers, and not Georges Boole, as the official historiography states.¹¹ This calculation seemed indecipherable to the scientists of the time, but Leibniz managed to prove that it was the arithmetic calculation in the numbering base two; moreover, he finds theoretical justification and practical applications according to the project of a *Lingua Characteristica Universalis*. Through universal formal language, Leibniz envisages two objectives: to formalize the philosophical and scientific language so that we can “disambiguate the natural languages and calculate with the concepts”.¹² Thus, scholarly discourses would become “blind, effective, certain, and universally accessible”. It is about the idea of “blind thinking associated with scientific

⁸ R. Descartes, *Discourse on the Method of Rightly Conducting One's Reason and of Seeking Truth in the Sciences*, translated by Daniela Roventă-Frumușani and Alex. Boboc, Bucharest, The Romanian Academy Publishing House, 1990, p. 122.

⁹ Idem, *Meditations on the First Philosophy* in which the existence of God and the real difference between man's soul and body are demonstrated, translated by Ion Papuc, Bucharest, Crater Publishing House, 1993, p. 20.

¹⁰ Ion Vezeanu, G.W. Leibniz - 300 years after his death, *Leibniz-Communication, Knowledge, Language* The Philosophy Journal, Bucharest, The Romanian Academy Publishing House, 2016, LXIII, p. 4, p. 381-419.

¹¹ Leibniz, *De Progressione Dyadica*, mars 15, 1679 (Gerhardt Publishing House), *Mathematische Schriften*, III, B, 2-3, p. 228-234, cf. also, *Opuscules et fragments inédits de Leibniz* (Conturat Publishing House), 1903, p. 279-280.

¹² Idem, *Lingua Universalis*, in *Philosophische Schriften*, VII, B, III, 4 (ed. Gerhardt) cf. de asemenea *Opuscules et fragments inédits de Leibniz* (ed. Couturat), 1903, p. 278, 574.

thinking, implied by Leibniz. Indeed, thinking in the exact sciences, computational, algorithmic thinking, using recurring formulas, is blind because we can use it effectively, without really understanding how it works. Hence, the construction of some computing machines.¹³ Thus, we can observe, in algebraic calculation models, by recurrence formulas, that precise, certain results can be obtained. This is what happens nowadays, when anyone can use a computer to get extraordinary results without having the slightest idea about computer programming or electronics. Leibniz's idea is that in this way we can benefit from very powerful tools, without necessarily knowing how they work internally. Through scientific "blind thinking" we obtain an extraordinary technical efficiency. This is possible through the symbolic formalization of language. The Leibnizian project is not only theoretical, but also practical; it has been achieved in multiple technical and scientific fields. What was possible at the formal level has been updated at the technical level. Cum Praxis Theory.¹⁴ As the research of his work reveals, Leibniz's philosophy revolves around two closely related concepts, namely: that of a universal **symbolism** and that of a **calculation** of reason. Today's arithmetic names and the symbolic logic of today originate from it. Leibniz's ration calculus contains the germs of the logic machine, the racionatrix machine exactly as the arithmetic calculation was used from the table and the calculation machine to today's ultra-fast automated ones".¹⁵ Ever since the *Dissertatio de arte combinatoria* (1666) the searches of a *Scientia generalis* have intertwined with those of a *mathesis universalis* to achieve an approach of knowledge with the help of rules or a "symbolic language" properly chosen for all concepts and fields. With the developments around logical calculus and the "universal feature", the author's concerns for their application are correlated, an eloquent example being the calculator (the first in the world, built on the principle that underlies any electric and automatic calculator, but not electronic). According to more recent information,

Leibniz presented the Chinese emperor Kong-his (from the Quing dynasty) with such a car (which, unfortunately, was never found!), whose principle underlay the cars that were built using "*Chinese concepts*", "*engraved in Latin letters*".¹⁶ This does not necessarily mean that "such

¹³ Leibniz's calculating machine was described in 1710, in *Miscellanca Beronilenesia ad Incrementum Scientiarum*, 1710-1743: the machine is preserved at the Hanover Library.

¹⁴ G. Pohoată, *Metaphysics and Science in Leibniz's Work*, Bucharest, Pro Universitaria, 2017, p. 55.

¹⁵ A. Timm, *Leibniz im Vorfeld der Kybernetik*, in: *Leibniz. Sein Leben-Sein Wirken-Sein Welt*, hrsg.von W. Totok und C. Haase, Verlag fur Literatur und Zeitgeschehen, Hannover, 1966, pp. 459-460.

¹⁶ Wei Hsiung, *Leibniz und Kong-His (Cam-hy)*, in: *Leibniz.Tradition und Aktualitat. V.*, Internatonaler Leibniz-Kongress, 1988, Vortrage, II, p. 244, 246.

cars were produced in Europe; they could just as well be built in China, but, in any case, according to a European model.”¹⁷ However, this is not unrelated to the idea of an “*ars invendiendi*”, in general, with the “*universal calculation*” project, which involves “*concept analysis*”, joining combinatorics with innovation: “*If the calculation is only the purpose for **ars invendiendi**, characteristic is, indeed, its source. In fact, it is the common feature of analysis and synthesis, for **ars demonstrandi**, for logic and mathematics*”.¹⁸ In fact, Leibniz's dream of “*leading theoretical and practical problems to an indivisible systematic unity*” implies understanding science in a twofold aspect, namely, *as theory and practice, which is in line with his motto “Theoria cum Praxis” corresponding to the typical Leibnizian method of a combined theory and practice*.¹⁹ There are several arguments that entitle us to support the idea that Leibniz is undoubtedly the founder of computer science, his theoretical conception being tacitly taken over by contemporary computer scientists.

The human mind between science and technology

The first step in the analysis of this relationship envisages the distinction between *understanding* - as a mental quality and *calculability*, moreover, what is not and cannot be calculated. All the calculators can do is calculate (this is how they were programmed). Even if we considered an idealized calculator, called the Turing machine (which differs from a common electronic calculator due to the fact that it has an unlimited information storage space and can run the calculation process indefinitely, without making any mistakes and without wearing out), and we would ask it, for example, to find an odd number which is the sum of two even numbers, it will calculate endlessly. The computer does not have an understanding, which cannot be just a mere matter of calculation. It supposes a certain type of consciousness. *Artificial intelligence versus natural intelligence has no emotions and consciousness*. In other words, the mere execution of an algorithm, even if successfully accomplished, does not imply in itself that an understanding of any kind has occurred. Penrose states that²⁰, in our own consciousness, we are able to perform actions that are above any kind of computational activity, and that human understanding — a particular manifestation of consciousness —

¹⁷ Ibidem, p. 247.

¹⁸ H. Benis-Sinaceur, *Ars invendiendi aujourd'hui*, in: Leibniz.Tradition und Aktualitat. V. Internationaler Leibniz-Kongress, 1988, Vortrage II, p. 63.

¹⁹ L. Cabanas, << *L'ars invendiendi* >>chez Leibniz: *une perfection vers la modernité*, in *op. cit.*, p. 129, 130.

²⁰ Roger Penrose, *The Shadows of the Mind*, translated by Dana Jalobeanu, Bucharest, The Tehnical Publishing House, 1999, p. 78.

accomplishes something that cannot be done by any computational system, so, naturally, the behavior of the brain is largely random. How could feelings involving consciousness (happiness, pain, love, will, understanding, etc.) be part of a computational picture? Penrose states that the incalculable aspects of consciousness can be related to some extent to quantum mechanics, and the physical world derives in a sense from Plato's world of mathematics. "We are thus guided to a Platonic point of view, where mathematical concepts and truths exist in a world of their own, without time and without physical space.²¹ Therefore, understanding would take place through a non-computational activity of the mind and brain. The author of the book *The Shadows of the Mind* argues that mental faculties must be above what is computational. Starting from Godel's theorems, Penrose shows that there is a non-computational activity in conscious thinking, an activity that contradicts the fact that any state of consciousness produced in any way by the activity of the brain would be the result of the action of calculation. From this perspective, mathematical understanding cannot be reduced to a blind calculation. "Everything we do with our brains or our minds when we understand math is different from everything we can get from a calculator."²² So, in mathematics we find the clearest proof that there is something that cannot be reduced to calculus.²³ Godel's theorems show that what is accessible to mathematicians - and, in fact, to all who can think logically with understanding and imagination - is somewhere above all that can be formalized as a set of rules. Rules can sometimes be a partial substitute for understanding, but they can never completely replace it. We analyze the lesser common argument that, in the case of mathematics, the way to get to the truth is a non-algorithmic one, which uses both intuition and understanding, so that our thought process cannot have an entirely algorithmic nature. In other words, we can have access to the truth, but without the possibility of proving it. "The notion of mathematical truth goes beyond the whole concept of formalism. Mathematical truth has an absolute and God-given character."²⁴ Penrose's arguments after Godel lead to the observation that an essential component in understanding mathematical truth is human consciousness itself, which is in fact an arbiter of ideas. Also, one cannot speak of a total translation of intuition into any kind of language.²⁵ "The formalization without residues of the complete intuition at

²¹ Dan Răileanu, *The Perspective of Philosophy*, in vol. *Transcendental Reality. A Fusion of Horizons of Theology, Philosophy*, Bucharest, Curtea veche Publishing House, 2010, p. 217.

²² R. Penrose, *op. cit.*, p. 78-92.

²³ Ibidem.

²⁴ R. Penrose, *The everyday human mind*, cited ed..., p. 127.

²⁵ It is about heuristic intuition, an expression of heuristic, divergent thinking (apud. J.P. Guilford-American Psychologist in *General Psychology*, NY, 1939).

a certain moment is impossible.”²⁶ In fact, the “texture of reality” should be perceived as such, according to the idea that mathematical intuition is the one that opens a window to the foundations of the world. And if the mind has access to immaterial realities, then we have to postulate that it cannot be the same as the brain (it depends on the nature of the evidence) and, moreover, perhaps this discourse about the mind-brain relationship should be approached from a logical-mathematical perspective. In other words, what happens in our minds can never be explained in terms of a physicalist language. We could say that there is, somehow, a „transcendental barrier”²⁷ in the way of standardizing human thinking, which makes us recognize that something always escapes our knowledge, no matter how advanced it may be. Artificial intelligence cannot capture the meaning of existence, which is in human inwardness, and man's need for metaphysics, man's aspiration for perfection, for the Absolute cannot be programmed even by the greatest computer in the world.

Absolutization of current technology and loss of human freedom

We live in a super-informational society. The exponents of the Viennese school support the idea that technology is a tool in relation to man and not vice versa. Technology must be managed, in the sense that it brings added value, improves comfort, but, if the limits are exceeded, human capabilities are annihilated. It may as well be stated that it hones your skills until it annihilates them. Memory has weakened, so has attention, etc. Man's thinking, and especially youngsters' thinking, is deeply affected, through both conscious and unconscious manipulation, as myriads of information that have nothing to do with truth and objectivity in science are being conveyed. Young people's psyche is marked by anxiety, depression, even by some forms of autism. It is not the technology itself that harms, but the way it is used, being transformed from a means into an end. Becoming addicted to modern technologies, our freedom is suppressed. Our normal operating ethic has been affected. We were created in a certain way. Modern man moves faster and wants to obtain the Absolute not through a process of “dialectical ascension”²⁸, but in a

²⁶ Wang Hao, *Studies of Mathematical Logic*, translated by Sorin Vieru și Morgestein, 1979.

²⁷ The syntagm appears in Lucian Blaga's work (the greatest Romanian philosopher of the interwar period), when he explains in the *The Upsurge of the Island* that man cannot get to know the Absolute because the Great Anonymous (he could somehow be identified with God) imposes a transcendental barrier on man, but not in the way of knowledge in general, only in the way of Absolute knowledge.

²⁸ Platon, *The Republic, Book VII, The Myth of the Cave, Opere vol. V*, Bucharest, the Scientific and Encyclopaedic Publishing House, 1986.

pragmatic, technical manner, in front of the computer, quickly, making the greatest confusion and existential error. We live in a modern and democratic world but which it is under a kind of technological dictatorship. Everything is based on technology. You cannot evolve in any field without mastering some minimal knowledge to work on a computer, iPad, mobile phone, etc. Modern man's life is taking place in the garden of computer science. But from here to the absolutization of technology, it is a huge distance. Modern technology is necessary because, otherwise, scientific progress could not be explained, but it must remain only a means to facilitate and modernize human activities. Absolutizing current technology could mean that it represents the meaning of existence itself, which would be a regrettable mistake. The excessive use of technology, the exacerbation of its role for today's man and for what the "man of the future" will be, have led, perhaps, to the greatest "deficit of being"²⁹ in human history. Today's man lives in the "forgetfulness of being"³⁰, he has become estranged from himself and those around him. Paradoxically, although he has the most sophisticated means of communication, he is more lonely than ever. When Fr. wrote "God is dead"³¹, he did not deny the existence of God but warned of the *deficit of being* that characterized the time in which he lived and, somehow, foreshadowed, with prophetic visions, the current world, devoid of rationality, wisdom and morality. But philosophers did not kill God. Their work was much more subtle - they conceptualized it. The deficit of being that dominates today's world which, so much submitted to the temptation of technology, of advanced technologies, is, in fact, a natural deficit of humanity, under the circumstances of a deficit of meaning, of gods, of logos, of truth and of love.³² From such a perspective, *today's man* is alone and forced to take the moral and human risk in which he participates, living the biggest error of this time that no longer has patience.

Instead of conclusion

Undoubtedly, scientific and technological progress has reached unimaginable heights, which shows the development of thinking and creativity of today's man. No one can deny these amazing performances of human intelligence. But, these performances are quantifiable, from a material point of view, when it comes to material, technological progress. But we cannot speak to the same extent about the moral, spiritual progress

²⁹ C. Mitră, *The Offended Man*, Bucharest, Parallel 45 Publishing House, 2007, p. 15.

³⁰ M. Heidegger, *Letter On Humanism in The Origin of the Work of Art*, Bucharest, Univers, 1982.

³¹ Fr. Nietzsche, in *The Gay Science*, Bucharest, Humanitas Publishing House, 2006.

³² C. Mitră, *op. cit.*

of today's man, for whom material values are paramount to the detriment of spiritual ones. We live in a ubiquitously mercantiled world based on material gains, obtained rapidly, thanks to technology, whether it is computer games or easy marketing techniques, which do not require much study and higher education. It is said that only technical skills and the functional side of intelligence are sufficient, without the need to go through all the stages of scientific knowledge, through systematic and institutionalized study. This manipulation of young people's intelligence is devoid of any ethics of care which, in perspective, will cause a great paideutic impasse for the future generations. By analyzing the relationship between the evolution of technology and the deficit of morality existing in today's world, we bring into discussion an economic concept, that of *opportunity cost*, which is not a cost in money - it is a *real cost* and expresses "gain through loss": in this case, the gain is conferred by the amazing performance of technology that makes our lives easier, not necessarily happier: as long as we are dependent on mobile phones, social networks, iPad, computer, etc., our freedom becomes an illusion. We have the impression that we are free and happy, but in reality we are not aware of the long-term negative consequences on our physical health, but especially our mental health. We are contemporaries of a huge leap at intellectual level made by man, especially important for today's hyperconsumption society. Technique and technology have represented and still represent an existential support, especially in the state of „ontological precariousness” generated by the pandemic that has covered and affected the entire planet. We doubt that the man of the future will be happier than he is today. Equally, the arguments put forward in the text justify us to assert that, regardless of the technological expansion, otherwise desirable, but not out of control, *the human mind cannot be replaced by anyone and anything, because despite the advancement of scientific and philosophical research, it still remains a mystery*. Not coincidentally did K. Jaspers point out “*As long as people exist, they will never cease to conquer themselves*”³³, which is meant to warn us that the greatest conquest of man remains that of the self. In other words, “anthropological knowledge remains the only way to know the universe, because the divine mysteries are hidden only in man's sense of self, in his self-consciousness...in the consciousness of man is the secret of the world.”³⁴

³³ K. Jaspers, *Philosophical Texts*, Bucharest, The Political Publishing House, 1986.

³⁴ N. Berdiaev, *The Sense of Creation*, chap, “*Man Microcosm and Macrocosm*”, Bucharest, Humanitas Publishing House, 1994, p. 68.

References

- Benis-Sinaceur, H., (1988), *L'Arts invendiendi aujourd'hui*, in: Leibniz. Tradition und Aktualitat. V. Internationaler Leibniz-Kongress, Vortrage II.
- Berdiaev, N., (1994), *The Sense of Creation*, chap. "Man Microcosm and Macrocosm", Bucharest, Humanitas Publishing House.
- Cabanas L., (1988), << *L'ars invendiendi* >>chez Leibniz: une perfection vers la modernité, in: Leibniz.Tradition und Aktualitat. V. Internationaler Leibniz-Kongress, Vortrage II.
- Couturat, L., (1903), *Opuscles et fragments inedits de Leibniz*, Paris, Alcan.
- Cornea, A., (1986), *Interpretation to Plato's Republic, Works*, vol. V, Bucharest, The Scientific and Encyclopaedic Publishing House.
- Descartes, R., (1990), *Discourse on the Method of Rightly Conducting One's Reason and of Seeking Truth in the Sciences*, translated by Daniela Roventă-Frumușani and Alex. Boboc, Bucharest, The Romanian Academy Publishing House.
- Heidegger, M., (1982), *Letter On Humanism in The Origin of the Work of Art*, Bucharest, Univers Publishing House.
- Hsiung, W., (1988), *Leibniz und Kong-His (Cam-hy)*, in: *Leibniz.Tradition und Aktualitat. V.*, Internatonaler Leibniz-Kongress.
- Jaspers, K., (1986), *Philosophical Texts*, Bucharest, The Political Publishing House.
- Kierkegaard, S., (1999), *Philosophical Bits and Pieces*, Timișoara, Amarcord Publishing House.
- Leibniz, G.W., (1995), *Discours de metaphysique suivi de Monadologie*, preface, presentations et notes de L. Bouquiaux, Paris, Galimard.
- Metzinger, Th., (2015), *The Ego Tunnel. The Science of the Mind and the Myth of the Self*, Bucharest, Humanitas.
- Mitră, C., (2007), *The Offended Man*, Bucharest, Parallel 45 Publishing House.
- Negulescu P.P., (1965), *The Problem of Knowledge in Selected Works*, vol. I, Bucharest, The Romanian Publishing House.
- Nicolescu, B., (2002), *We, the Particle and the World*, translated by V. Sporici, Iași, Polirom Publishing House.
- Nietzsche, Fr., (2006), in *The Gay Science*, Bucharest, Humanitas Publishing House.
- Penrose R., (1999), *The Shadows of the Mind*, translated by Dana Jalobeanu, Bucharest, The Tehnical Publishing House.
- Platon, (1986), *The Republic, Book VII, The Myth of the Cave, Opere vol. V*, Bucharest, the Scientific and Encyclopaedic Publishing House.

Pohoăț, G., (2017), *Metaphysics and Science in Leibniz's Work*, Bucharest, Prouniversitaria.

Răileanu, D., (2010), *The Perspective of Philosophy*, in vol. *Transcendental Reality. A Fusion of Horizons of Theology, Philosophy*, Bucharest, Curtea veche Publishing House.

Schrodinger, E., (1980), *What is life? Spirit and Matter*, translated by V. Efimov, Bucharest, The Political Publishing House.

Timm, A., (1966), *Leibniz im Vorfeld der Kybernetik*, in: *Leibniz. Sein Leben-Sein Wirken-Sein Welt*, hrsg.von W. Totok und C. Haase, Verlag fur Literatur und Zeitgeschehen, Hannover.

Vezeanu, I., (2016), *G.W. Leibniz - 300 years after his death, Leibniz-Communication, Knowledge, Language* The Philosophy Journal LXIII, Bucharest, The Romanian Academy Publishing House.

BLESSING AS ‘SECURITY’, AND ‘ANTIDOTE’ AGAINST CURSE IN LUKE 6:28A.

Christopher Naseri*

chrisnaseri@unical.edu.ng
and paxcasa@yahoo.com

Abstract: *The trend of Christianity in Nigeria today is the emphasis on susceptibility to curses, and ‘inherited curses and effects’. It is in this context that this work examines the exhortation of Jesus on returning blessing for a curse (Luke 6:28a). The work undertakes an exegetical study of Luke 6:28a. It concludes that: Discipleship in Luke implies membership in the family of the blessed people of God. Christians are recipients of the promised mercy and blessing from God through Christ and therefore a blessed people. Being blessed by God implies being protected against all forms of curses, and being transformed into dispensers blessing. Assured therefore of God’s protection in the blessing received, Christians are mandated to bring that blessing to bear on their societies, remit blessings even in response to curses and persecutions. Because having been blessed they are protected against curses. While being blessed secures one against curses, returning blessing for a curse enforces that security and serves as an antidote. Christians should never curse; it goes against their mission as dispensers of blessings. Christians should never be afraid of being cursed, because they are fortified against any curse, and membership in Christ breaks and impedes all forms of curses.*

Keywords: *Antidote, Blessing, Curse, Discipleship, Intergenerational Curse, Security.*

Introduction

Blessing and cursing are objects of belief in religion; it is generally believed that there are beings and forces responsible for positive things like fame, health, life, and prosperity, and other forces that are sources of evil. These distinct forces are often invoked to transmit the required good or evil. Christianity identifies God as the source of blessing. The verb ‘to bless’ denotes an appeal to God in his gracious power to bestow special favour upon the person or thing blessed. The bestowal of such favour is believed to empower the recipient, and render him/her favoured and protected by God and capable of enhancing the blessing of others. What is blessed is considered consecrated and therefore impervious to that which

* Senior Lecturer, Department of Religious and Cultural Studies, University of Calabar, Nigeria.

is contrary to blessing. 'To curse' on the other hand, denotes an invitation of disfavour on someone or something. To bar or exclude one from benefits and protection from God through various means supernatural or natural. What is cursed is execrated and vulnerable and is dreaded as the possible source of bad fortune for those s/he comes in contact with.

One recurrent phrase in the Christian Media in Nigeria and at pastoral counselling with Christians in the parish office is 'inherited curses and effects'. The phrase 'inherited curses and effects' or 'intergenerational curse' is used in this work to refer to the belief that curses inflicted on parents run through the family and have effects on generations after them. This is a common African religious belief; found also in other world religions. Its presence in Judaism is evident in the Old Testament. While some texts like Exodus 34:6-7; Deut 5:8-10; Lev 26:39; Exodus 20:5 and Numbers 14:18 profess belief in the intergenerational migration of sins, others like Deut 24:16; 2 Kings 14:6; Ezekiel 18:20 and Jer 31:30 oppose it. The two positions however substantiate the existence of such belief among the Jews of the time. The grip of this traditional belief on the Old Testament people is carried over to the New Testament. The disciples question Jesus about the man born blind in John 9:1-3. It implies that among the people there was a belief that when parents sinned the effects of their sins were passed on to their children, and when there was a curse it migrated to the next generation. The question now is; can a Christian be subject to intergenerational curses? This work attempts to provide an answer to this question by studying the phrase in Luke 6:28a. It undertakes a conceptual clarification of the terms blessing and curse in the Old and New Testaments and identifies that the two terms are opposed to each other; what is blessed is impervious to a curse and remains a channel of further blessings. It acknowledges that the invitation to bless those who curse in Luke 6:28a does not directly address the question above. An analysis of the text however reveals that the invitation by the Lucan Jesus to bless those who curse is founded on the presupposition that as Jesus' followers the disciples are already blessed and therefore belong to the new family of those blessed and favoured by God. Having been blessed disciples are not vulnerable to curses, they are instead channels of blessing. As they bless (even in response to being cursed) in the exercise of their duties as those called to bless, their blessing emasculates the curses invoked on them. Consequently, Christians today are by their baptism disciples of Jesus and a blessed people. They are therefore not subject to intergenerational curses.

Conceptual Clarifications: Blessing and Curse

The terms used in the Old Testament for the verb to curse include the piel perfect קלל *killel* and the qal perfect אָרַר *arar*. *Killel* denotes a wide

range of injurious activity from verbal abuse to physical harm. Its primary meaning is 'to treat lightly'; this implies 'to treat with contempt', to despise, to abuse. And where the divine is the object it denotes disrespect for the 'ethical standards ordered by God.¹ The term *arar* on the other hand denotes curse from an operational perspective. It implies effecting a ban with a view to excluding; to anathematize, to bind or bar from certain kind of benefits; some form of a spell.² The LXX often translates these two Hebrew words with καταράομαι *kataraoimai* (see Gen 12:3). *Kataraoimai* therefore means 'to curse' or 'to execrate' someone or something.³ Curses are utterances designed to cause harm by supernatural operations. They are a declaration of evil that brings about harm to someone, the harm itself, or the invocation of the harm. They demand belief for their fulfilment and once uttered act independently of those who utter them. The person cursed is thus, believed to be exposed to the influence of destructive power that works effectively and irrevocably against the person execrated until the power that dwells in the curse is spent. William J. Urbrock however acknowledges the fact that measures have been used in the bible to counter uttered curses and are, therefore not inexorable (Judges 17:1-3; 2 Sam 14:24-30; 36-45). Using Gen 12:3 Urbrock notes that steps are taken in advance to insure blessing and avert curses. He concludes that blessings and curses are not automatic and irrevocable, their effectiveness depends on the authority of the person who pronounces them, the appropriateness of the time and place and the rightness of the expected rituals and gestures, and God willing they can be revoked.⁴ W. Mundle is of the opinion that 'cursing' in the context of Mark 11: 21 is a divine judgement that is exclusive of humans. Therefore humans must not take active part in divine judgement and Christians are forbidden to curse. They should love their enemies and bless those who curse them.⁵

The words frequently used in the Old Testament for the verb 'to bless' and the noun 'blessing' are *barak* and *berakah* respectively. *Berakah*

¹ F. Brown, S. Driver & C. Briggs, 'קלל' *kalal*, *The Brown-Driver-Briggs Hebrew and English Lexicon*, Peabody, MA: Hendrickson, 2005, p. 886.

² F. Brown, S. Driver & C. Briggs, 'אַרַר' *arar*, *The Brown-Driver-Briggs Hebrew and English Lexicon*, p. 76.

³ W. Bauer, 'καταράομαι *kataraoimai*', *A Greek English Lexicon of the New Testament and Early Christian Literature*, 3rd ed. Chicago: University of Chicago Press, 2000, p. 525.

⁴ W.J. Urbrock, 'Blessing and Curses', in David Noel Freedman (ed.), *The Anchor Bible Dictionary* vol. 1, New York, N.Y: Doubleday, 1992, p. 755.

⁵ W. Mundle, 'Curse, Insult, Fool; καταράομαι', in Colin Brown (ed.), *The New International Dictionary of the New Testament* vol. 1, Grand Rapids, MI: Zondervan, 1975, p. 417; For other details on curses see A. M. Kitz, 'Curses and Cursing in the Ancient Near East', *Religion Compass* vol. 1, no 6, 2007, pp. 615-27.

equally denotes 'being blessed', 'being filled with blessing', and the specific benefits of blessing (benefaction or enablement) like good fortune and power. They two Hebrew words are commonly translated as εὐλογέω and εὐλογία in the LXX and New Testament. The state of happiness arising from being favoured is expressed with the Greek μακάριος *makarios* (see Matt 5 and Luke 6). Being favoured however, implies receiving blessings from and being blessed by God. Thus in Luke 1:42 and 45 the two roots are used interchangeably; here Elizabeth acclaims Mary as both εὐλογημένη *eulogeḗmene* and μακάρια *makaria*. Literally εὖ λέγειν means 'to speak well' both in terms of 'speaking finely' or 'speaking well of someone'.⁶ It implies 'to say something commendatory of someone or something, to praise or extol' or to call for a bestowal of special favour, especially God's gracious power upon someone (Mark 10:16; Luke 6:28), or things which, are by implication consecrated (Mark 8:7; Luke 9:16).⁷ It also implies to provide with benefits.

The Source of Blessing

The Old Testament representation of blessing is understood as a passing on of life from God to the one blessed. This life implies such goods as vitality, health, long life, fertility, prosperity, power and numerous children as evident in Gen 12:3 and Psalm 127. All of these contents make up the Hebrew expression *Shalom*. Numerous progeny and fertility are dominant motifs in the consequences of blessings and invariably, their absence derives from a curse. God is the one who possesses and dispenses all blessings; this divine blessing is best summarised in the promise of Gen 26:3 'I will be with you' (see also Gen 17:7f). The primary source of blessing is, therefore, God himself, he is the ultimate source of power that controls all good and evil (Isa 45:6), no blessing or curse can become operative without his assent. But humans by virtue of their functions and authority bless by praying Yahweh to bless and thus hook onto God's continuous favourable working to bring about the good of the world of nature and of the individuals⁸. Humans and objects too are blessed and turned into sources and models of blessing; thus God blessed the seventh day by making it a source of blessing in Gen 2:3 and blesses Abraham by making him and his generation a formula or medium and model of blessing for the

⁶ H.W. Beyer, 'εὐλογέω *eulogeō*, εὐλογία *eulogia*', in Gerhard Kittel (ed.), *Theological Dictionary of the New Testament* vol. 2, Grand Rapids, MI: Eerdmanns, 1964, pp. 754 & 755.

⁷ W. Bauer, 'εὐλογέω *eulogeō*', *A Greek English Lexicon of the New Testament and Early Christian Literature*, p. 408.

⁸ M. Champlin, 'A Biblical Theology of Blessing in Genesis', *Themelios* vol. 42, no. 1, 2017, p. 69.

nations (Gen 12:3)⁹. The one who blesses is in some form a representative of God and acts on God's behalf in the exercise of the responsibility entrusted to him by God (Gen 9:26-27). In blessing one entrusts the person or thing blessed into God's protection. Blessing is transmitted as an inheritance in the context of a family (Gen 49:26). It is often communicated through words, gestures and the imposition of hands. Through the hand contacts the blessing is considered to flow from the one who blesses to the one blessed. The same applies to a curse.

Kent Harold Richards identifies 'the statement of relationship between parties' as primary factor in blessing¹⁰. Blessing takes place in the context of a relationship between parties, it brings to light the favourable state of the relationship between the parties (Gen 21:1-3; Deut 7:14-16). Through the blessing received, the recipients and others are made conscious of the value attached to the relationship and consequently its desirability (Job 42:13). This applies to both divine-human relationships and human-human relationships. 'Human blessings portray the goodwill between parties and find their basis in the human-divine relationship. Just as with God's blessing, they may either convey benediction (Num 6: 24-26) or benefaction (Gen 33:11)'.¹¹ Blessing is also used to entail 'thanks', 'praise', or even 'worship'; each of these is predicated on a good deed done or expected. It may also be an act of greeting or prayer that invokes good for someone or seeks to avert or neutralize evil.

Peculiarity of Blessing

One peculiarity of solemn blessings is their independence from the one who utters them. They are 'entities endowed with a vital reality'; once the blessing is spoken, it is irrevocable, irresistible and cannot be annulled.¹² The utterances act independently of the subject that utters them. Thus Isaac could not take back Esau's blessing mistakenly placed on Jacob: 'and now blessed he will remain' (Gen 27:33). Once blessed one cannot be stripped of the blessing and not even a curse can counter the blessing; the blessing especially from Yahweh repels the curse and renders a curse impenetrable and ineffective. The one or thing blessed is endowed with the communicated power and set apart and becomes a 'blessing' and a source of blessings affecting everything it comes in contact with; it

⁹ M.D. Carroll R., 'Blessing the Nations: Toward a Biblical Theology of Mission from Genesis', *Bulletin of Biblical Research* vol. 10, no. 1, 2000, p. 23.

¹⁰ K.H. Richards, 'Bless/Blessing' in David Noel Freedman (ed.), *The Anchor Bible Dictionary* vol. 1, New York, N.Y: Doubleday, 1992, p. 754.

¹¹ K.H. Richards, 'Bless/Blessing', p. 754.

¹² J.L. McKenzie, *Dictionary of the Bible*, Milwaukee: Bruce Publishing Company, 1965, p. 98.

becomes impenetrable to a curse.¹³ Thus hired to curse Israel Balaam could not but bless Israel against his primary assignment of cursing her, it was impossible for a curse to penetrate that which Yahweh had blessed (Num 23:8, 20).

The New Testament and Blessing

This Old Testament notion of blessing is brought forward into the New Testament with Jesus blessing food (Mk 6:41; 8:7; Matt 14:19; Luke 9:16), blessing and instituting the Eucharist (Mark 14:22; Matt 26:26), blessing the supper at Emmaus (Luke 24:30) and the apostles at the ascension (Luke 24:50). Luke is particularly attentive to blessing and blessedness; these for him are founded on the choice made of humans by God for designated responsibilities. Thus Mary, having been chosen as the mother of God is considered blessed by God among women (Luke 1:28, 42), and to be recognized by all as blessed, and source of blessing (Luke 1:48). She is blessed because by the divine choice she has found favour with God through the Son of God she carries¹⁴ (Luke 1:28, 30). She enjoys God's protection and care and consequently, must not be afraid. She is to be blessed for believing and trusting God (Luke 1:45). This implies that like Mary all who are chosen by God and believe in God, are favoured and blessed by God. By this blessing they enjoy the protection and care of God.

It is in Luke too that the hymn of blessing/thanksgiving to God 'the Benedictus' is proclaimed (Luke 1:64ff); of interest in this hymn is the reference to the promised blessing and mercy to Abraham in Gen 18:18; 22:17 (Luke 1:72-73). This was first captured in the 'Magnificat' of Mary in Luke 1:54-55. This concentration of blessing founded on God's promise to Abraham is depicted by Luke as being fulfilled in the event of the birth of Jesus. Luke thus establishes Jesus as the one through whom the blessing promised to Abraham is fulfilled and reaches out to all nations. This relationship between Jesus Christ and the divine promise and blessing pronounced over Abraham is a firmly held interpretation of Christian traditions (Gal 3:14), 'the blessing pronounced over Abraham and all that he has is the promise of God fulfilled in Jesus Christ. Between Abraham and Christ it rests on the people of Israel'.¹⁵ The divine promise to Abraham, which derives especially from Gen 12:1-3 on 'blessing those who bless him and cursing those who curse him' is about God's promised

¹³ J.S. Anderson, *The Blessing and the Curse: Trajectories in the Theology of the Old Testament*, Eugene, OR: Wipf and Stock, 2014, p. 27. See also H. W. Beyer, 'εὐλογέω *eulogeō*, εὐλογία *eulogia*', p. 755.

¹⁴ J.A. Fitzmyer, *The Gospel according to Luke I-IX*, New York, NY: Doubleday, 1981, pp. 360 & 367.

¹⁵ H.W. Beyer, 'εὐλογέω *eulogeō*, εὐλογία *eulogia*', p. 757.

reward and protection for Abraham as he undertakes the mission entrusted to him by God. This blessing is often interpreted in the New Testament to mean the salvation that comes from Christ, and New Testament writers have identified in Christ the fulfilment of Abraham's role as the model and source of God's blessing on the nations. Thus all who belong to Jesus are brought into the fold of the Abrahamic blessing. They are absorbed or grafted into Christ and have been admitted into the covenant people of God and are consequently shown the mercy of God's blessing promised to Abraham and his descendants. They have been brought into the kingdom of blessing which flows from Christ and like Simeon can praise God (Luke 2:28).¹⁶ They are the blessed of the Father of Matthew 25:34 who await the reward of life and the kingdom of God in contrast to the cursed in Matthew 25:41 who are destined for eternal death. Like Abraham, followers of Christ are not just blessed but have become a blessing and thus partake of the security guaranteed by the divine blessing.

Brought into the sphere of blessing and enjoying the favour of God as a blessed people, followers of Christ are invited by Luke in the evangelical counsel to be dispensers of blessing by returning blessing even for a curse in Luke 6:28a (see 1 Cor 4:12). This invitation is expanded in Romans 12:14 to include blessing those who persecute them; Christians are called to bless (1 Peter 3:9) because participation in Christ implies an invitation to go on a mission with the attendant risks.

A Study of Luke 6:28a: εὐλογεῖτε τοὺς καταρωμένους ὑμᾶς

Luke 6:28a forms part of the larger pericope of Jesus' sermon on the plain in vv. 17- 46. The sermon takes place after the choice of his twelve apostles in vv. 12-16. In all of these sections Luke makes a distinction between the apostles (the Twelve) and the disciples (v. 13), and the multitude of people (v. 17). In v. 20 Jesus is said to address the sermon to his disciples; however, the phrase 'But I say to you that hear' in v. 27a refers to all the disciples, including the apostles and all the multitude of people in v. 17 who listen to Jesus. This implies that the imperative *eulogeite* is directed to all the followers of Jesus who were listening to him and primarily to his disciples. The instruction (bless those who curse you) is one of the Lucan threefold elaboration on the principle of love for one's enemies stated in v. 27b. The other two are 'do good to those who hate you', and 'pray for those who mistreat you'. In other words; 'love your enemies' implies 'do good to those who hate you', 'bless those who curse you', and 'pray for those who mistreat you'. The disciples of Jesus are

¹⁶ H.W. Beyer, 'εὐλογεῖω *eulogeō*, εὐλογία *eulogia*', p. 762.

invited to bless those who curse them as an expression of love for their enemies. They are to bless because by their choice they have been abundantly blessed by God. This sense is equally contained in Stephen's plea for forgiveness for his murderers in Acts 7:60.

τοὺς καταρωμένους 'those who curse'

The participle *katarōmenous* from the verb καταράομαι *katarāomai* is translated with the article τοὺς *tous* as 'those who curse'. It is likely to refer to the Jewish curse context of pronouncing excommunication.¹⁷ It may in the context of the Christian tradition, reflected in Romans 12:14, include those who persecute. Romans 12:14 however should be seen to embrace the entire Lucan elaboration of the love commandments contained in vv. 27-30. It implies especially love of enemies, those who abuse or insult, and those who strike (vv. 27-29). Luke on the other hand is particular and does not just group them all under one heading but specifies each set of persecutors and the disciples' corresponding response to each of them. Among such persecutors are 'those' who curse the disciples. The verbal noun *katarōmenous* is used here in this context to imply those who pronounce excommunication with a view to barring the disciples from certain benefits and good fortunes, those who cast a spell on them and make utterances designed to cause harm by supernatural operations. Those who execrate them and treat them with contempt and lightly and consider them not belonging anymore to the group of the favoured.

εὐλογεῖτε

The verb *eulogeō* is used here to mean asking for bestowal of special favour upon someone, calling down God's gracious power.¹⁸ It is used in the imperative and paired with the second person pronoun ὑμᾶς *hymas* to imply that Jesus is urging his followers to ask for the bestowal of special favour from God upon those persecutors who wish them the opposite and make pronouncements that are designed to cause them harm. They are invited to bless by confidently handing over those who curse them to God's protection because they are a people who already enjoy God's protective blessing. They are a blessed people by virtue of their discipleship whose mandate consists in bringing that blessing to others. As missionaries of blessing, their responses to mistreatment must not be determined by selfishness or ill will, but by their desire to populate the world with God's favourable activity to bring about good in the life of every individual and

¹⁷ I.H. Marshall, *The Gospel of Luke*, Grand Rapids, MI: Paternoster Press, 1978, p. 259.

¹⁸ W. Bauer, 'εὐλογέω *eulogeō*', *A Greek English Lexicon of the New Testament and Early Christian Literature*, p. 408.

family. ‘Any limitation on the standard must come from the best interest of the wrongdoer’.¹⁹

Blessing as Security

As followers of Christ, the disciples belong already to the family of the blessed, and the blessing received from God protects and secures them from any form of wishful disfavour and spell. This context of discipleship and blessing is played out in Luke 24:50f. At his departure the ascending Jesus in a priestly imposition of hands (as in Lev 9:22; Sir 50:20-21) blesses εὐλόγησεν *eulogēsen* the eleven by calling down God’s favour upon them. He shares his power of blessing with them, and through the blessing remains firmly bound to them. It implies the protective presence of the exalted Lord with his followers, and serves as the Lucan version of the Matthean ‘Lo, I am with you always, to the close of the age’ (Matt 28:20).²⁰ The one who calls, sends and the one who sends, blesses to protect the sent. In other words, as a people already blessed by God through the ascended Lord, followers of Christ enjoy the overriding presence of the exalted Lord and are secured from all that is opposed to their blessings, namely a ‘curse’. Nothing shall hurt them (Luke 10:19). The context of Luke 6:28a further defines this guarantee of protection. The invitation comes within the framework of the beatitudes (6:20ff), after the choice of the Twelve in 6: 12-16. Having been chosen, the disciples (including the seventy-two) now belong to the family of the blessed ones (6:20-23; 10:23) whose names are written in heaven (Luke 10:20). They are declared blessed because their share in heaven guarantees them an abundance of the favours that those who may curse them seek to bar them from²¹. Even in the event of excommunication, disciples now belong to a new and inclusive community that guarantees the protective reign of God, abundance, gladness, and great rewards in heaven.

Blessing as Antidote

Antidote denotes something that counteracts, relieves, or prevents. As an antidote blessing is understood as an event that undercuts or counteracts a curse. The invitation to bless in response to a curse is not to be understood as sheer passivity, rather it is a weapon meant to undermine or emasculate the curse. This alternative and demand by Jesus is a

¹⁹ R.A. Culpepper, ‘The Gospel of Luke’ in Leander E. Keck (ed.), *The New Interpreter’s Bible* vol. 9, Nashville, TN: Abingdon Press, 1995, p. 148.

²⁰ H-G. Link, ‘Blessing, Blessed, Happy, εὐλογία *eulogia*’, in Colin Brown (ed.), *The New International Dictionary of the New Testament* vol. 1, Grand Rapids, MI: Zondervan, 1975, p. 214.

²¹ J.A. Fitzmyer, *The Gospel according to Luke I-IX*, p. 631.

‘command, which completely overcomes cursing’.²² It is the invitation to spread and wish even those who curse, the very best of fortunes as an aggressive action to undermine hostility and violence. In the words of Alan Culpepper, it calls ‘for imaginative, aggressive, but non-violent responses to the problems that have borne such bitter fruit in our own time’.²³ ‘To bless’ in response to a ‘curse’ therefore, acts in this context as an antidote to the curse already pronounced by the persecutors. Seeking to bring the persecutor to God’s protective favour is intended to overshadow the circumstance with blessing rather than allow the influence of the curse to dominate. In the context of the Hammurabi law of retaliation, instead of populating the world with evil in response to evil, Christians are urged to counter evil with good so that the percentage of evil in the society may diminish and be matched by the percentage of good. Blessing in return for a curse is a choice in favour of what is good as against what is evil.²⁴ It is a prayer of faith, which a Christian offers to take the offensive in redressing evils.²⁵ Every blessing directed at the pronouncement of a curse reduces the dominance of the curse. Theologically, the structure of blessings and curses which constitutes the organizing concept of the book of Genesis culminates in the blessing of Abraham as Yahweh’s victory over the curses occasioned by the sins of humankind. In the same way every response to a curse with a blessing by each follower of Christ substitutes the evil occasioned by the curse with the good fortune necessitated by the blessing. The invitation underscores the role of Christians as missionaries of blessings who against every curse make available to their society, the continuous auspicious activity of God to enhance the good of the universe.²⁶

Conclusion

By baptism Christians are incorporated into Christ and become Disciples of Christ; they are therefore beneficiaries of the blessings promised to Abraham and fulfilled in Christ Jesus. They are themselves a blessed people and a blessing, with the ultimate mission to emit blessings from God. They are by their status and function as a blessed people secured against all that is contrary to their blessing. There is therefore no

²² H.W. Beyer, ‘εὐλογέω *eulogeō*, εὐλογία *eulogia*’, p. 763.

²³ R.A. Culpepper, ‘The Gospel of Luke’, p. 149.

²⁴ C. Naseri, ‘Exodus 1:15-22 and the Midwives who Dared Pharaoh to Protect Lives’, *European Journal of Scientific Research*^[SEP] vol. 159, no 3, 2021, pp. 39-53.

²⁵ C. Naseri, ‘Suffering and Prayer in the Messianic Community of James 5:13a’, *Verbum Vitae* vol. 39, no. 4, 2021, pp. 1171.

²⁶ C. Westermann, *Blessing in the Bible and the Life of the Church*, Trans. K. Crim, Philadelphia: Fortress Press, 1979, pp. 44-5.

room even for an intergenerational migration of curses in the life of a Christian because membership in Christ breaks and impedes every curse. By exercising their evangelical counsel to bless they undercut the curses directed against them and populate the world with wishes of good fortunes. Christians should never curse because it goes against their mission as dispensers of blessings. Christians should never be afraid of being cursed or being subject to inherited curses, because they are fortified against every curse. The theological implication of Baptism as the sacrament of Christian initiation and rebirth should be emphasized because anything born is new and fresh and belongingness to Christ is freedom. By inviting his disciples to bless those who curse them, the Lucan Jesus therefore underscores the status of his disciples as a blessed people who are impermeable to curses and whose sole mission is to dispense blessing.

References

Anderson, J.S., (2014), *The Blessing and the Curse: Trajectories in the Theology of the Old Testament*, Eugene, OR: Wipf and Stock.

Bauer, W., (2000), *A Greek English Lexicon of the New Testament and Early Christian Literature*, 3rd ed. Chicago: University of Chicago Press.

Brown, F., Driver S. & Briggs, C., (2005), *The Brown-Driver-Briggs Hebrew and English Lexicon*, Peabody, MA: Hendrickson.

Beyer, H.W., (1964), 'εὐλογέω *eulogeō*, εὐλογία *eulogia*' in Gerhard Kittel (ed.), *Theological Dictionary of the New Testament* vol. 2, Grand Rapids, MI: Eerdmanns, pp. 754-65.

Carroll, R.M.D., (2000), 'Blessing the Nations: Toward a Biblical Theology of Mission from Genesis', *Bulletin of Biblical Research*, vol. 10, no.1, pp. 17-34.

Champlin, M., (2017), 'A Biblical Theology of Blessing in Genesis', *Themelios* vol. 42, no. 1, pp. 63-73.

Culpepper, R.A., (1995), 'The Gospel of Luke' in Leander E. Keck (ed.), *The New Interpreter's Bible* vol. 9, Nashville, TN: Abingdon Press, pp. 3-490.

Fitzmyer, J.A., (1981), *The Gospel according to Luke I-IX*, New York, NY: Doubleday.

Kitz, A.M., (2007), 'Curses and Cursing in the Ancient Near East', *Religion Compass*, vol. 1, no. 6, pp. 615-27.

Link, H-G., (1975), 'Blessing, Blessed, Happy, εὐλογία *eulogia*' in Colin Brown (ed.), *The New International Dictionary of the New Testament* vol. 1, Grand Rapids, MI: Zondervan, pp. 206-15.

Marshall, I.H., (1978), *The Gospel of Luke*, Grand Rapids, MI: Paternoster Press.

McKenzie, J.L., (1965), *Dictionary of the Bible*, Milwaukee: Bruce Publishing Company.

Mundle, W., (1975), 'Curse, Insult, Fool; καταράομα' in Colin Brown (ed.), *The New International Dictionary of the New Testament* vol. 1, Grand Rapids, MI: Zondervan, pp. 416-17.

Naseri, C., (2021), 'Exodus 1:15-22 and the Midwives who Dared Pharaoh to Protect Lives', *European Journal of Scientific Research*^[1]_[SEP] vol. 159, no 3, 2021, pp. 39-53.

Naseri, C., (2021), 'Suffering and Prayer in the Messianic Community of James 5:13a', *Verbum Vitae* vol. 39, no. 4, 2021, pp. 1159-74.

Richards, K.H., (1992), 'Bless/Blessing' in David Noel Freedman (ed.), *The Anchor Bible Dictionary* vol. 1, New York, N.Y: Doubleday, pp. 753-55.

Urbrock, W.J., (1992), 'Blessing and Curses' in David Noel Freedman (ed.), *The Anchor Bible Dictionary* vol. 1, New York, N.Y: Doubleday, pp. 755-61.

Westermann, C., (1979), *Blessing in the Bible and the Life of the Church*, Trans. K. Crim, Philadelphia: Fortress Press.

CURRENT CHALLENGES TO PUBLIC ORDER AND SECURITY

Ianuș Erhan*

ianuserhan@yahoo.com

Abstract: Any community can develop and at the same time achieve sustainable policies to the extent that it is safe. Once a high level of safety is ensured, it will catalyze the development of all directions of social activity, being a priori the determining element in order to motivate society to create viable and sustainable social, political, economic and other systems.

The trend toward the escalation of the criminal phenomenon, the risks and threats to national security, public order and safety, will remain in the future, because these phenomena can never be eliminated, but only limited. That is why it is necessary to improve the system of ensuring public order, the safety of the person and the public.

Keywords: public order and security, policy documents, crisis situations, Ministry of Internal Affairs, law enforcement authorities, risks and threats to national security, police activity.

Introduction

Recently, we have witnessed various changes and transformations of a social, political, economic nature, which have also determined those challenges to which the national security system is exposed, in general, and in particular, the field of public order and security. More than that, the military conflict in Ukraine, in the immediate vicinity, the increased flow of migrants generated, but also the uncertainty regarding its solution, requires the revision of concepts and policies in order to ensure a high level of public safety climate. On the other hand, the criminal phenomenon is constantly changing, new types of crimes are appearing, and the online environment is becoming more and more „tempting” for those who break the law. Transnational criminal groups, whether migrating to other regions or „testing” new specializations, and the authorities responsible for preventing and combating crime, in most cases, behave reactively, rather than proactively.

Now, more than ever, the eyes of the citizens, as well as of the entire society, are directed to the Ministry of Internal Affairs, a first-invested

* PhD., associate professor, Department of public law, Faculty of Law, Moldova State University, Project coordinator "Legal architecture of national mechanisms of public order and security"

authority with powers to ensure the observance of public order and peace. For the reasons given, we have proposed a cross-cutting scientific approach to the challenges to public order and safety, as well as to the most important policy documents aimed at achieving this desideratum.

Main research ideas

It is rightly believed that any community can develop and at the same time achieve sustainable policies to the extent that it is safe. In the opinion of the famous psychologist Abraham H. Maslow, people manifest a complete set of needs that can be arranged in a hierarchy: physiological needs, security and safety needs, social needs, esteem needs and self-actualization needs¹. As we see, the integration of the need for security in the social context of any state, as well as in the public policies developed and implemented is a key element.

Human security is one of the most important landmarks in the process of development of the society, for which reasons, „public policies aimed at protecting citizens’ rights and freedoms, simultaneously with the achievement of national security, require a paradigm shift and rethinking”², especially in the context of the continuous change of the internal and external conjuncture.

It is obvious that, once a high level of safety is ensured, it will catalyze the development of all directions of social activity, being *a priori* the determining element in order to motivate society to create viable and sustainable social, political, economic and other systems.

Eugen Bianu (General Director of the Romanian Security Police during 1938) many years ago mentioned valid truths today, such as that each of us must understand the fact that: „The state of general internal order of the state implies balance and harmony between the organization and functioning of state institutions and the needs, aspirations of citizens, because, only a balanced state of the inner life of the state, ensures the possibility of progress and prosperity of society”³.

The field of public order and safety is seen and treated as part of the general concept of national security. In this context, ensuring state security is one of the national priorities, which, through its specialized structures, such as the Ministry of Internal Affairs, seeks to identify and apply the most effective forms and ways to achieve this goal.

¹ A.H. Maslow, *Motivation and personality*, Bucharest, Trei, 2007, p. 87-94.

² M. Neag, D. Coman, *Human rights and the perspective of individual security*, [accessed 04.10.2021], Available at: <http://www.arduph.ro/domenii/protectie-persoane-si-bunuri/drepturile-omului-la-pace/drepturile-omului-si-perspectiva-securitatii-individuale/>).

³ E. Bianu, *Order – the factor of harmony. The supremacy of the principle of order. Climate of public order*, Bucharest, The Romanian Book, 1945, p. 22.

Following the logic, the National Defense Strategy of the country 2020-2024 defines the national security interest as „the desirable state of existence of a nation, of an organic and inclusive community, aimed at defending and promoting fundamental national values, ensuring prosperity, guaranteeing respect for democratic rights and freedoms, the protection and security of its members. This is the basis for the development of internal and external national objectives that guarantee the existence and identity of the state, its stability and continuity and defines its mission/purpose and refers to a multitude of priorities” among which is the „defense and consolidation of constitutional democracy and the rule of law; protecting, defending and guaranteeing the fundamental rights and freedoms of all citizens and ensuring their individual and collective security and safety”⁴.

The current Government Program states that: „Improving the safety of the citizen is the main priority of the Ministry of Internal Affairs. Preventing and combating the use of drugs and psychoactive substances, combating environmental crimes, those committed online, as well as crime with a high degree of emotional and psychological impact are topics of direct interest to the whole society”⁵.

For its part, the main planning document „Institutional Strategic Plan of the Ministry of Internal Affairs 2021-2024”, out of the three strategic objectives that govern the entire activity of the ministry, places in the first position the one that refers to „ensuring a high degree of safety of persons and protection of patrimony, which covers the area of activity of the Ministry of Internal Affairs dedicated to maintaining public order and safety”⁶.

From the analysis of various doctrinal ideas, we determine that „the security of the state and of all its citizens, the safety of the person, public order and peace, represent primordial social values that underlie the existence, organization and functioning of any rule of law, where the multidimensional regulation of social relations, discipline, order of law are natural requirements of democracy”⁷.

⁴ The National Defense Strategy 2020-2024 approved by the Decision no. 22 of the joint session of the Senate and the Chamber of Deputies of 30.07.2020, published in the Official Gazette, Part I, no. 574 of 01.07.2020.

⁵ Government Program for 2021–2024 „Coalition for resilience, development and prosperity”, p. 137, [accessed 28.04.2022], Available at:

https://gov.ro/fisiere/programe_fisiere/Program_de_Guvernare_2021%E2%80%9942024.pdf.

⁶ Institutional Strategic Plan of the Ministry of Internal Affairs 2021-2024, [accessed 19.04.2022], Available at:

<https://www.mai.gov.ro/wp-content/uploads/2021/10/sinteza-PSI.pdf>.

⁷ O. Postovan, *The status, place and role of the Community Police in community-oriented public policy*. Collection of the materials of the Scientific Conference with international participation „Protection of Human Rights and Fundamental Freedoms in

There is a variety of opinions in the literature on the concept of „public order”, but all of them proclaim the defense and protection of human rights and freedoms in accordance with the laws in force.

Under these conditions, „**public order**” is a state of law, its content being linked to the legal provisions, which allows achieving and maintaining the balance based on social consensus, defending and respecting the fundamental rights and freedoms of citizens, defending the public and private property and defending the supreme values in order to promote and affirm the social progress in a democratic society⁸.

According to Professor Victor Gutuleac, „public order” is defined as a state of „legality, balance and social peace, which ensures public tranquility, security of person, communities and property, public health and morals, which allows the exercise of constitutional rights and freedoms, as well as the functioning of structures specific to the rule of law”⁹.

In another interpretation, a synthesis one, public order „is the set of institutions and rules aimed at ensuring the proper functioning of the public services of the country, as well as the morality and security relations of its inhabitants”¹⁰.

Ion Cuhutescu, through an integrated approach considers that „public order is a sum of its components: the social order, which signifies harmonious cooperation and peaceful cohabitation, without harming the interests and rights of the members of the society; the state order, aimed at the normal functioning of the legal order created for the enforcement of laws; the natural order, which represents the equilibrium state of nature and environmental factors, as supplemented by nature”¹¹.

In turn, „**public security**”, starting from the concept of „personal safety”, is generally defined as „a state of protection of the person and of society, against any type of dangers, from any illicit action, from their consequences, as well as from the consequences of exceptional states or social conflicts, natural disasters, epidemics, of epizootics, catastrophes, damage and fires, as the case may be”¹².

the process of ensuring public order and Security”, Chisinau, Academy „Stefan cel Mare” of MIA, 2022, p. 404.

⁸ I. Cuhutescu, *Management of public order in situations of normality and crisis from the perspective of EU and NATO Member country*, Bucharest, The Ministry of Administration and Internal Affairs, 2010, p. 20.

⁹ V. Gutuleac, *Police law*, Chisinau, 2015, p. 26.

¹⁰ St. Belecciu, A. Antoci, *Legal protection of human rights in Police activity* (course support), Chisinau, The Military Book Publishing House, 2019, p. 130.

¹¹ I. Cuhutescu, *Management of public order in situations of normality and crisis from the perspective of EU and NATO Member country*, Bucharest, Ministry of Administration and Internal Affairs Publishing House, 2010, p. 26.

¹² M. Robea, I. Postu, *The correlation between the notions of legal order, legal order and public order*, [accessed 02.10.2021], Available at:

Related to the „**public order and security system**”, this is the conceptual, regulatory, organizational, functional and relational framework of public order and security, as well as the resources allocated for this purpose.

We agree with Ion Cuhutescu, who considers that „the public order systems are meant to ensure the maintenance of the state of balance in the society, this state is based on the norms and regulations that the society considers necessary for the processes and phenomena that characterize it to have a certain predictability, and the direction of development of the society to correspond to the expectations of the majority of individuals”¹³.

From the analysis of the above-mentioned definitions, we distinguish different elements/components: state, legality, institutions, provisions and regulations, public order being the process, and the purpose/result to be achieved within this process, by combining the mentioned elements, is nothing but public safety.

As we can see, the institutional framework supported by the legal one are defining elements in the sense of the definitions set out, and the state of legality is the result of their merging and interaction, which derives from the assurance by the state, through the empowered authorities, only according to the legal provisions of the aforementioned state.

The institutional aspect is decisive in this respect, and from the analysis of the legal competences, we distinguish the Ministry of Internal Affairs as the most important governmental institution, which through the National Police, as a specialized institution, carries out the entire spectrum of activities that involve ensuring, maintaining, as well as restoring public order.

Respectively, the Ministry of Internal Affairs aims that at the horizon of 2030, Romania will have an „efficient, integrated and responsible public order and safety system, built around the need for trust, security and protection of the citizen and the community”, a desideratum for which several important attributes are proposed – „performance, coherence and responsibility. This vision is based on the need to build an institutional environment that generates trust, security and protection, both for citizens and for the community”¹⁴.

Thus, public order and safety are ensured, through all the measures taken by the law enforcement forces, to ensure, maintain and, ultimately,

https://www.tehnopress.ro/webfiles/books_documents/pdf_extras/46_interior%20omanag%20excelentei.pdf.

¹³ I. Cuhutescu, *Management of public order in situations of normality and crisis from the perspective of EU and NATO Member country*, Bucharest, Ministry of Administration and Internal Affairs Publishing House, 2010, p. 19.

¹⁴ Institutional Strategic Plan of the Ministry of Internal Affairs 2021-2024, [accessed 19.04.2022], Available at:

<https://www.mai.gov.ro/wp-content/uploads/2021/10/sinteza-PSI.pdf>.

restore public order, and from the analysis of the legal competences held by different authorities we highlight the Police, which represents the most important institution from the operational point of view of the public order and security system.

The Law on the Organization and Functioning of the Romanian Police expressly states that: „The Romanian Police [...] is the state specialized institution, which carries on attributions regarding the fundamental rights and freedoms of person, the private and public property, crimes prevention and discovering, public order and safety observance, according to the law”, and its activity „represents public specialized service and serves the interest of the person, of the community, as well as public institutions’ assistance, exclusively on the law’s base and application”¹⁵.

In order to ensure public order and security, we consider that the police should take the following measures/actions: to protect life, health, honor, dignity and property; to ensure order in public places in order to guarantee personal and public security; to ensure and conduct a communication with the public authorities regarding the expected events/ manifestations of a public nature and which have a potential danger for public and personal security; permanent training of employees; of technical and logistical endowment of the subdivisions with the necessary equipment¹⁶.

On the other hand, the negative phenomena that affect the state of legality, public order and safety are in a permanent change, which can generate various crises in this field and can put enormous pressure on police structures around the world¹⁷.

According to Olga Jimbei, „there are new threats emerging in the field of national security and public safety, and every day professionals in the given field in Europe must be aware of:

- ✓ border security;
- ✓ crime and terrorism;

¹⁵ Law no. 218 of 23.04.2002 (*republished*) on the organization and functioning of the Romanian Police, published in The Official Gazette no. 170 of 02.03.2020.

¹⁶ I. Bulai, *Ensuring the rights and freedoms of the person between myth and reality in the process of ensuring public order*. Collection of the materials of the Scientific Conference with international participation „Protection of human rights and fundamental freedoms in the process of ensuring public order and security”, Chisinau, Academy „Stefan cel Mare” of MIA, 2022, p. 390-391.

¹⁷ I. Erhan, *Management of crisis situations in the field of public order and security in terms of respect for human rights*. Collection of the materials of the Scientific Conference with international participation „Protection of human rights and fundamental freedoms in the process of ensuring public order and security”, Chisinau, Academy „Stefan cel Mare” of MIA, 2022, p. 333.

✓ cybercrime and digital security”¹⁸.

In this respect, „preventing and counteracting the activities of organized crime, including cross-border, which can affect national security through actions to influence the decision-making capacity, illegal economic activities, trafficking in high-risk drugs and illegal migration”, as well as increasing the „efficiency of national systems for the prevention and management of crisis situations, internal and external, military or civil, inter-institutional cooperation mechanisms and capabilities to combat asymmetric and hybrid threats, capable of ensuring state resilience in emergency or crisis situations and allowing the continuous functioning of institutions and essential services” are among the priorities of national security objectives¹⁹.

Crisis situations can occur in any field, some with a major impact, and others with a medium or even minor impact. Some may have an immediate impact, and in other cases, the effect may be felt later. Crisis awareness, assessment, monitoring and anticipation involve a complex of measures, effort, resources and knowledge for their efficient and correct management, which is absolutely valid and necessary, especially in the field of public order and safety.

Regarding the notion of ***crisis in the field of public order and safety***, we understand that situation which by nature, complexity, magnitude and intensity, threatens or endangers the life and health of the population, environment, public and private property, requires the adoption of specific measures provided by law in force, through the integrated action of the competent state authorities.

Likewise, defined in terms of decisions, the crisis is a situation in which the main objectives are threatened, the reaction time is limited, and the decision-makers are taken by surprise by the unfolding of events.

2020 has shown us that crises have become normality. We live in a time when crises overlap non-stop and are constantly changing, making it difficult to predict their end point. A common and unpleasant truth that must be acknowledged is that the speed with which a crisis occurs has changed. Incidents that used to take hours before appearing in media sources now take just a few minutes to reach public sources. The pace of the crisis has also changed. There is no time for a dubious use of force or

¹⁸ O. Jimbei, *Analysis of public policy and national security policies at European level*, Collection of working papers ABC of the financial world, Nr. 7/ 2018 Special issue, p. 45-46.

¹⁹ The National Defence Strategy 2020-2024 approved by the Decision no. 22 of the joint session of the Senate and the Chamber of Deputies of 30.06.2020, published in the Official Gazette, Part I, no. 574 of 01.07.2020.

certain incidents to last, but they can quickly escalate in the eyes of the public²⁰.

In the last two years, we have witnessed one of the biggest challenges on all areas of state activity, including the field of public order and safety, when the employees of the Ministry of Internal Affairs were responsible for observing the conditions and restrictions related to the prevention and mitigation of the Covid-19 pandemic. Thus, in addition to the day-to-day tasks of ensuring public order and safety, as well as preventing and combating crime, much of the process and institutional effort has been focused on preventing the spread of Covid-19 infection. These activities were carried out with a double risk on the part of the employees, who, in addition to the daily professional risk, were also exposed to the danger related to the evolution of the pandemic. Thus, this period and the consequences of the pandemic required the revision of standard operating procedures, dedicated training, proper staffing to exclude their infection, adaptation of functional and operational processes to the requirements of the situation, allocation of additional financial resources etc.

At the same time, the pandemic situation has generated some consequences that need to be properly assessed and managed, especially in terms of the impact on cybercrime and the speculation of opportunities for financial benefits²¹.

Returning to the doctrinal concepts, we can determine the forms of threats, risks and dangers generating crises, such as: the manifestation of tensions and disturbances based on political, socio-economic, interfaith and interethnic relations (spontaneous acts of violence against public order and peace can lead to violent confrontations between more or less organized groups and the legal bodies of the state); preparation and carrying out actions of destruction or arson of certain values (buildings, installations or arrangements in the public domain, of public institutions), assaulting of the state authorities; actions to defame the country, unrealistic presentation of reality, incitement to conflict, public violence, territorial separation; any other acts which infringe the legal provisions or the rules of social coexistence, which may create a public danger and generate feelings of concern and civic insecurity²².

²⁰ Ch. Hsiung, *Three strategies for crisis leadership*. Police Chief Magazine, no. 2 (February 2021), p. 30.

²¹ The National Strategy against Organized Crime 2021-2024, approved by the Romanian Government Decision no. 930 of 01.09.2021, published in the Official Gazette, Part I, no. 898 of 20.09.2021.

²² C.M. Toma, Doctoral thesis „Dynamics of crises that can affect public order and their management – abstract”, Ministry of Internal Affairs, Police Academy “Alexandru Ioan Cuza”, Bucharest, 2016, p. 9-10.

The most representative factors that may constitute risk factors or threats to public order are: political instability; the economic crisis; impoverishment of a large part of the population. Other factors that are determined at the level of our society can be represented by: deep inequalities constantly growing in all social fields; the crisis of the educational system; the collapse of tax revenues; increase in crime, drug trafficking and consumption; lack of social protection; cultural and religious conflicts. At the same time, the globalization of the criminal phenomenon is likely to increase the spectrum of the factors described and threats to public order, by disseminating the following phenomena: the proliferation of cross-border organized crime; arms and ammunition trafficking; trafficking in human beings; illegal immigration; homicide, etc.²³

The setting of national security objectives also implicitly determines the concrete directions of action to achieve them. Thus, the competent public institutions act permanently to identify, anticipate, prevent, reduce, and respectively counteract the threats, risks and vulnerabilities that could impede the fulfilment of the security objectives²⁴.

Under current circumstances, Cynthia E. Renaud (President of the International Association of Chiefs of Police) rightly mentions that: „The challenges we encounter in the law enforcement profession are shared on a global level. While the types and severity of those problems may vary across different countries and communities, the issues we collectively face have no boundaries. Through continuous effort, and only together, we can help reduce corruption, money laundering, identity fraud, environmental crime, human trafficking and cybercrime”²⁵.

Thus, the challenges faced by law enforcement today are significant and varied and depend on the level at which the police officers operate. However, responsibility, training and other organizational aspects are applicable every day in the work of law enforcement authorities of all levels. Therefore, the need for continuous transformation, changes in the policies implemented, taking responsibility, training, developing a police culture and practice²⁶ are essential for generating concrete and immediate results.

²³ I. Cuhutescu, *Management of public order in situations of normality and crisis from the perspective of EU and NATO Member country*, Bucharest, Ed. Ministerului Administratiei si Internelor, 2010, p. 21.

²⁴ The National Defence Strategy 2020-2024 approved by the Decision no. 22 of the joint session of the Senate and the Chamber of Deputies of 30.06.2020, published in the Official Gazette, Part I, no. 574 of 01.07.2020.

²⁵ C.E. Renaud, *The Globalization of Crime, President's Message*, Police Chief Magazine, no. 6 (June 2021), p. 6-7.

²⁶ Ch. Russo and Th. Rzemysk, *Finding Equity, Inclusion, and Diversity in Policing*, Police Chief Magazine, [accessed 18.04.2022], Available at:

Today, the mission and activity of the Ministry of Internal Affairs, especially related to maintaining and promoting a climate of stability, safety and public order in the Romanian society, can also be influenced by a lot of more or less predictable factors, by constraints of different types at the intersection of phenomena from all spheres of activity²⁷.

While we are witnessing an increase and diversification of forms of crime, it is essential to pay special attention to: the status of the police in society; the action strategies necessary for the police activity in order to adjust to these circumstances; expanding the interest of interaction with citizens, etc. As a result, in order to implement this partnership with the community in practice, encouraging the public to share responsibility for the quality and standard of living of the community, the police must strive for its integration into the community, strengthening the legality of its actions through various consensus-based policing and improving the services provided to the public²⁸.

It is acknowledged that the Police will increase the legitimacy of the state if they demonstrate in their daily work the sensitivity to the needs and expectations of the public and use the authority of the state in the interest of the citizens. If the police carry out their responsibilities in a way that reflects democratic values, the cause of democracy and the legitimacy of the state moves forward²⁹.

In order to determine what is required of the police to effectively respond to challenges, we need to understand today's threats and be able to predict those of tomorrow. Similarly, global developments in a variety of areas, which will affect crime and the police alike, are to be taken into account³⁰.

For example, a number of enabling factors and vulnerabilities have been identified at European Union level, which can be exploited by

<https://www.policiechiefmagazine.org/finding-equity-inclusion-and-diversity-in-policing/>.

²⁷ Institutional Strategic Plan of the Ministry of Internal Affairs 2021-2024, [accessed 19.04.2022], Available at:

<https://www.mai.gov.ro/wp-content/uploads/2021/10/sinteza-PSI.pdf>.

²⁸ O. Postovan, *The status, place and role of the Community Police in community-oriented public policy*. Collection of the materials of the Scientific Conference with international participation „Protection of Human Rights and Fundamental Freedoms in the process of ensuring public order and Security”, Chisinau, Academy „Stefan cel Mare” of MIA, 2022, p. 409.

²⁹ Police integrity training Manual, published by DCAF (Geneva Centre for the Democratic Control of the Armed Forces), 2015, p. 44.

³⁰ R.M. Wainwright, *Trend sand challenges for law enforcement training and education*, CEPOL Police Research and Science Conference (Budapest), [accessed 29.12.2021], Available at: <https://www.cepola.europa.eu/sites/default/files/07-rob-wainwright.pdf>.

criminal elements in carrying out illicit activities, and Europol's analysis identified seven current threats that Member States will have to take into account when formulating their directions of action in the fight against organized crime, such as:

- a) illegal migration;
- b) trafficking in human beings;
- c) counterfeiting of goods and products in the health and pharmaceutical field;
- d) economic crimes committed through „ghost” companies - the illegal reimbursement of VAT;
- e) the production and trafficking of synthetic drugs;
- f) cybercrime;
- g) money laundering.

There were also identified two possible threats that must be considered and treated as possible areas of action for organized crime groups, namely:

- a) environmental crime – *illegal waste trafficking*;
- b) energy fraud and fraud resulting from the trade in green certificates.

In the order given by ideas, for example, the National Strategy against Organized Crime 2021-2024 expressly and dedicatedly states that „organized crime affects citizens and communities in the most diverse and severe ways. Life, physical integrity, freedom, property, tranquility and confidence in one's own personal safety and that of the family of every citizen, as well as social peace are at risk as long as the phenomenon of organized crime persists and multiplies, the economic and social life of communities is disrupted, the individual and society as a whole are permanent targets of this scourge. That is why organized crime must be confronted frontally, severely and by all means, to the point of diminishing and annihilating as a criminal phenomenon”³¹.

Making a retrospective of the most important sector policies documents, we determine that the National Strategy on Public Order 2010-2013 established that public safety expresses „the feeling of tranquility and trust, which the police service (state institutions) confers for the application of measures to maintain public order and tranquility, the degree of safety of people, communities and goods, as well as for the realization of the partnership between the civil society and the police, in

³¹ The National Strategy against Organized Crime 2021-2024, approved by the Romanian Government Decision no. 930 of 01.09.2021, published in the Official Gazette, Part I, no. 898 of 20.09.2021.

order to solve the problems of the community, to defend the rights, freedoms and legal interests of the citizens”³².

According to the National Strategy on Public Order and Safety 2015-2020, „[...] in a complex, dynamic and conflictual global world, strongly affected by the economic and financial crisis, the safety of citizens and public order are fundamental objectives of governance. They have as their reference area fundamental human rights, the constitutional order and are carried out in the context of active participation in the European construction, Euro-Atlantic cooperation and global developments”³³.

It is considered that the biggest threats to the safety of citizens and the business environment in Romania are represented by the manifestations of organized crime. Based on the fact that cross-border organized crime, illegal migration, cybercrime and software piracy have evolved, the vision of the National Strategy on Public Order and Safety 2015-2020, aimed at streamlining the public order and safety system through a proactive approach, oriented towards the security needs in the service of the citizen, focused both on the improvement and rigorous application of the regulatory framework, maintaining a high degree of professionalization of staff and institutional strengthening of structures with responsibilities in the specific field.

In this context, this strategy established a common framework of action for the structures of the Ministry of Internal Affairs, which contributes to preventing and combating the criminal phenomenon, guaranteeing the rights and freedoms of citizens and the security of the citizen, protecting public and private property, as well as ensuring the necessary climate for the functioning of state institutions.

On the other hand, the establishment of priorities and guidelines for the formulation of public policy proposals with an impact on the field of public order and security, internal affairs, protection of human rights and freedoms, as well as other related fields imposes the need to carry out a complex and comprehensive study.

Thus, studying the relations and dynamics of development of the field concerned from the perspective of its relevance represents a strident necessity, resulting from the dynamic character with which the social relations adapted to the societal challenges, the internal and external (international) conjuncture develop.

The trend toward the escalation of the criminal phenomenon, the risks and threats to national security, public order and safety, will remain in the

³² National Strategy on Public Order 2010-2013 of 13.10.2010, published in the Official Gazette no. 721 of 28.10.2010.

³³ Government Decision no. 779 of 23.09.2015 for the approval of the National Strategy on Public Order and Safety 2015-2020, published in the Official Gazette no. 763 of 13.10.2015.

future, because these phenomena can never be eliminated, but only limited. That is why it is necessary to improve the system of ensuring public order, the safety of the person and the public. On the other hand, it is imperative that the law enforcement authorities be as efficient as possible, as well as the establishment of clear and accurate procedures for managing the crisis situations in this field³⁴.

As we note, the process of integrating the concepts of public order and safety in national policy documents, as well as those of strategic planning correspond to the priorities outlined. Unfortunately, it takes too long to develop and implement Strategies dedicated to public order and safety, and today it is clear that the new policy document in this area, ensuring the continuity of the processes launched a long time ago, setting the results achieved through the former strategies, as well as reflecting the priorities for the next period, needs to be approved as soon as possible.

Thus, in order to face those challenges to which the field of public order and safety is exposed, we consider necessary to carry out several activities and measures, such as: sufficient and efficient capacity and endowment of the responsible authorities, first of all the Police, understanding and the anticipation of negative phenomena, training and updating the police education and professional training, implementing different IT solutions in the police activity.

Analyzing the various models of organization and activity of the Police, we find that many European countries are currently reorganizing their Police, a reorganization that is not a negligible part of the process of promoting and consolidating democratic ideas and values in society.

In this regard, the Police are to become, first and foremost, a credible partner for every citizen and society, having a proactive attitude towards the needs of citizens and community problems. Knowledge of the situation and anticipation of negative phenomena that threaten public order and safety, but also the coexistence interests of the community, as well as the joint solution of negative problems and phenomena, according to the principles of community policing are essential and will be further developed³⁵.

Community consultation, responsibility and transparency are important dimensions of public safety and the services that are provided to

³⁴ I. Erhan, *Integration of public order and security concepts into national policies*. Collection of the materials of the Scientific Conference with international participation „Protection of human rights and fundamental freedoms in the process of ensuring public order and security”, Chisinau, Academy „Stefan cel Mare” of MIA, 2022, p. 79-80.

³⁵ I. Erhan, *Analysis of Police competences through the protection of human rights (Theoretical and practical aspects)*. Summaries of the communications presented at the National Scientific Conference with international participation „Integration through Research and Innovation”, Legal and Economic Sciences, Chisinau, Moldova State University, Volume I, 2020, p. 223-224.

the community. The police are responsible not only for the services they provide to the community, but also for their conduct. As a result, most law enforcement agencies have clarified - or are in the process of clarifying - their codes of ethics, value system and beliefs. The process often includes setting clear behavioral expectations that are used to hold employees accountable for various violations and misconducts³⁶.

At the same time, a representative police service for the diverse community it serves, including in terms of gender, is easier to access and inspires confidence in that community. A diversified police service better understands the needs of communities and can build a stronger relationship with them. This simplifies the provision of more efficient police services³⁷.

We agree that the police are the foundation of many communities, and the range of activities that can be done by the police to build trust, productive and positive relationships in a multicultural and diverse society is very wide. The police should represent the communities they serve, recognize and understand that mobilization and collaboration build trust in multicultural societies. In this regard, tangible policies and strategies are to be developed to support the police and communities in their efforts to engage in a productive dialogue, to form strong partnerships and to identify common and meaningful³⁸ solutions to the various remaining problems in society.

Over recent years, there has been a significant increase in civil disobedience all over the world, demonstrations continue to take place on a regular basis, and concerns about politics, the economy and the environment become transnational by nature. Thus, demonstrations as well as other actions of civil disobedience continue to evolve, taking on a more systematic nature through technological progress, especially those involving social networks. The proliferation of social media has allowed entities to mobilize and manage participants before and during civil unrest and demonstrations. This flexibility allows for the increasingly complex organization of events that are executed quickly and efficiently, which has

³⁶ N. Dubord, R. Parent, S. Fraser, C. Parent, *Community – Police Engagement in North America*, [accessed 23.04.2022], Available at:

<https://www.policechiefmagazine.org/community-police-engagement-na/>

³⁷ L. Creanga, *Development of the efficiency and quality of services that the modern Police of the XXI-st century can offer to the people*. Collection of the materials of the Scientific Conference with international participation „Protection of Human Rights and Fundamental Freedoms in the process of ensuring public order and security”, Chisinau, Academy „Stefan cel Mare” of MIA, 2022, p. 100.

³⁸ President’s Message: Policing in a Multicultural Society, [accessed 12.04.2022], Available at: <https://www.policechiefmagazine.org/presidents-message-policing-in-a-multicultural-society/?ref=92c226120cf5efdeabc7c21051dc9500>

led law enforcement to adapt the tactics and techniques used to safely manage today's demonstrations and civil unrest³⁹.

It is unanimously accepted, at the level of all democratic countries, that the right to peaceful assembly in order to protest, demonstrate, celebrate, commemorate and, in general, to collectively communicate to the authorities and other citizens the opinions, underlies the functioning democratic systems. It is considered that facilitating the right to freedom of peaceful assembly can be a challenge for the authorities. It is a challenge especially for the police, who have the primary responsibility for creating the conditions for a meeting, while ensuring the maintenance of law and order, avoiding disproportionate disruption of the rights and freedoms of others⁴⁰.

Usually, public meetings are held peacefully, with minimal disruption to routine daily activities, and this likelihood can be increased if the police take into account four principles, namely - knowledge, facilitation, communication and differentiation. These principles must be at the basis of the police's approach to any meeting, and the starting point for ensuring law and order at meetings must always be facilitation, which can be achieved through dialogue, negotiation and other forms of communication. However, in some circumstances, the police may have to use force, which is an exception rather than a rule.

In this context, the interaction process is also important. The police have an obligation to be ethical, fair and consistent in their relations with the public during the performance of their duties. In many cases, it is the perceived fairness of the process, rather than the outcome, that will determine whether an individual or group of individuals will comply and cooperate with law enforcement⁴¹.

Speaking about the particularly violent confrontations between protesters and law enforcement, President Barack Obama (President of the United States 2009-2017) highlighted this very well, stating the following: „We have a great opportunity, coming out of some great conflict and tragedy, to really transform how we think about community law enforcement relations so that everybody feels safer and our law enforcement officers, rather than being embattled, feel fully supported”⁴².

³⁹ J. Leslie, *Principles and Tactics*, [accessed 23.04.2022], Available at: <https://www.policiechiefmagazine.org/opp-public-order-and-crowd-management/>

⁴⁰ Human Rights Guide to public order at meetings, [accessed 02.10.2021], Available at: <https://www.osce.org/files/f/documents/6/o/439178.pdf>.

⁴¹ T.R. Tyler and J. Jackson, *Future Challenges in the Study of Legitimacy and Criminal Justice*, in *Legitimacy and Criminal Justice: An International Exploration*, Oxford, UK: Oxford University Press, (2013), p. 83–104.

⁴² S. Pastor, *Time for change in police culture, Putting human rights at the centre of policing*, Belfast, Queens University, 2014/2015, p. 31.

That is why the Police are responsible not only to the state, but also to the population, and its effectiveness depends, to a large extent, on the support of the latter. Effective policing is not possible if certain sections of the population do not feel that the police protect and respect them.

In turn, the police officer must give priority to performing the service for the benefit of the community, to exercise his duties fairly, responsibly and impartially. Last but not least, he must be attached to the institution he represents and to the values it promotes, to show a deep consideration given to citizens, colleagues, social values and ethical norms⁴³.

We believe that today, the discussions on issues related to the National Police activity are particularly current, particularly, its capacity to face those challenges to which it is exposed, as well as the constant increase of the degree of trust from the citizens.

An important place in this process involves training. In line with these ideas, the European Code of Police Ethics states that „training of police personnel based on fundamental principles such as democracy, the rule of law and the protection of human rights must be carried out in accordance with the objectives of the police. The general training of police personnel should be as open as possible to society. In turn, initial training should preferably be followed by regular periods of continuous training and specialized training, and if applicable, training for special and dedicated skills”⁴⁴.

At the same time, at the EU level, regulations are also in place to establish a European Law Enforcement Training Program to provide law enforcement personnel with the knowledge and skills they need to effectively prevent and combat cross-border crime, through effective cooperation with their EU colleagues. Thus, the priorities for action against common threats in the following areas are defined: serious crime, organized crime, terrorism, cybercrime, border security and crisis management. The EU has defined that in order to reduce the damage caused by these threats and to support the priorities EU-wide operational training courses, specialized training courses should be provided as needed⁴⁵.

⁴³ M. Manoli, D. Cheianu-Andrei, *Methodology of studying the image of police bodies*, Studia Universitas, Scientific Journal of the Moldova State University, no.3(43), „Social Sciences” series, (2011), p. 95.

⁴⁴ Recommendation REC (2001)10 of the Committee of Ministers to Member States on the European Code of Police Ethics adopted by the Committee of Ministers on 19.09.2001 at the 765th meeting of the delegates of Ministers.

⁴⁵ Communication from the European Commission, Brussels, 27.3.2013 COM (2013) 172 final. Communication from the Commission to the European Parliament, the Council, the European economic and social committee and the Committee of the regions establishing a European Law Enforcement training Scheme.

The Institutional Strategic Plan 2021-2024 of the Ministry of Internal Affairs inserted the aspect invoked above in the perspective of achieving the strategic vision indicating that „a better prevention and combating of crimes, especially cross-border ones, can be obtained only whether an appropriate transfer of operational tactics and knowledge from similar structures is carried out, or if a common solution for problems or phenomena that affect more than one state and require coordinated action by the authorities is reached.”⁴⁶

In these circumstances, high-quality police services can only be provided to society by well-trained employees who need to know, comply and apply the law correctly in practice, know how to communicate effectively and resolve conflict situations, have appropriate physical and tactical training, which, whatever the circumstances, should defend the rights and freedoms of citizens and be ready at any time to intervene and provide assistance to people at risk.

No less important in the police work is the implementation of different IT solutions. Thus, today the work is unthinkable without a digital development that creates opportunities for innovation and at the institutional level maximizes the use of government data and services.

In this regard, in recent years the digitization and automation of work processes and operational activities has been a priority, along with other organizational transformation processes. During this period, several automated information systems were developed to allow the optimization of the work processes. Setting this target as a priority for the next period can support the institution's efforts in addressing the shortage of staff, especially for activities requiring the presence and direct involvement of the human factor, and in the process of ensuring public order to provide the security guarantees expected by the entire society.

Some institutional and other functional problems persist in police activity. Although investments have been made in the development of infrastructure and facilities, they are still urgently needed in order to fully ensure the necessary police subdivisions. Of course, the prerogative and competence of the Ministry of Internal Affairs in promoting sectoral policies will be taken into account in order to establish the necessary priorities at strategic level.

Thus, we considered that in the near future, the following questions will be answered at institutional level: How is the public security degree appreciated, evaluated, understood and integrated in the operational

⁴⁶ Institutional Strategic Plan of the Ministry of Internal Affairs 2021-2024, [accessed 19.04.2022], Available at: <https://www.mai.gov.ro/wp-content/uploads/2021/10/sinteza-PSI.pdf>.

processes or how we ensure the increase of citizens' trust in the Police, through dedicated activities in this regard.

In terms of processes, we identified the following priorities to address challenges that threaten public order and safety: raising the quality of the process of implementing sectoral policy documents; achieving the proposed objectives and deducting lessons learned; linking policy documents with the needs and expectations of the society, so that their implementation has a greater and beneficial impact; putting the analytical component at the forefront, by developing certain analytical products that would allow the correct management of the limited resources of the police subdivisions, proactive and not reactive reaction to certain negative phenomena; increasing professional communication capacities, both at the level of all institutions and at the level of each employee; unconditional openness to the needs of citizens and community issues by knowing the situation and anticipating phenomena that attack public order and safety, developing infrastructure, making the necessary facilities, so that each employee has the minimum professional comfort necessary; calculation of the necessary forces and means for each field of activity, with the subsequent distribution depending on priority and vulnerability; drawing accurate and dedicated development directions for the next period, with the realization of consistent steps in this regard.

Conclusions

We consider that the challenges to public order and safety will see an upward trend and diversification under the influence of internal and external factors. The capacity of state institutions, especially of the Ministry of Internal Affairs, with the necessary tools and mechanisms, both legal and operational, will determine the knowledge and ensure control, but also their diminution. Similarly, the greatest openness to the problems that persist in society, the anticipation of negative phenomena that can degenerate into different crises, the delivery of professional and dedicated trainings for the staff involved, will increase the institutional effort.

References

Belecciu, St., Antoci, A., (2019), *Legal protection of human rights in Police activity, course support*, Chisinau, The Military Book Publishing House, 180 p.

Bianu, E., (1945), *Order – the factor of harmony. The supremacy of the principle of order*. Climate of public order, Bucharest: The Romanian Book, 37 p.

Bulai, I., (2022), *Ensuring the rights and freedoms of the person between myth and reality in the process of ensuring public order*. Collection of the materials of the Scientific Conference with international participation „Protection of human rights and fundamental freedoms in the process of ensuring public order and security”, Chisinau: Academy „Stefan cel Mare” of MIA. pp. 387-395.

Communication from the European Commission, Brussels, 27.3.2013 COM (2013) 172 final. Communication from the Commission to the European Parliament, the Council, the European economic and social committee and the Committee of the regions establishing a European Law Enforcement training Scheme.

Creanga, L., (2022), *Development of the efficiency and quality of services that the modern Police of the XXI-st century can offer to the people*. Collection of the materials of the Scientific Conference with international participation „Protection of Human Rights and Fundamental Freedoms in the process of ensuring public order and security”, Chisinau: Academy „Stefan cel Mare” of MIA. pp. 97-105.

Cuhutescu, I., (2010), *Management of public order in situations of normality and crisis from the perspective of EU and NATO Member country*, Bucharest: The Ministry of Administration and Internal Affairs, 153 p.

Dubord, N., Parent, R., Fraser, S., Parent, C., *Community – Police Engagement in North America*. Available at:

<https://www.policechiefmagazine.org/community-police-engagement-na/> (accessed 23.04.2022).

Erhan, I., (2020), *Analysis of Police competences through the protection of human rights (Theoretical and practical aspects)*. Summaries of the communications presented at the National Scientific Conference with international participation „Integration through Research and Innovation”, Legal and Economic Sciences. Volume I. Chisinau: Moldova State University, pp. 219-225.

Erhan, I., (2022), *Integration of public order and security concepts into national policies*. Scientific Conference with international participation „Protection of human rights and fundamental freedoms in the process of ensuring public order and security”. Chisinau: Academy „Stefan cel Mare” of MIA, pp. 64-82.

Erhan, I., (2022), *Management of crisis situations in the field of public order and security in terms of respect for human rights*. Materials of the Scientific Conference with international participation „Protection of human rights and fundamental freedoms in the process of ensuring public order and security”. Chisinau: Academy „Stefan cel Mare” of MIA. pp. 333-346.

Government Decision no. 779 of 23.09.2015 for the approval of the National Strategy on Public Order and Safety 2015-2020, published in Official Gazette no. 763 of 13.10.2015.

Government Program for 2021–2024 „Coalition for resilience, development and prosperity”. Available at:

https://gov.ro/fisiere/programe_fisiere/Program_de_Guvernare_2021%E2%80%942024.pdf (accessed 28.04.2022).

Gutuleac, V., (2015), *Police law*. Chisinau, 334 p.

Hsiung, Ch., (2021), *Three strategies for crisis leadership*. Police Chief Magazine, no. 2, February 2021. pp. 30-34.

Human Rights Guide to public order at meetings. Available at: <https://www.osce.org/files/f/documents/6/0/439178.pdf> (accessed 02.10.2021).

Institutional Strategic Plan of the Ministry of Internal Affairs 2021-2024. Available at: <https://www.mai.gov.ro/wp-content/uploads/2021/10/sinteza-PSI.pdf> (accessed 19.04.2022).

Jimbei, O., (2018), *Analysis of public policy and national security policies at European level*. Collection of working papers ABC of the financial world, Nr. 7/ 2018, Special issue. Bucharest: ASE. pp. 44-57.

Law no. 218 of 23.04.2002 (*republished*) on the organization and functioning of the Romanian Police, published in The Official Gazette no. 170 of 02.03.2020.

Leslie, J., *Principles and Tactics*. Available at:

<https://www.policechiefmagazine.org/opp-public-order-and-crowd-management/> (accessed 23.04.2022).

Manoli, M., Cheianu-Andrei, D., (2011), *Methodology of studying the image of police bodies*. Studia Universitatis, Scientific Journal of the Moldova State University. Series „Social Sciences”. No. 3(43). pp. 89-98.

Maslow, A.H., (2007), *Motivation and personality*. Bucharest: Trei, 500 p.

National Strategy on Public Order for 2010-2013, published in the Official Gazette no. 721 of 28.10.2010.

Neag, M., Coman, D., *Human rights and the perspective of individual security*. Available at: <http://www.arduph.ro/domenii/protectie-persoane-si-bunuri/drepturile-omului-la-pace/drepturile-omului-si-perspectiva-securitatii-individuale/> (accessed 04.10.2021).

Pastor, S., (2014/2015), *Time for change in police culture, Putting human rights at the centre of policing*. Belfast: Queens University, 97 p.

Police integrity training, Manual, (2015). Published by DCAF (Geneva Centre for the Democratic Control of the Armed Forces), 370 p.

Postovan, O., (2022), *The status, place and role of the Community Police in community-oriented public policy*. Collection of the materials of the Scientific Conference with international participation „Protection of

Human Rights and Fundamental Freedoms in the process of ensuring public order and Security”. Chisinau: Academy „Stefan cel Mare” of MIA. pp. 402-414.

President’s Message: Policing in a Multicultural Society, Available at: <https://www.policiechiefmagazine.org/presidents-message-policing-in-a-multicultural-society/?ref=92c226120cf5efdeabc7c21051dc9500> (accessed 12.04.2022).

Recommendation REC (2001)10 of the Committee of Ministers to Member States on the European Code of Police Ethics, adopted by the Committee of Ministers on 19.09.2001 at the 765th meeting of the delegates of Ministers.

Renaud, C.E., (2021), *The Globalization of Crime*, President’s Message, Police Chief Magazine, no. 6. pp. 6-7.

Robea, M., Postu. I., *The correlation between the notions of legal order, legal order and public order*. Available at:

https://www.tehnopress.ro/webfiles/books_documents/pdf_extras/46_interior%20manag%20excelentei.pdf (accessed 02.10.2021).

Russo, Ch. and Rzemky, Th., *Finding Equity, Inclusion, and Diversity in Policing*. Available at: <https://www.policiechiefmagazine.org/finding-equity-inclusion-and-diversity-in-policing/> (accessed 18.04.2022).

The National Defense Strategy for 2020-2024 approved by the Decision no. 22 of the joint session of the Senate and the Chamber of Deputies of 30.07.2020, published in the Official Gazette, Part I, no. 574 of 01.07.2020.

The National Strategy against Organized Crime for 2021-2024, approved by the Romanian Government Decision no. 930 of 01.09.2021, published in the Official Gazette, Part I, no. 898 of 20.09.2021.

Toma, C.M., (2016), *Dynamics of crises that can affect public order and their management (Doctoral thesis)*, Ministry of Internal Affairs, Bucharest: Police Academy “Alexandru Ioan Cuza”, 38 p.

Tylerand, T.R., Jackson, J., (2013), Future Challenges in the Study of Legitimacy and Criminal Justice, in *Legitimacy and Criminal Justice. International Exploration*, Oxford University Press. pp. 83-104.

Wainwright, R.M., *Trend sand challenges for law enforcement training and education*. Available at:

<https://www.cepol.europa.eu/sites/default/files/07-rob-wainwright.pdf> (accessed 29.12.2021).

DICHOTOMY OF INVESTING IN NEW TECHNOLOGIES IN CORPORATIONS

Maik F. Teeuwen*,

maik.teeuwen@hhu.de

Alexandru Vladoi**,

alexvladoi@gmail.com

Arno Schmitz-Urban***

arno.schmitzurban@googlemail.com

***Abstract:** This paper provides a practical model that links qualitative and quantitative parameters in an iterative logic that can be used as an interface for strategy, R&D and controlling resulting in an improved decision-making opportunity for technology companies. The foundation for the model comes from a wide variety of disciplines, both literature- and corporate knowledge-based. The proposed solution focuses on the general concept of committing capital irrespective of the financial treatment of the investment. This is how sustainable business models can emerge from technology initiatives.*

***Keywords:** investment strategies, disruptive innovation, decision-making, new technologies.*

Introduction

Many companies, especially technology companies are obliged to focus on implementing various investment strategies to safeguard their long-term business.

Most companies struggle with decisions outside of their comfort zone and have difficulties understanding disruptive events in the market, however only long-term investments can create and expand competitive advantages¹. Another challenge is the capability to absorb and exploit external inbound knowledge. It is not enough to identify such potentials; it is also necessary to plan these project plans in a suitable manner, to check

* M.Sc. Heinrich-Heine-University, Dusseldorf (Germany).

** PhD. Candidate – The Bucharest University of Economic Studies - ASE (Bucharest).

*** PhD. RWTH Aachen University (Germany).

them for advantages, to make them comparable with one another, and to manage and report on their implementation in a goal-oriented way¹. Investments in promising technologies or technology enablers are much riskier for technology companies, as they are expected to identify enablers that will provide their future growth. The "success" of an investment is often difficult to assess in the case of long-term projects, as the significance varies greatly depending on the purpose, objective and organizational context. Particularly in the context of large corporations, a wide variety of complex ideas are considered and brought to the board for funding approval².

Corporate processes also make it difficult to invest in risky technologies or technologies that do not have a market yet, as a corporation, especially listed corporations oblige by corporate governance rules. A bad investment reflects poorly on the management board, the same way that risky investments put the management board at risk in front of the supervisory board and ultimately the shareholders. Therefore, accurate investment planning and reporting is required even before the investment is completed. The functions surrounding strategy, controlling and R&D need to accompany strategic investment projects in a standardized process to safeguard all risk mitigation actions by fully briefing the management and supervisory board on the risks and opportunities. Only through such a briefing can top managers include any consequences in the operational planning³. The internal structure requires uniform processes to identify projects in a targeted manner and to evaluate their performance in qualitative and quantitative terms. Based on these processes, adequate information systems have to be established for the group/division management in order to map the effects holistically and to achieve the transfer of strategic data into the operative corporate planning. This paper provides a theoretical and practical model that links qualitative and quantitative parameters in an iterative logic that can be used as an interface for strategy, R&D and controlling resulting in an ordered improved decision-making opportunity for managers. The proposed framework improves also information transparency and links the investment planning to the long-term planning of corporations.

¹ K. Hauser and P. Panzau, *Invest-controlling in mid-cap listed companies in Germany—Status Quo and forecast*, in: Controlling & Management, Basel, Springer, No. 2, 2012, p. 133-141.

² W. Heising, *The integration of ideation and project portfolio management - A key factor for sustainable success*, in: International Journal of Project Management, Amsterdam, Elsevier, No. 5, 2012, p. 582-595.

³ C. Carr, K. Kolehmainen and F. Mitchell, *Strategic investment decision making practices: A contextual approach*, in: Management Accounting Research, Cambridge, Academic Press Inc., No. 3, 2010, p. 167-184.

Theoretical Framework

The literature summarizes different concepts behind the idea of investments. This paper focuses on investment projects (“projects”) and the decision associated with committing capital to this project without having realized the investment yet. While other scholars focus on which perspective is used, i.e. balance sheet or conversion of capital, we focus on the general concept of committing capital irrespective of the financial treatment of the investment. The broad definition that an investment is characterized by the long-term commitment of financial resources in both tangible, intangible and financial form is also discussed by Götze/Bloech⁴. The concept can be expanded to include possible non-payment-related effects (benefits or costs) that occur over the investment period and may not be directly quantifiable. This also includes influences on the business environment⁵. Altrogge⁶ offers a framework for defining investment based on the object, scope and type. While he refers to the object as tangible, non-tangible or financial, the scope can be maintenance or replacement, bolt-on acquisition or new development. All of these can be separated in either strategic or non-strategic.

While the delimitation of investment appears difficult, the only true criteria that should be considered for a first decision is, if it is strategic or not⁷. Strategic investments (also major investments) differ from normal regular investments by their high consequence for the enterprise. This can result for the company in a commitment of considerable amounts of financial resources over a long period of time that should result in a direct alignment with the corporate strategy. If the strategy is aligned with the investment this gives strategic investments the potential to increase the performance or value of the firm⁸. These projects are however subject to a particularly high degree of risk and may lead to results that are difficult to quantify⁹.

⁴ U. Götze and J. Bloech, *Capex: Models and analyses for projects*, Berlin, Springer, 2013.

⁵ C. Friedemann, *Environmental focussed capex planing*, Wiesbaden, Springer Gabler, 1998.

⁶ G. Altrogge, *Invest*, München, Oldenbourg Verlag, 1996.

⁷ W. Accola, *Assessing risk and uncertainty in new technology investments*, Accounting Horizons, Arlington, Alleen Press, No. 3, 1994, p. 19-35.

⁸ A. Van Cauwenbergh, E. Durinck, R. Martens, E. Laveren and I. Bogaert, *On the role and function of formal analysis in strategic investment decision processes: results from an empirical study in Belgium*, in *Management Accounting Research*, Cambridge, Academic Press Inc., No. 2, 1996, p. 169-184.

⁹ F. Alkaraan and D. Northcott, *Strategic capital investment decision-making: A role for emergent analysis tools? A study of practice in large UK manufacturing companies* in: *The British Accounting Review*, Aston, Elsevier, No. 2, 2006, p. 149-173.

The foundation for the proposed model comes from a wide variety of theoretical disciplines. Part of the model we reflect the holistic information model for strategic investments as presented by Küpper¹⁰. Contrary to historical views, quantitative, financial data are by no means sufficient for a comprehensive evaluation of strategic ideas. A determination of other strategic effects is also required. Due to the high level of uncertainty and complexity of projects, financial information partly takes a back seat⁵, because the more uncertain the cash flows of a project are, the more intuition comes into play¹¹. All dimensions should be considered in an integrated manner in terms of Integrated Thinking/Reporting, because without a strategic orientation, neither a decision on types of investments can be made, nor can the value of projects be ensured without a financial evaluation¹². Thus, any proposed model has to address both. Empirical results highlight the need for a combination of multiple methods to optimize the investment portfolio¹³.

Pike et al.¹⁴ clusters the decision-making process around government, the public/clients, strategy, controlling, investors, shareholders and management.

Management, in their role, decide on strategic KPIs and financial KPIs. A few examples, that need to be considered, are market, alternatives and synergies, risk and sustainability, strategic fit. On the controlling side, decision makers need to account for capex, opex, discounting factors, cash-flows, sales, subsidies and costs. Later, we propose a simplistic view to incorporate these in the decision-making process. The two views essentially lead back to the stakeholders (stakeholder groups) to be taken into account in the context of the investment decision, which determine the concept of success¹⁵. Management, as the addressee of reporting on

¹⁰ H. Küpper, *Situations, theoretical basis and instruments of Invest Controlling* in Journal for management, Munich, No. 91, LMU, 1991, p. 167-192.

¹¹ E. Brigham, *Hurdle rates for screening capital expenditure proposals*, in: Financial Management, New Jersey, Wiley, No. 3, 1975, p. 17-26.

¹² E. Harris, T. Hoang, G. Ngan, *Accounting for capital investment appraisal: time for a radical change?*, in: The Routledge Companion to Accounting Information Systems, London, Routledge, 2017, p. 173-189.

¹³ R. Cooper, S. Edgett and J. Kleinschmidt, *New product portfolio management: practices and performance*, in: Journal of Product Innovation Management, New Jersey, Wiley-Blackwell, No. 4, 1999, p. 333-351.

¹⁴ R. Pike, J. Sharp and D. Price, *AMT investment in the larger UK firm*, in: International Journal of Operations & Production Management, Bradford, Emerald Group Publishing, No. 2, 1989, p. 13-26.

¹⁵ Patanakul, P. /Iewwongcharoen, B./Milosevic, D.: *An empirical study on the use of project management tools and techniques across project life-cycle and their impact on project success*, in: Journal of General Management, Thousands Oaks (California), Sage Publishing, No. 3, 2010, p. 41-66.

strategic investments and as the decision-maker on actual implementation, requires aggregated but complete reporting from all sources of information on the effects of strategic projects for decision-making and also to avoid possible corporate governance violations¹⁶. In addition to the general description of the investment idea, the strategic perspective essentially addresses five areas that need to be distinguished: strategic fit, market, milestones, alternatives and synergies, risk and sustainability. This fit to the strategy promotes for the company the stringency in the activity orientation and the implementation contributes to the reaching of the emphasized objective also with high economic uncertainty¹⁷. As mentioned financial data have only limited significance for the preparation of strategic investment decisions and function more as a framework condition, they nevertheless play a central communication and decision-making role in practice^{18,19,20}.

We define minimal requirements such as investment amounts, components of the profit and loss statement (P&L) and discount rates, which are inevitably required for the modeling of a business plan focused on the useful/project life of the strategic investment. The key assumptions to be made on the basis of the manager's intuition are directed toward the calculation of the KPIs.

Model

The literature review and theoretical framework in the preceding chapters only cover a limited survey of the research around this topic, which has been thoroughly researched by management disciplines. The below presented concept surveys an extensive amount of literature and combines elements for a simple framework for a corporate decision maker. The objective of the model is to map the minimum required data for

¹⁶ G. Vesty and J. Oliver, *Corporate strategy and accounting for sustainability in investment appraisal*, in: Corporate Ownership and Control, Sumy, Virtus Interpress, No. 2D, 2014, p. 377-388.

¹⁷ R. Butler, L. Davies, R. Pike and J. Sharp, *Strategic investment decision-making: complexities, politics and processes*, in: Journal of Management Studies, New Jersey, Wiley-Blackwell, 1991, No. 4, p. 395-415.

¹⁸ F. Alkaraan, *Strategic investment decision-making practices in large UK manufacturing companies: a role for emergent analysis techniques*, in: Meditari Accountancy Research, Bringley, Emerald Insight, No. 4, 2020, p. 633-653.

¹⁹ J. Shank, *Analyzing technology investments - from NPV to strategic cost management (SCM)*, in: Management Accounting Research, Amsterdam, Elsevier, No. 2, 1996, p. 185-197.

²⁰ A. Van Cauwenbergh, E. Durinck, R. Martens, E. Laveren and I. Bogaert, *On the role and function of formal analysis in strategic investment decision processes: results from an empirical study in Belgium*, in: Management Accounting Research, Elsevier, No. 2, 1996, p. 169-184.

extensive decision preparation of strategic investments and presents possible associated instruments. Therefore, the template does not aim to determine the best investment alternative or to provide extensive project planning. Overall, the model corresponds to a strategic framework with relevant, financial assumptions for investment reporting and investment controlling in the context of corporate planning, which is to be used in the process step of information gathering during investment planning.

As we can see above, the decision-making process can be performed at different hierarchy levels. For the sake of simplicity, we have limited the below graphic to three levels of investment opportunities. As we already discussed, in all decision-making processes an interaction between innovation, strategy and controlling needs to exist. Innovation will determine the know-how, while strategy determines the demand for the know-how and controlling offers the risk return analysis needed for decision-making.

Each company needs to reflect separately on the three levels of the decision-making process.

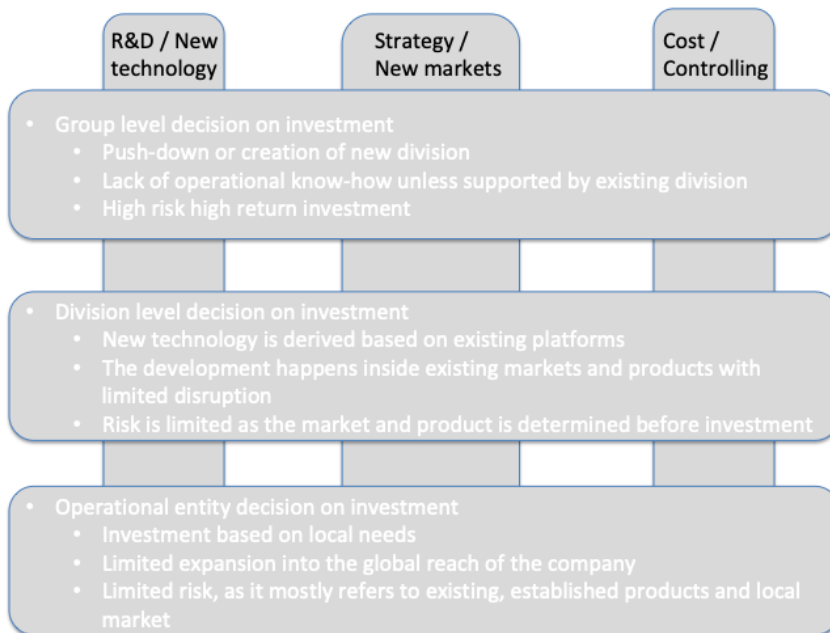


Fig. 1: Possible investment strategies in an international group

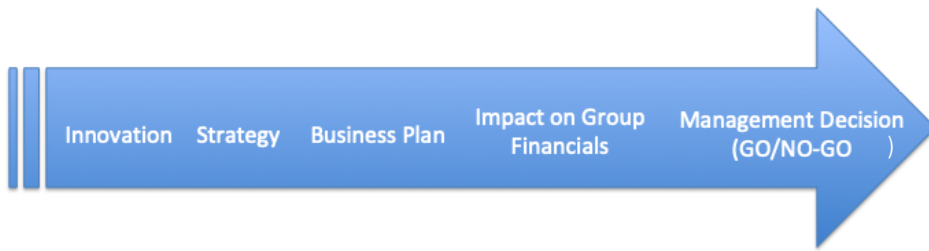


Fig. 2: Four step plan to securing a decision

There needs to exist an R&D and new technologies planning that follows a complex and multidimensional process. These initiatives in their primary form should be unrestricted by either strategic thought or cost analysis. Engineers should be part of at least a yearly workshop in which know-how cross products and business units is exchanged. Creative problem-solving should be the focus of the workshop. The first iteration happens on this level, as these workshops should be independent of established strategies, but a first high-level strategic direction should be provided by the strategy department of the companies. The final output should outline the initiative timeline and milestones

Initiative	Description	Timeline (short- / medium- / long-term)	Complexity of Initiative (low / medium / high)	Technological Chances	Technological Risk
Initiative 1		S / M / L	L/M/H	Descriptive	Descriptive
Initiative 2					
...					

Fig. 3: Technological initiatives

Timeline to completion	Description	Milestone / Completed when	Enables
Year 1
Year 2
Until year 5
Until year 10

Fig. 4: Each initiative needs to have an established mile stone plan for the strategic assessment

This process should be focused around enablers and disruptors and not on the more structured processes that will follow afterwards. Parallel or directly after, the top enablers of the future have to be presented in a strategic planning meeting. This process should be a complex,

multidimensional process, which also covers applications for strategic investment ideas. Strategic projects are identified in a coherent and networked top-down and bottom-up process. The result of this process should be directly integrated into top management decision-making formats to enable top management to set global market and technology targets.

Initiative	Assessment	Description
Description ➤ ... ➤ ...	FIT ➤ Low / Medium / High	➤ ...
Strategic Rationale ➤ ... ➤ ...	USP Enabler ➤ Low / Medium / High	➤ ...
Restrictions ➤ ... ➤ ...	Impact on Business – Qualitative ➤ Low / Medium / High	➤ ...
Alternatives ➤ ... ➤ ...	Expected Return on Investment in [xx] yrs ➤ in millions	➤ ...

Fig. 5: Strategic Fit / Strategic assessment

Market	SWOT	Own Company	[Competitor 1]	[Competitor 2]
Total Available Market ➤ Units ➤ \$/EUR	Strength			
Serviceable Available Market ➤ Units ➤ \$/EUR	Weakness			
Total Market Share ➤ Units ➤ \$/EUR	Opportunity			
	Threats			

Fig. 6: Market assessment

The best five strategic investment proposals should be identified individually at the three hierarchy levels (see Fig. 1). For each of those it is then expected to create a business plan that will be reviewed by controlling to assess the impact of the costs and the opportunities of the investment on a group level. This is the final step in achieving overall consistency and aligning the strategic and financial foundations of the ideas with each other in a decision-making process that appease management, operations, strategy and controlling. Additional key functions need to be coordinated to correct for other group targets such as sustainability, social responsibility, compliance etc. as shown below. It is often the case that in such a process one of the foremost problem is lack of comparability between ideas. This is because, as experience shows, decision documents and business case models are often neither comparable nor do they take all significant dimensions into account. The lack of internal congruence prevents the final integration of the approved strategy into operational planning.

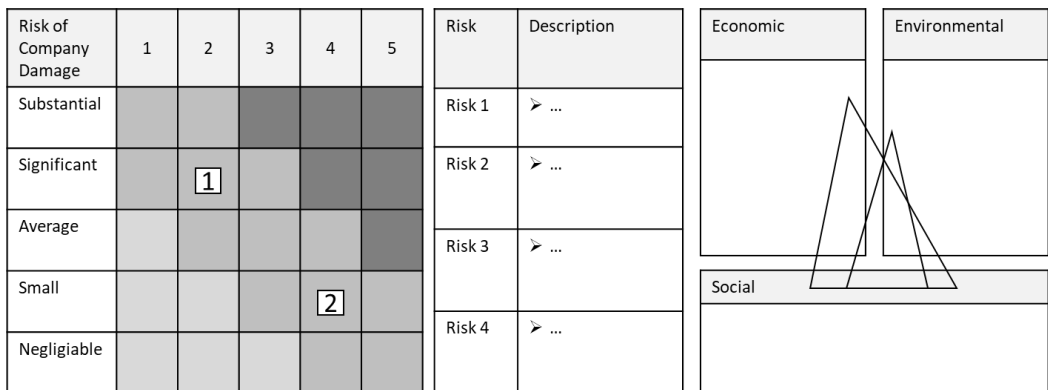


Fig. 7: Assessment on risk sustainability, social responsibility, environmental

Operational planning, which is developed in an annual process across all group companies, covers a time horizon of three to five future-oriented planning years. For the integration of the now established strategy in a business plan and for the impact on the group financials a minimum of general planning content needs to be generated.

in mLC	Prior to Year 5	Prior to Year 10	After Year 10	Total
Sales	xx	xx	xx	xx
Research	xx	xx	xx	xx
Other Opex	xx	xx	xx	xx
Contribution Margin Total	xx	xx	xx	xx
Contribution Margin %	x%	x%	x%	x%
Overhead alloc.	xx	xx	xx	xx
EBIT	xx	xx	xx	xx
Capex (incl. Cap Research)	xx	xx	xx	xx
FCF pre tax	xx	xx	xx	xx
Discounted FCF	xx	xx	xx	xx

<i>KPI</i>			
<i>Net present value</i>	<i>x</i>	<i>Payback Period</i>	<i>x</i>
<i>Internal Rate of Return</i>	<i>x%</i>	<i>Discounted Payback Period</i>	<i>x</i>

Sensitivity		Contribution Margin %			
Discount-factor		<i>xy%</i>	<i>xx%</i>	<i>xz%</i>	<i>xt%</i>
	<i>x%</i>	1	2	3	4
	<i>y%</i>	5	6	7	8
	<i>z%</i>	10	11	12	13
	<i>w%</i>	15	16	17	18
	<i>v%</i>	20	21	22	23

Fig. 8: Summary of financial KPIs and minimum scenario analysis

At a minimum, each project needs to consider the top line (sales) and the cost base/profitability. The cost base needs to be separated between opex and capex and a clear definition of internal hours and external costs needs to exist. Based on standard assumptions about working capital, D&A, and tax rate a NOPAT can be generated, from which a cash flow can be simulated. Based on the figures using specifically determined discount factors a discounted cash flow can be calculated, based on which simulations and risk scenarios can be produced.

Based on the proposed framework a decision tree can be provided to management.

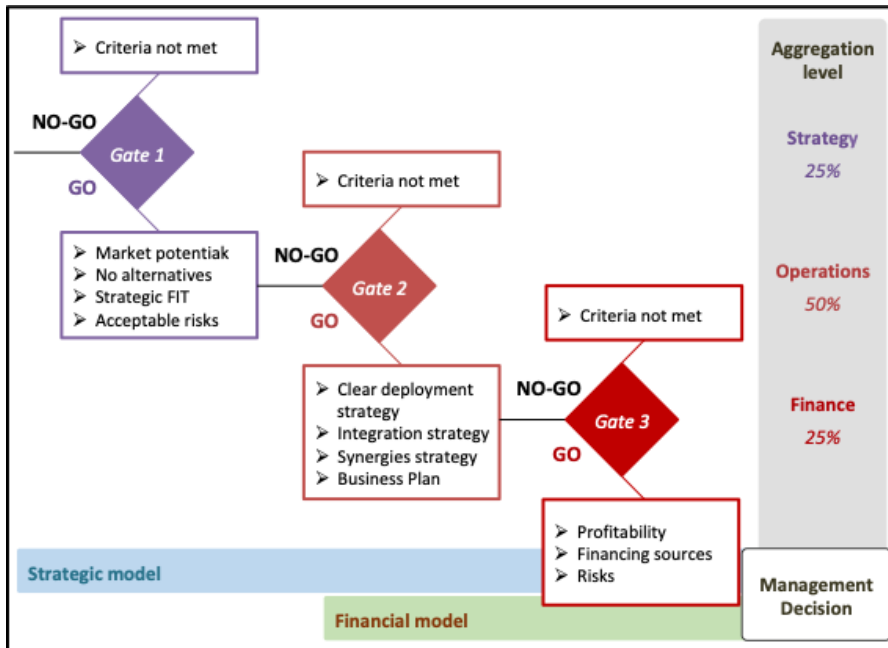


Fig. 7: Decision tree framework for starting projects

Conclusions

By using literature and corporate knowledge the paper provides a solution to the limited integration and low level of transparency between new technologies initiatives, strategy and operational corporate planning. By using this framework companies can make valid statements about their decision methodology as well as generate the necessary information for all corporate needs, especially the financial consideration of the research and development expenditures that have been shown to be difficult by the literature. Furthermore, this framework closes the gap that technology-based research departments of the various individual companies might lack the possibility of weighing up strategic investment projects against each other and preparing them in an addressee-oriented manner for decision proposals to the division/corporate management.

The framework proposed describes a coherent picture based on the provided literature. Nevertheless, empirical investigation and actual application in corporate processes are required to confirm its practicability. At a minimum, the structure model can be used to challenge current corporate processes and transfer the concept that strategy, operations and controlling need to be aligned and one general decision approval request covering all the above needs to be provided to management for a go / no-go decision. In addition, theoretical approaches other than the stakeholder theory applied above demonstrate promising

potential as a basis for linking strategic and financial perspectives. These include, for example, agency theory, game theory, or innovation theory for important make-or-buy decisions, which can also be seen as strategic investments. For the further corporate development and improvement of the processes, a unified, integrated reporting and staggered information retrieval must be achieved for the future.

References

- Accola, W.L., (1994), *Assessing risk and uncertainty in new technology investments*, in: Accounting Horizons, Arlington, Alleen Press.
- Alkaraan, F., (2020), *Strategic investment decision-making practices in large UK manufacturing companies: a role for emergent analysis techniques*, in: Meditari Accountancy Research, Bringley, Emerald Insight.
- Alkaraan, F./Northcott, D., (2006), *Strategic capital investment decision-making: A role for emergent analysis tools?: A study of practice in large UK manufacturing companies*, in: The British Accounting Review, Aston, Elsevier.
- Altrogge, G., (1996), *Investition*, 4., völlig überarbeitete und erweiterte Aufl., München/Wien: Oldenbourg Verlag.
- Brigham, E.F., (1975), *Hurdle rates for screening capital expenditure proposals*, in: Financial Management, New Jersey, Wiley.
- Butler, R./Davies, L./Pike, R./Sharp, J., (1991), *Strategic investment decision making: complexities, politics and processes*, in: Journal of Management Studies, New Jersey, Wiley-Blackwell.
- Carr, C./Kolehmainen, K./Mitchell, F. (2010): *Strategic investment decision making practices: A contextual approach*, in: Management Accounting Research, Amsterdam, Elsevier.
- Cooper, R.G./Edgett, S. J./Kleinschmidt, E. J. (1999): *New product portfolio management: practices and performance*, in: Journal of Product Innovation Management, Amsterdam, Elsevier.
- Friedemann, C., (1998), *Umweltorientierte Investitionsplanung*, Wiesbaden, Springer Gabler.
- Götze, U./Bloech, J., (2013), *Investitionsrechnung: Modelle und Analysen zur Beurteilung von Investitionsvorhaben*, Berlin / Heidelberg, Springer.
- Harris, E./Hoang, T./Ngan, G., (2017), *Accounting for capital investment appraisal: time for a radical change?*, in: Quinn, M./Strauss, E. (Hrsg.): The Routledge Companion to Accounting Information Systems, London, Routledge.

Hauser, K./Panzau, P., (2012), *Investitionscontrolling in kapitalmarktorientierten und mittelständischen Unternehmen in Deutschland – Status Quo und Ausblick*, in: Controlling & Management, Basel, Springer.

Heising, W., (2012), *The integration of ideation and project portfolio management - A key factor for sustainable success*, in: International Journal of Project Management, Amsterdam, Elsevier.

Küpper, H.-U. (1991): *Gegenstand, theoretische Fundierung und Instrumente des Investitions-Controlling*, in: Zeitschrift für Betriebswirtschaft (Ergänzungsheft), Munich, LMU.

Patanakul, P./Iewwongcharoen, B./Milosevic, D., (2010), *An empirical study on the use of project management tools and techniques across project life-cycle and their impact on project success*, in: Journal of General management Thousands Oaks (California), Sage Publishing.

Pike, R./Sharp, J./Price, D., (1989), *AMT investment in the larger UK firm*, in: International Journal of Operations & Production Management, Bradford, Emerald Group Publishing.

Shank, J.K., (1996), *Analysing technology investments - from NPV to strategic cost management (SCM)*, in: Management Accounting Research, Amsterdam, Elsevier.

Van Cauwenbergh, A./Durinck, E./Martens, R./Laveren, E./Bogaert, I., (1996), *On the role and function of formal analysis in strategic investment decision processes: results from an empirical study in Belgium*, in: Management Accounting Research, Amsterdam, Elsevier.

Vesty, G./Oliver, J., (2014), *Corporate strategy and accounting for sustainability in investment appraisal*, in: Corporate Ownership and Control, Sumy, Virtus Interpress.

THE LEGALITY, PROSPECT, AND CHALLENGES OF ADOPTING AUTOMATED PERSONAL INCOME TAX BY STATES IN NIGERIA: A FACILE STUDY OF EDO STATE

Paul Atagamen Aidonojie*,

aidonojie.paul@edouniversity.edu.ng

Joseph Nwazi**,

barrmazi@yahoo.com

Ugiomo Eruteya***

Abstract: *The operation of every given taxing system is a function of law. In this regard, by item 59, paragraphs 2 of the Exclusive Legislative List of the Nigeria constitution, the Federal Government is empowered to make law to regulate income tax and profit. However, despite the Federal Government's constitutional power, several states, including the Edo State, adopt an automated personal Income Tax (PIT) against the manual process stipulated by the PIT Act. In this regard, the researchers employ a hybrid research method in embarking on this study. The study used online questionnaires sent to 324 respondents residing within Edo State. In addition, descriptive and analytical statistics were used to analyse the data generated. The study found that an automated PIT system in Edo State has enhanced PIT administration. However, there are challenges inherent in an automated PIT, and the legality of an automated PIT adopted by Edo State without a review of the current PIT Act is questionable. Therefore, the study concluded and recommended that the current PIT Act be amended to accommodate an automated PIT. The challenges should be savage by the government for a better automated PIT administration.*

Keywords: *Tax, Personal Income, Automated, Edo State, Nigeria*

* (PhD. In-view) Law Lecturer, Department of Public and International Law, Faculty of Law, Edo State University Uzairue, Nigeria.

** PhD. Associate Professor of Law and Sub-Dean, Faculty of Law, Igbinedion University Okada, Edo State, Nigeria.

*** PhD. Law Lecturer, Faculty of Law, Igbinedion University Okada, Edo State, Nigeria.

Introduction

However, the world is a global village developing rapidly in information communication technology¹ (I.C.T). Information communication technology has enhanced the commercial world², making it easier to transact business online. Furthermore, information communication technology has also been employed to regulate taxation, reforming the manual taxation system into an automated one. An automated tax system is a platform that provides for an online procedure of registration of taxpayer as an eligible taxpayer, filing of a return, and tax assessment (either by self-assessment or assessment by a tax authority). Furthermore, it also involves services of tax assessment notice, serving of demand notice on taxpayers, payment of tax, and generating of tax receipt via online. An automated tax system makes it faster and easier in the processes involved in personal income tax³. In addition, it has been argued that an automated tax system ensures transparency to reduce corruption⁴, checkmate tax evasion, and avoidance⁵, which will further increase revenue generation⁶.

Given the above advantages of an automated tax system, it was stated by World Bank and PWC that as of 2010, 66 countries had adopted an automated tax system. An automated tax system was adopted in Nigeria in 2015. The payment of taxes at the Federal Inland Revenue Services is made online⁷. Because of improving revenue generation and increasing the tax base of taxpayers eligible to pay personal income tax, the Edo State Government in 2019 introduced an automated tax system called Edo State

¹ G. Bamodu, "Information Communication Technology and E-commerce: Challenges and Opportunities for the Nigeria Legal System and the Judiciary" *The Journal of Information, Law and Technology (JILT)*, (2004), Vol. 3(2), 6-23

² T.I. Akomolede, "Contemporary Legal Issues in Electronic Commerce in Nigeria" *PER/PELJ* (2008), Vol. 11(3), 2-19

³ B. Mustapha and N.B. Siti, "Tax Service Quality: The Mediating Effect of Perceived Ease of Use of the Online Tax System", *Procedia - Social and Behavioral Sciences* (2015) Vol. 172, 2-9.

⁴ C.N. Ofurum, L.I. Amaefule, B.E. Okonya and H.C. Amaefule, "Impact of E-Taxation on Nigeria's Revenue and Economic Growth: A Pre – Post Analysis", *International Journal of Finance and Accounting* (2018), Vol. 7(2), 19-26

⁵ P. V.C. Okoye and R. Ezejiofor "The Impact of E-Taxation on Revenue Generation in Enugu, Nigeria" *International Journal of Advanced Research*, (2014) Vol. 2(2), 449-458.

⁶ B. Mustapha, "Factor Influencing Income Taxpayers Reaction towards E-Tax System Adoption in Nigeria" *Fountain Journal of Management and Social Sciences*, (2015) Vol. 4(2), 32 – 43 accessed 12th March, 2020.

⁷ M. Oseni, "Sustenance of Tax Administration by Information and Communications Technology in Nigeria" *Archives of Business Research*, (2016) Vol. 4(1), 52-76; A.O. Okunowo "FIRS introduces E-filing Tax System in Nigeria",

<https://www.linkedin.com/pulse/firs-introduces-e-filing-tax-system-nigeria-okunowo-a-obafemi/> accessed 12 March, 2020.

Revenue Administration System (ERAS). The Edo State introduction of an automated personal income tax system provides for capturing and registration of taxpayers' data, tax assessment generation, generation of demand notice, payment of tax assessed online.

Tax is a function of law. Before introducing an automated tax system in Edo State, the process involved in taxing a taxpayer under the personal income tax was done manually and is regulated by the Personal Income Tax Act⁸. However, although the Edo State personal income tax system has been automated, the current Personal Income Tax Act is still the current law regulating the whole process of the automated tax system.

Given the above, this study tends to embark on an empirical and doctrinal analysis of the current legal procedure in taxing individual income under personal income tax in Edo State, understanding the Process of Edo State's automated personal income tax system, and its legal challenges, and effect. Furthermore, the research will suggest some possible solutions.

Methodology

The study uses a hybrid research method (i.e., a doctrinal and non-doctrinal research approach). The doctrinal session aims to theorise and analyze the concept and nature of an automated personal income system as introduced by the Edo State government. The doctrinal method also aimed to analyze the legality and challenges inherent in adopting an automated PIT system as against the manual process contemplated by the Personal Income Tax Act.

Furthermore, the research also adopts a non-doctrinal method of study via an online questionnaire sent to several respondents (randomly selected) residing in the three senatorial districts of Edo State. Furthermore, the study adopts descriptive and analytical research methods in analyzing the data generated via the online survey questionnaire. The essence of adopting a non-doctrinal approach alongside the doctrinal method is to ascertain a generalization concerning the legality, prospect, and challenges of an automated PIT system in Edo State.

Literature Review

It is pertinent to state that Nigeria operates three (3) tiers of government, the Federal, State, and local government. The areas in which they are empowered to collect taxes from individuals and corporate bodies are specified by the constitution⁹ and further expanded by the Taxes and

⁸ Personal Income Tax Act 1993 No. 104

⁹ Constitution of the federal Republic of Nigeria

Levies Act¹⁰. Given the above, the Edo State Government, likewise other states of the federal republic of Nigeria, collect the personal income tax involving an individual. Although, by item 59, schedule 2 of the Exclusive Legislative List to the Nigeria constitution, the power to enact a law regulating income tax and profit is reserved exclusively for the federal government. In furtherance of item 59, schedule 2 of the Exclusive Legislative List, the Nigerian Federal Government enacted the Personal Income Tax Act, which provides income tax and profit regulation. However, it must be noted that the process provided for the regulation of personal income tax of individual as provided for by section 41- 81 of the Personal Income Tax Act, is a manual process.

However, in search of ending or minimizing non-compliance of tax payment emanating from tax evasion and avoidance by taxpayers and increasing the tax base, most states in Nigeria, including the Edo State, have adopted an automated personal income tax. No doubt, the Edo state Revenue Automated System (also called ERAS) has several advantages such as increase in tax base and revenue generation.

It is apt to state that irrespective of the Edo State revenue automated personal income tax system's positive effect, it also has some social and legal challenges. This is concerning that the Personal Income Tax Act in Nigeria regulates personal income tax¹¹. Consequently, the process of subjecting an individual income to taxing is often done manually¹² as specified by the Personal Income Tax Act. It suffices to state that the principle of law, as stated in the case of *Shell V. FBIR*, is that the establishment and duty to pay tax is a function of law. In this regard, any other process adopted in regulating personal income tax not contemplated by the Personal Income Tax Act will result in a latent legal implication. This legal challenge stems from the fact that an automated personal income tax in Edo state is a current trend not contemplated by the extant Personal Income Tax Act¹³ and its amendment¹⁴.

It suffices to state that the concept of an automated personal income tax in Nigeria is a novel area given its current trend. There are few pieces of literature concerning an automated personal income tax (though not in Edo State). However, there are literature and case laws that have discussed the issues as they relate to personal income tax in Nigeria. In this regard, it

¹⁰ Taxes and Levies (Approved List for Collection) Act, 2004

¹¹ Personal Income Tax Act, CAP P. 8 Laws of the Federation of Nigeria, 2004; Personal Income Tax (Amendment) Act, 2011

¹² Ibid, section 44 of the Personal Income Tax Act, 2004

¹³ Ibid

¹⁴ Personal Income Tax (Amendment) Act, 2011

will be very relevant to examine some of this literature in ascertaining their extent of contribution to this study.

In their study, it suffices to state that in Adedeji and Oboh¹⁵, it was revealed that taxpayers often employ several strategies in exploiting the loopholes in the tax laws to escape tax payment. Their research further reveals that tax avoidance and evasion is as a result of the following reason;

- i. inefficient and ineffectiveness of tax administration in Lagos State,
- ii. Inadequate information on the assets and income of the taxpayer, in this regard, there is no database of taxpayer,
- iii. the mechanism put in place for assessment and collection of taxes are not enough.

However, their findings reveal that the possible ways of curtailing tax evasion and avoidance are enacting or reviewing those tax laws to be in line with current trends.

Regarding the above challenges, as it concerns personal income tax, as observed in the study of Adedeji, that necessitated the adoption of an automated personal income tax by several states in Nigeria, including Edo State. According to Umenweke and Ifediora, in their study¹⁶, they stated that automated tax system is gradually taking over the manual process of taxation, given the numerous advantages and relevance of e-tax tend to provides, which range from electronically filing, assessment of tax, serving of tax assessment and payment of taxes. They also stated that given the relevance of t automated tax system, States in Nigeria have deemed it fit to introduce it into their tax administration and management system.

Furthermore, Oladele *et al.*¹⁷, in their study, it was found that electronic taxation has a significant effect of reducing tax evasion and preventing corruption in manipulating a manual process of tax remittance by taxpayers and tax officials. They suggested that electronic taxation in Nigeria should be adopted and utilized with a robust improvement on information and communication technology to reduce the incidence of tax evasion and sharp practice among taxpayers and tax officials.

¹⁵ T.O. Adedeji, and C.S. Oboh, "An Empirical Analysis of Tax Leakages and Economic Growth in Nigeria", *European Journal of Economics, Finance and Administrative Sciences*, (2012), Vol. 48, 42-57

¹⁶ M.N. Umenweke & E.S. Ifediora, "The Law and Practice of Electronic Taxation in Nigeria: The Gains and Challenges" *Nnamdi University Journal of International Law and Jurisprudence*, 2016, p. 101-112

¹⁷ P.O. Oladele, F.O. Aribaba, R.A. Oladele, J.O. Ahmodu, L. Olamide, An Assessment of E-Tax Administration on Tax Revenue in Ondo State, Nigeria, *of Business Studies and Management Review (JBSMR)* Vol.3 (1), 2019, p 50-55

It suffices to state that Awai and Oboh¹⁸ identified that given the relevance and advantages electronic tax administration tends to provide, however, it is not without challenges. This is concerning the fact that in examining the ease of payment of taxes via electronic means in their study, it reveals the fact that the following challenges are inherent in using electronic means in the filling, assessment, and payment of taxes;

- i. Poor accessibility to the Internet,
- ii. Computer illiteracy,
- iii. Inadequate awareness and information concerning the usage of an automated tax system.

Given the above challenges inherent in an automated tax system, they further recommended that the Nigeria government should employ a simplistic electronic tax system platform, such as an automated tax mobile App that will ensure ease for a taxpayer to able to utilize the platform.

Though it must be noted the above literature of various they have been able to a certain extent examine the concept of an automated personal income tax which will be very relevant to this study. However, this study focuses more on the legality, prospect, social and legal challenges of an automated personal income tax system in Edo State as a case study. Furthermore, the study is also key to analyzing the current Personal Income Tax Law to suggest further, the relevant laws relating to the automated personal income tax administration. Therefore, the essence of the review is aimed at indicating that it should be review to properly back up and provide for the legality of an automated personal income tax regime process with legitimacy. This is given that enacting or reviewing the existing personal income tax laws to primarily regulate an automated personal income tax will curtail and curb needless litigation and tax evaders who may question the legality of an automated personal income tax administration.

Concept and Nature of an Automated PIT System in Edo State

It is apt to state that the world is a global village that is rapidly developing in terms of information communication technology (I.C.T). Information communication technology has enhanced virtually all sectors, and it has made it easier to transact business via electronic means¹⁹.

¹⁸ E.S. Awai and T. Oboh, Ease of Paying Taxes: The Electronic Tax System in Nigeria. *Accounting & Taxation Review*, Vol. 4 (1), 2020, p. 63-73.

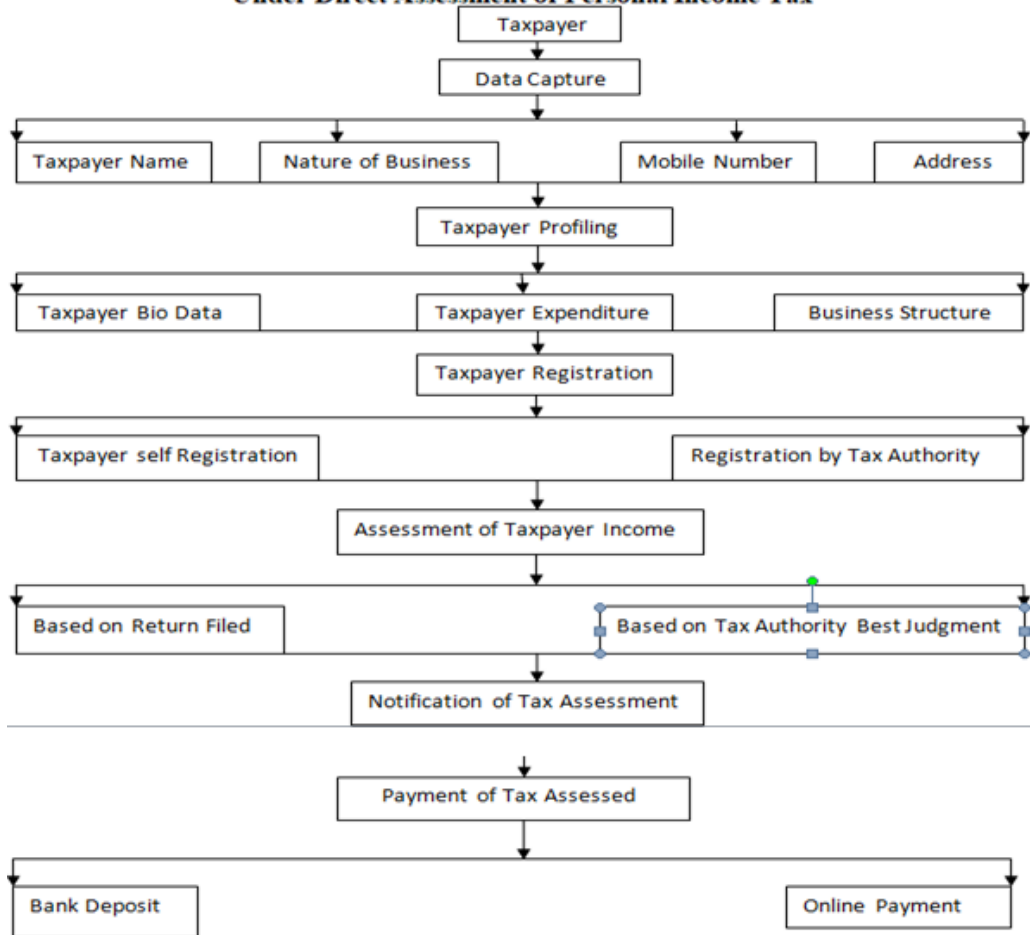
¹⁹ S.I. Adeniyi, and B.R. Adesunloro, "Electronic Taxation and Tax Evasion in Nigeria: A Study of Lagos State". *Journal of Academic Research in Economics*, (2017), Vol. 9(1), 34-58.

Therefore, it suffices to state that information communication technology has also been employed to regulate personal income tax, thereby reforming the usual manual system of personal income tax into an automated tax system. An automated tax system is a platform that provides for an electronic procedure of registration of taxpayer as an eligible taxpayer, filing of a return, tax assessment (either by self-assessment or assessment by a tax authority). Furthermore, it also provides the services of tax assessment notice, serving of demand notice on taxpayers, payment of tax, and generating of tax receipt via online.

However, given the development of an automated personal income taxing system, the Edo State Government in 2019 introduced an automated tax system called Edo State Revenue Automated System (ERAS). It suffices to state that the essence of the Edo State automated personal income tax system is to improve and increase the tax base, accountability, transparency, and revenue generation. Furthermore, the introduction of the automated tax personal income tax in Edo State also aimed to reduce the incidence of tax evasion. The Edo State automated personal income tax system provides for the process as follows;

- i. An electronic data capturing of a taxpayer
- ii. E-registration of taxpayers' data
- iii. E-tax assessment generation and services on taxpayer
- iv. E-generation and services of demand notice
- v. Electronic payment of tax due

**Diagrammatic Process of Edo State Revenue Automated System
Under Direct Assessment of Personal Income Tax**



The above characterize the procedure of an automated personal income tax in Edo State.

Prospect of an Automated PIT System

It suffices to state that taxation is a vital means of government generating money to finance the project and cater to its citizens' welfare²⁰. However, despite the relevance of taxation to the Edo State government, the tax administration concerning personal income tax in Edo State has been associated with a lot of challenges which includes; corruption on the part of tax officials, tax evasion, and avoidance.

²⁰ S.I. Adeniyi and B.R. Adesunloro, *Electronic Taxation and Tax Evasion in Nigeria: A Study of Lagos State*. Journal of Academic Research in Economics, Vol. 9(1) 2017.

Given the above abnormalities inherent in the Edo State personal income tax system, the government had seen the need to adopt a sophisticated method such as an automated personal income tax to mitigate these challenges. It must be noted that the introduction of an automated personal income system has to a large extent, mitigated the sharp practice involved in the manual process of filing and self-assessment. Also, it enhances assessment by a tax official, services of notice of tax due, and remittance of tax due.

Furthermore, given the above relevance identified concerning an automated personal income tax, it also possesses the following prospect and relevance, which are;

1. An automated PIT has led to an increase in the tax base in Edo State,
2. Increase in Revenue generation in Edo State,
3. It curtails or reduces the incidence of tax invasion and avoidance,
4. It aids in checking the incidence of corruption among tax officials and taxpayer,
5. It has enhanced and improved the quality of PIT administration in Edo State.

The Legality of an Automated Personal Income Tax System

Section 1 of the Nigerian constitution is the grundnorm of the nation, and its provisions are considered binding on the government, the Governed, and all those residing within Nigeria²¹. Furthermore, the Constitution provides for the power of the Federal and the various States of the federation²² in the exclusive and concurrent list. Therefore, the item in the exclusive list is reserved exclusively for the Federal Government to legislate on²³. In this regard, a cursory examination of the Nigerian Constitution further reveals that by item 59, schedule 2 of the Exclusive Legislative List²⁴ of the Nigeria constitution, the federal government has the exclusive power to make laws concerning taxation of income, profits, and capital gains, except as otherwise stipulated by the Constitution. This position of the Nigerian Constitution has been aptly reiterated in the case of *Everest Hotels v. AG Lagos State*.²⁵In this case, the court was of the

²¹ See section 1, Constitution of the Federal Republic of Nigeria (as amended) 2011; P. A. Aidonojie & P. Egielewa, "Criminality and the Media: Perception and Legality of the Amotekun Security Agency in Nigeria" *International Journal of Comparative Law and Legal Philosophy*, (2020) Vol. 1 (3), 47-68

²² Ibid, section 3, 4 and 5

²³ Ibid, Part I, Exclusive Legislative List of the Second Schedule to the Constitution

²⁴ Exclusive Legislative List of the Second Schedule to the Constitution of the Federal Republic of Nigeria (as amended) 2011

²⁵ (2010) 2 TLRN, 1. at 14

legal view that a combined reading of section 4 and items 59, Schedule 2 of the Exclusive Legislative List of the Nigeria constitution, empowers the federal government to make laws on the taxation of income, profits, and capital gains. In this regard, it suffices to state that the collective effect of the above provisions reveals that the Nigerian constitution never intended to give a comprehensive and unexpurgated jurisdiction to the federal government over matters related to good governance concerning taxation.

Furthermore, it suffices to state that section 4(2) of the Nigeria constitution and item 7, 8, and 9 of the Exclusive Legislative List to the Nigeria Constitution²⁶ stipulates that the Federal and States governments of the federation possess the power to legislate on matters as they relate to imposition and collection of taxes. However, given the doctrine of covering the field, it postulates that where the federal government and state government laws conflict any matter contained in the concurrent list, they are both empowered to make laws on, the federal government laws will supersede the state law. In this regard, assuming any law enacted by the state government concerning any matter contained in the Concurrent Legislative List is inconsistent with any law made by the federal government will be declared void and null. In that case, the law made by the federal government shall prevail. In this regard, other laws enacted by the state government shall be void to inconsistent with federal law²⁷.

Given the above, it suffices to opine that only the federal government has the exclusive power to legislate on issues as it concerns taxation of income and profit²⁸. Therefore, every other level of government is precluded from acting in enacting laws as it concerns taxation of income and profit. In the case of *CNOOC Exploration and Production Nigeria Ltd. & Anor V. FIRS & Anor*²⁹, it was held by the court that, whenever the law confers exclusive powers on any particular authority or person, the term “exclusive” operates to preclude or exclude other authorities from exercising or purporting to exercise those powers.

Although, it suffices to state that the federal and state government are authorized by law to collect various types of taxes³⁰ within their stipulated jurisdiction to raise funds for smooth administration. However, the Taxes

²⁶ Exclusive Legislative List of the Second Schedule to the Constitution of the Federal Republic of Nigeria (as amended) 2011

²⁷ A.G. Abia State v. A.G. Federation (2005) SC

²⁸ O. Akanle, “The Power to Tax and Federalism in Nigeria - Legal and Constitutional Perspectives on the Sources of Government Revenue, (Lagos: Centre for Business and Investment Studies 1988);

²⁹ (2013) 1 NTTLR, 1

³⁰ S.O. Uremadu and J.C. Ndulue, “A Review of Private Sector Tax Revenue Generation at Local Government Level: Evidence from Nigeria” *Journal of Public Administration and Policy Research*, (2011), Vol. 3(6), 174-183.

and Levies Act³¹ provide taxes to be collected by the federal government³² and various states government of the federation (which Edo State is part of)³³. In this regard, part II Schedule 1(a), and (b)³⁴ of the Taxes and Levies Act only empowers the various states government (including the Edo State Government) to collect personal income tax on an individual who resides within Edo State. Furthermore, the section provides that the personal income tax that the State Government could collect is a pay-as-you-earn and direct form of taxation which often involves self-assessment³⁵.

Given the above provisions of the Taxes and Levies Act, a careful examination of the provisions of the Act reveals that the essence of the Taxes and Levies Act is aimed at identifying the taxes to be collected by the various levels of government. In this regard, the does not Taxes and Levies Act does not empower states government to make laws on income tax and profit.

However, it suffices to state that the Personal Income Tax Act enacted by the federal government by item 59 schedule 2 of the exclusive legislative list to the Nigeria constitution is a primary legal framework. It provides for the imposition, assessment, and collection of income tax from individual and corporate bodies in Nigeria³⁶. In addition, the Act provides for and recognizes a manual procedure for filing a return, tax assessment, manual process of service of notice of tax assessment, manual process of collection, and recovery of personal income tax in Nigeria, including Edo state. In this regard, adopting an automated process of a personal income tax by the Edo State government not contemplated or provided for by the Personal Income Tax Act is not considered legal and could have serious legal implications in the enforcement of personal income tax in Edo State.

Legal Implication of non-Compliance with the enabling Law Regulating Personal Income Tax

By section 41-81 of the Personal Income Tax Act, it is very apt to state that the procedure to be observed in personal income tax administration is a manual process recognized by the various legal framework that provides for and regulates personal income tax. In this regard, where a taxpayer

³¹ Cap T7LFN 2004

³² I.A. Ayua, *The Nigerian Tax Law*, Ibadan: Spectrum, 1996. 4-6; M.T. Abdulrazaq M.T., *Nigerian Tax Offences and Penalties* (2nd ed. Lagos: Princeton & Associates, 2014) 143-144

³³ Ibid, section 1

³⁴ Ibid, part II schedule 1

³⁵ E. Appah, 'The Problems of Tax Planning and Administration in Nigeria: The Federal and State. Governments' Experience'. *Int. J. Lab. Organ. Psychol.*, (2010) Vol. 4(2), 1-14

³⁶ Sections 1, 2 and 3 of the Personal Income Tax Act, Cap.? LFN 2004

whose tax is due for remittance fails to comply with the tax payment, section 58, 97-104 of the Personal Income Tax Act provides for the power of the relevant tax authority to proceed with court action in enforcing compliance³⁷. This position of the law has been aptly given judicial recognition in the case of *Nig. Breweries PLC V. LSIRB*³⁸, the court held that for a taxpayer to be held liable for the failure of payment of personal income tax, a tax assessment signed by the relevant authority authorized by the chairman of the relevant tax authority and a demand notice issue on the taxpayer. Furthermore, the court in the case of *Azikiwe V. Federal Electoral Comm.*³⁹, aptly stated it a concern when a tax is said to be due and be enforced against a taxpayer; the court stated that the following condition must be have been adhered to;

- i. That there must be a written notice to deliver a return
- ii. The taxpayer must have served notice of assessment stating the amount of tax due
- iii. The taxpayer must comply with any extension of time for the payment of tax is so provided for
- iv. Exhausting and determination of any objection raised by the taxpayer concerning an assessment of tax due

If the above have been duly complied with, then a tax will be held to have fallen due

However, concerning the introduction of an automated personal income tax being adopted by the Edo State Government, it is very apt to state that the process involves in the collection of personal income tax such as;

- i. An e-registration of an eligible taxpayer
- ii. E-filing of a return
- iii. E-tax assessment (either by self-assessment or assessment by a tax authority)
- iv. E-services of a tax assessment notice
- v. E-services of the demand notice on taxpayers
- vi. E-payment of tax due
- vii. E-generating of tax receipt

The above is not recognized or provided for by the current legal framework regulating personal income tax in Edo State. In essence, the

³⁷ I.T/R.V. ESBIR (2014) 40 W.R.N Pp 111-112, Governor, Ekiti State V. Chief Akinyemi (2011) NWLR (PT. 1276) 373 at 413, FBN PLC V. Atunrase Carpets And Underlay LTD (2012) 24 W.R.N pg. 68 lines 20-25

³⁸ (2002) NWLR (PT. 759) 1 at 18-19

³⁹ (1979) 3 NCLR 276

enforcement of non-compliance of remittance of personal income tax giving the current automated procedure involved could be fatal to the case of prosecuting authority against a taxpayer for non-payment of tax charge on their income. This is concerning the fact that the Nigerian court had aptly held in a plethora of cases that the law that provides for and regulates the whole procedure involved in personal income tax must be duly adhered to. In this regard, the court will not rule against a tax authority who fails to comply with the law. In the case of *Governor of Ekiti State V. Chief Akinyemi*⁴⁰ Abba Aji JCA held thus;

It is a settled principle of law that where a statute or law or constitution prescribes a procedure or method for seeking a remedy or the doing of anything or act and the language used is unambiguous, that is the only procedure open to the parties concerned, and any departure there-from will be an exercise in futility.

Furthermore, in the case of *I.T/R V. ESBIR*⁴¹ where the court was very apt in stating thus;

Let us not forget that if the tax authority fails to convince the court that it has complied with the law, the court will reject the application even though it is ex parte and not contended by other parties. Below are the numerous opportunities to be heard offered to the taxpayer under the PITA

In furtherance of the above cases, the court in the case of *Global Scan systems V. FIRS*⁴² relied on the principles in *FBIR V. Rezcallah& Sons Ltd.* It was held that, for the Respondent's assessment and demand notes to be final and conclusive, they must be by the provisions of the law. The court, in the case of *FBIR V. Nkob&Fumgbaba*,⁴³ stated thus;

It is an established principle of law that where a statute provides that notice must be given in a prescribed form before a statutory body or institution can take a particular action, it is obligatory on that body to give such notice in the form prescribed by the law before it can vividly take any such action and

⁴⁰ (2011) NWLR (PT. 1276) 373 at 413

⁴¹ (2014) 40 W.R.N Pp 111-112

⁴² (2016) 22 TLRN 14 at Pages 35; *Lagos State Internal Revenue Board V. Odusami* (1970) NCLR 421, the court held that absent of notice nullifies assessment; *Ebosele V. State Tax Board* (1977) NCLR 274

⁴³ (2012) 8 TLRN 93 AT 99

there is a long line of decided cases in support of the view that where such a body has failed to comply with the statutory provisions as to action is always held to have been done by the statutory body either without jurisdiction or contrary to the law

Also, the court had the course to determine the right of a taxpayer to be protected from a tax authority who fails to comply with the provision of the Personal Income Tax Act in the whole process of collection of income tax. In the case of *LSBIR V. Mbeyi& Associates*,⁴⁴ the court held that there is no doubt that the tax authority is well within its rights to come before the court ex parte to obtain a warrant of distress. However, the exercise of this right of the tax authority is after complying with the procedure specified by the Personal Income Tax Act of serving on the defendant a demand notice and its notice of intention to obtain a warrant of distress. In the case of *Femi Ikuomola V. AlaniIge*,⁴⁵ the court stated thus; a party or a tax authority who claim that a taxpayer did not or have not made payment of the tax due must prove or establish the time and date the relevant notice of tax assessment was served on the taxpayer. Failure of which will be fatal to the parties' case.

Given the above, it suffices to opine that for effective compliance of tax payment and prosecution for non-Compliance by a taxable person under the current automated personal income tax regime. The current legal framework must be amended to capture the process involved in an automated personal income tax.

Data Presentation and Analysis

The following data obtained through the questionnaire is presented and analysed as follows.

Sampling Technique and Sample Size

The study designed an online survey questionnaire and distributed same to respondents through various internet means of communication. This study used a sample size of 324 respondents, randomly selected across the three senatorial districts in Edo State through a simple random technique to arrive at free determine options and opinions of the respondents' responses. It suffices to state that adopting a simple random sampling technique in selecting the respondents is considered best for this study; this is concerning the fact that it will enable the author to arrive at a

⁴⁴ (2013) 9 TLRN 1 at 8; *FIRB V. Animashawun* (1975) 1 FRCR. 52

⁴⁵ (1999) 1 NRLR 83

certain general conclusion concerning the study. According to Aidonojie *et al.* in their research work⁴⁶ they stated that the advantages of simple random sampling techniques include the following:

- i. A simple random technique is considered a hassle-free sampling of a homogeneous population,
- ii. A simple random technique curtails the possibility of personal bias of the researcher in influencing the outcome.

Data Analysis

The following research questions have been formulated for this study, and data obtained are analysed as follows;

Research Question One

Which of the senatorial district do you resides in Edo State?

324 responses

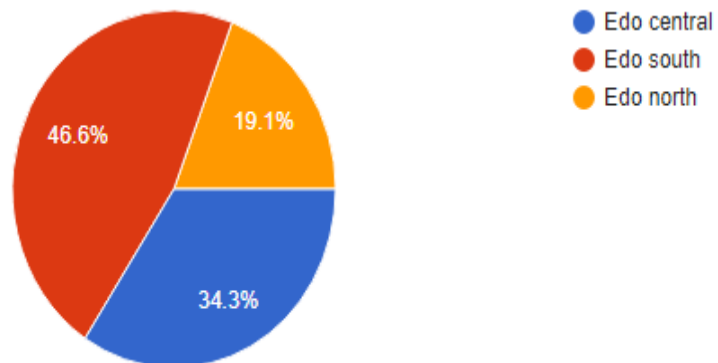


Figure 1: Identification of the three (3) senatorial district the respondents resides in Edo State, Nigeria

⁴⁶ P. A. Aidonojie, A.O. Odojor, and K.O. Oladele, “An Empirical Study of the Relevance and Legal Challenges of an E-contract of Agreement in Nigeria” *Cogito Multidisciplinary Research Journal*, (2020) 12(3), 170-190; P. A. Aidonojie, “The Societal and Legal Missing Link in Protecting a Girl Child against abuse before and Amidst the Covid-19 Pandemic in Nigeria”, *Jurnal Hukum Unissula*, (2022) 38(1), pp. 61-80; P. A. Aidonojie & A.O. Odojor, “Impact and Relevance of Modern Technological Legal Education Facilities amidst the Covid-19 Pandemic: A Case Study of Law Students of Edo University Iyamho”, *KIU Journal of Humanities*, (2020) 5(4), 7-19; P. A. Aidonojie, O.O. Ikubanni, N. Okoughae, A.O. Ayodeji, “The challenges and relevance of technology in administration of justice and human security in Nigeria: Amidst the Covid-19 pandemic”, *Cogito Multidisciplinary Journal*, (2021), Vol. 13(3), p. 149 – 170; P. A. Aidonojie, A.O. Odojor, and O.P. Agbale, “The Legal Impact of Plea Bargain in Settlement of High Profile Financial Criminal Cases in Nigeria”, *Sriwijaya Law Review*, (2021), Vol. 5(2), 161-174,

S/N	Senatorial District in Edo State, Nigeria	Responses of Respondents	Percent
1	Edo central	111	34.3%
2	Edo south	151	46.6%
3	Edo north	62	19.1%
	TOTAL	324	100%

Table 1: Valid responses of respondents identifying the three (3) senatorial districts in Edo State they are residing in

Figure 1 and Table 1 above represent the valid responses of the respondent identifying the various senatorial district they reside in Edo State, Nigeria.

Research Question Two

Are you aware that Edo State is currently one of the states in Nigeria that have adopted an automated PIT system?

324 responses

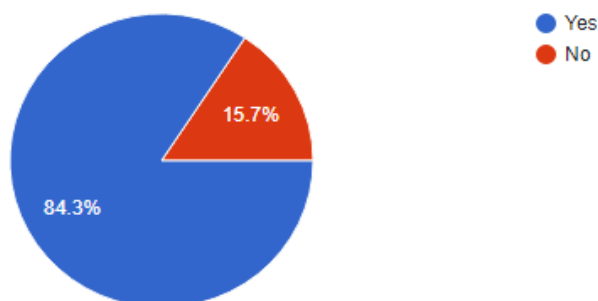


Figure 2: Respondents' identifying that they are aware of the adoption of an automated PIT in Edo State

	Response	Percent
Valid Yes	273	84.3%
Valid No	51	15.7%
Total	324	100%

Table 2: Valid respondents' identification of their awareness of the adoption of an automated PIT in Edo State

Figure 2 and Table 2 above represent respondents' identification of their awareness concerning the adoption of an automated PIT in Edo State by the Edo State government.

Research Question three

Which of the following serves as the reasons and prospects for the adoption of an automated PIT system in Edo State?

 Copy

324 responses

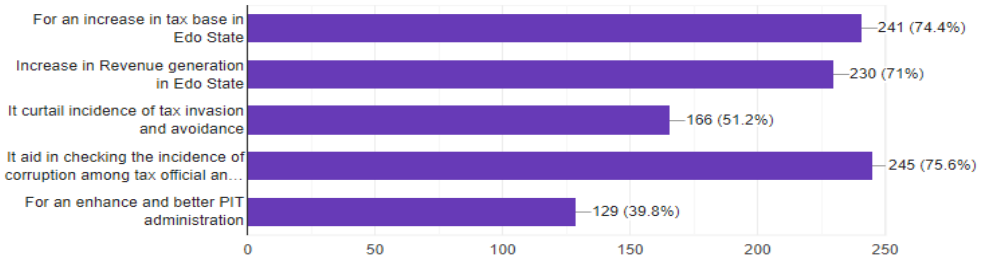


Figure 3: respondents stating the reason for the adoption of an automated PIT in Edo State

Reasons for an automated PIT in Edo State	Responses	Percentage
For an increase in the tax base in Edo State	241	74.4%
Increase in Revenue generation in Edo State	230	71%
It curtails the incidence of tax invasion and avoidance	166	51.2%
It aids in checking the incidence of corruption among tax officials and taxpayer	245	75.6%
For an enhanced and better PIT administration	129	39.8%

Table 3: Valid respondents' response stating the reasons for the adoption of an automated PIT in Edo State

Figure 3 and Table 3 represent valid respondents' responses stating the reasons for the adoption and use of an automated personal income tax system in Edo State.

Research question four

Do you agree that there are challenges inherent in the introduction of an automated PIT system in Edo State?

322 responses

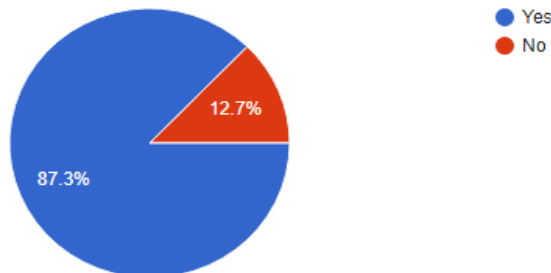



Figure 4: respondents identifying the challenges inherent in the use of an automated PIT in Edo State

	Response	Percent
Valid Yes	281	87.3%
Valid No	41	12.7%
Total	322	100%

Table 5: Valid cluster of respondents identification of the challenges inherent in the use of an automated PIT in Edo State

Figure 4 and Table 4 represent respondents' valid cluster of responses identifying some of the challenges inherent in the adoption and use of an automated personal income tax in Edo State, Nigeria.

Research Question Five

Which of the following serves as the challenges for adopting an automated PIT system in Edo state? 

286 responses

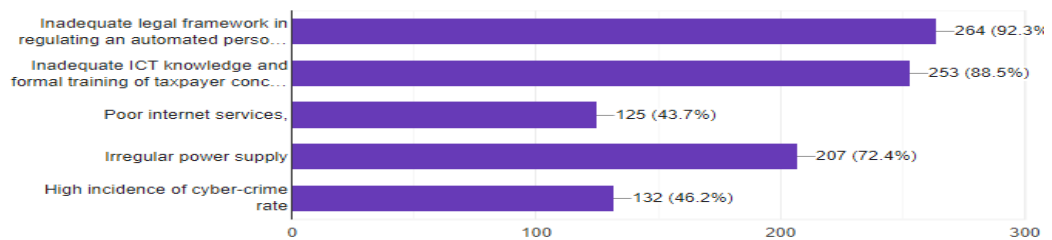




Figure 5: Respondents' identifying some of the challenges inherent in the use of an automated PIT in Edo State

Challenges inherent in automated PIT in Edo State	Response	Percent
The inadequate legal framework in regulating an automated personal income tax system	264	92.3%
Inadequate ICT knowledge and formal training of taxpayers concerning an automated PIT system	253	88.5%
Poor internet services,	125	43.7%
Irregular power supply	207	72.4%
High incidence of cyber-crime rate	132	46.2

Table 5: Valid cluster of respondents' responses identifying challenges inherent in the use of an automated PIT in Edo State

Figures 5 and 5 table above represent a cluster of respondents' responses identifying some of the challenges inherent in adopting and using an automated personal income tax in Edo State, Nigeria.

Research question Six

Which of the following can aid in savaging the challenges and improve the adoption of an automated PIT system in Edo State?  

287 responses

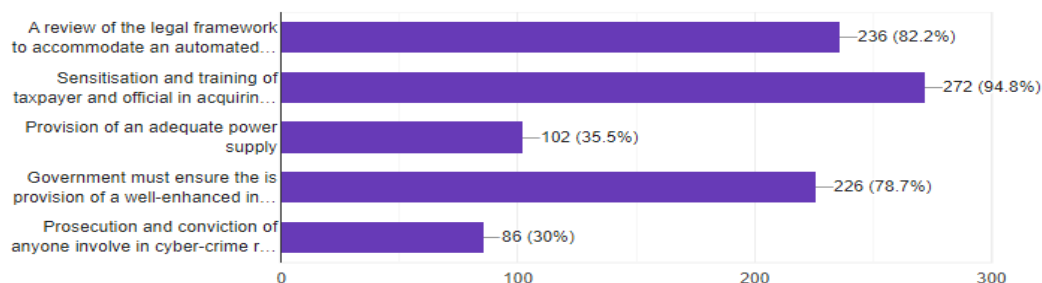


Figure 6: Identification remedies that could savage the challenges inherent in the adoption of automated PIT in Edo State

Remedies to savage the challenges of an automated PIT	Responses	Percentage
A review of the legal framework to accommodate an automated PIT system	236	82.2%
Sensitisation and training of taxpayers and official in acquiring knowledge concerning an automated PIT system	272	94.8%
Provision of an adequate power supply	102	35.5%
Government must ensure the is the provision of well-enhanced internet services by a network provider	226	78.7%
Prosecution and conviction of anyone involved in cyber-crime related issues	86	30%

Table 5: Valid cluster of remedies that could savage the challenges concerning automated PIT in Edo State

Figure 6 and Table 6 represent respondents' valid cluster of responses identifying the possible remedy that could aid in curtailing some of the challenges inherent in the adoption and use of an automated personal income tax.

Discussion of Findings

Concerning the data presented above, figure 1 and table 1 were designed to ascertain where the respondents reside in the various part of the senatorial district in Edo State, Nigeria. From the data presented in figure 1 and table 1 above, the randomly selected respondents identify that they all reside in three (3) senatorial districts in Edo State. In this regard, the identification of the respondents living in Edo State, Nigeria, gives

credibility to the fact that the respondents are knowledgeable to give an informed answer concerning issues related to an automated personal income tax adopted in Edo State.

However, in ascertaining if the respondents are aware of the current change of the manual process of the personal income tax system to an automated personal income tax, 84.3% of the respondents, as represented in figure 2 and table 2, stated yes. Furthermore, in figure 3 and table 3, the respondents identify various reasons for the adoption of an automated personal income tax in Edo State as follows;

- i. 74.4% stated that it is aimed at increasing the tax base in Edo State,
- ii. 71% indicated that increase in Revenue generation in Edo State is a reason for adopting an automated PIT system,
- iii. 51.2% stated that it curtail the incidence of tax invasion and avoidance,
- iv. Also, 75.6% agreed that it aids in checking the incidence of corruption among tax officials and taxpayer,
- v. 39.8% further identified that it enhance and ensure a better PIT administration.

The above findings are similar and are in tandem with the results of Bojuwon and Siti⁴⁷. They stated that the essence of introducing an automated personal income tax is mainly to improve tax compliance and increase revenue or tax generation in Nigeria.

It suffices to state that in figure 4 and table 4, 87.3% of the respondents identify that the adoption of the current automated personal income is posed with several challenges to the taxpayer and tax authority. In this regard, figure 5 and table 5 further represent the respondents' responses in identifying some of the challenges often encountered in adopting and using an automated personal income tax. In this regard, 88.5% of the respondents identify inadequate ICT knowledge and formal training of taxpayers concerning an automated PIT system as a major challenge. In addition, 43.7% and 72.4% of the respondents identified poor internet services and irregular power supply (respectively) as other significant challenges mitigating an automated personal income tax adoption. These findings could be more of social or administrative challenges that the Edo State government can rectify by ensuring a proper sensitization and training of taxpayers and tax official concerning the current trending of an automated personal income tax system in Edo State.

⁴⁷ M. Bojuwon, & N.B. Siti, "Tax Service Quality: The Mediating Effect of Perceived Ease of Use of the Online Tax System" *Procedia - Social and Behavioral Sciences*, (2015), 9(2), 172-195

Furthermore, the respondents also identify some legal challenges concerning adopting an automated personal income tax in Edo State. In this regard, 92.3% and 46.2% of the respondents stated that there is an inadequate legal framework in regulating an automated personal income tax system and a high cyber-crime rate (respectively). Given, the legal challenges identified by the respondents, it suffices to state that these findings are in accordance with the theoretical examination that analyses the legality and legal implication concerning the adoption of an automated personal income tax by the Edo State government.

However, figure 6 and table 6 form a cluster of the response of the respondents, further suggesting relevant recommendations to curtail the challenges inherent in the use of an automated personal income tax in Edo State as follows;

- i. 82.2% suggest a review of the legal framework to accommodate an automated PIT system
- ii. 94.8% stated that there is a need to sensitise and train taxpayers and officials in acquiring knowledge concerning an automated PIT system
- iii. 35.5% recommended provision of an adequate power supply
- iv. 78.7% stated that government must ensure the provision of well-enhanced internet services by a network provider
- v. 30% suggested that there must be prosecution and conviction of anyone involved in cyber-crime related issues

Although, by item 59, schedule 2 of the exclusive legislative list, it suffices to state that it is not within the power of the Edo State government to review or amend the Personal Income Tax Act. However, through the senators and house of representative members representing the state in National Assembly (Federal Law Maker), the government could sponsor a Personal Income Tax Act amendment bill to incorporate and regulate an automated personal income system.

Conclusion

Every organized society required funds to run an effective system. This study has been identified that personal income tax is one of these viable tools employed by the Edo State Government to generate revenue to offset its budget. However, it has been observed that it is becoming a recurrent and bane to the Edo State tax system that the taxpayer is either evading or avoiding tax payment.

However, as identified in this study, in a bid to increase revenue generation and broaden the tax base in Nigeria, the Edo State government introduced an automated personal income tax system. Therefore, it suffices to opine that automating personal income tax has greatly curbed

the incidence of tax evasion and avoidance and increased the tax base in Edo State. However, it is apt to state that the current primary legal framework regulating personal income tax in Edo state does not adequately provide for an automated personal income tax system adopted in Edo state. Therefore, these legal lapses render this current fanciful automated PIT system an illegal menace. Furthermore, despite the unique features of an automated personal income tax introduced in Edo State, it is still without administrative and social challenges.

It is concerning this legal, social and administrative challenge inherent in the Edo State automated PIT system that this study further propose and suggest the following remedy;

- i. That the extant personal income tax legal framework should be reviewed to accommodate and regulate an automated personal income tax system adequately
- ii. Sensitisation and training of taxpayers and official in acquiring knowledge concerning an automated PIT system
- iii. Provision of an adequate power supply
- iv. Government must ensure the is a provision of well-enhanced internet services by a network provider

Reference

Adedeji, T.O, and Oboh, C.S., (2012), An Empirical Analysis of Tax Leakages and Economic Growth in Nigeria, *European Journal of Economics, Finance and Administrative Sciences*, Vol. 48, pp. 42

Adeniyi, S.I. and Adesunloro B.R., (2017), *Electronic Taxation and Tax Evasion in Nigeria: A Study of Lagos State*. Journal of Academic Research in Economics, Vol. 9(1),

Akanle, O., (1988), 'The Power to Tax and Federalism in Nigeria - Legal and Constitutional Perspectives on the Sources of Government Revenue, (Lagos: Centre for Business and Investment Studies 1988)

Akomolede T.I., (2008), Contemporary Legal Issues in Electronic Commerce in Nigeria, *PER/PELJ* (11)3,

Aidonojie P.A., (2022), The Societal and Legal Missing Link in Protecting a Girl Child against abuse before and Amidst the Covid-19 Pandemic in Nigeria, *Jurnal Hukum Unissula*, Vol. 38(1), pp. 61-80

Aidonojie, P.A. & Egielewa P., (2020), Criminality and the Media: Perception and Legality of the Amotekun Security Agency in Nigeria, *International Journal of Comparative Law and Legal Philosophy*, Vol. 1 (3), pp. 47

Aidonojie, P.A. & Odojor, A.O., (2020), Impact and Relevance of Modern Technological Legal Education Facilities amidst the Covid-19

Pandemic: A Case Study of Law Students of Edo University Iyamho, *KIU Journal of Humanities*, 5(4), 7-19

Aidonojie, P.A., Odojor A.O. and Oladele K.O., (2020), 'An Empirical Study of the Relevance and Legal Challenges of an E-contract of Agreement in Nigeria' *Cogito Multidisciplinary Research Journal*, Vol. 12(3) p. 181

Aidonojie P.A., Ikubanni O.O., Okoughae N., Ayoedeji A.O., (2021). 'The challenges and relevance of technology in administration of justice and human security in Nigeria: Amidst the Covid-19 pandemic', *Cogito Multidisciplinary Journal*, Vol. 13(3), p. 149 – 170

Aidonojie P.A., Odojor A.O., and Agbale P.O., (2021), 'The Legal Impact of Plea Bargain in Settlement of High Profile Financial Criminal Cases in Nigeria', *Sriwijaya Law Review*, Vol. 5(2), p. 161-174,

Appah, E., (2010), The Problems of Tax Planning and Administration in Nigeria: The Federal and State. Governments' Experience'. *Int. J. Lab. Organ. Psychol.*, 4(1-2), 1-14

Awai E.S. AND Oboh T., (2020), Ease of Paying Taxes: The Electronic Tax System in Nigeria. *Accounting & Taxation Review*, Vol. 4 (1), p. 63-73

Bamodu, G., (2004), 'Information Communication Technology and E-commerce: Challenges and Opportunities for the Nigeria Legal System and the Judiciary, *The Journal of Information, Law and Technology (JILT)* (2),

Bojuwon, M., & Siti N.B.S.O., (2015), Tax Service Quality: The Mediating Effect of Perceived Ease of Use of the Online Tax System *Procedia - Social and Behavioral Sciences*, 172, 2 – 9

Mustapha, B. and Siti, N.B., (2015), Tax Service Quality: The Mediating Effect of Perceived Ease of Use of the Online Tax System, *Procedia - Social and Behavioral Sciences* Vol. 172, 2-9

Mustapha B., (2015), Factor Influencing Income Taxpayers Reaction towards E-Tax System Adoption in Nigeria, *Fountain Journal of Management and Social Sciences*, Vol. 4(2), Pp. 32 – 43

Obadina, D.A., (2013), Interpretation of Tax Statutes and Development: The Place of Purposive Interpretation. *Babcock University Socio-Legal Journal*, Vol.1 No. 3, 23-43

Ofurum, C.N., Amaefule L.I., Okonya B.E. and Amaefule H.C., (2018), Impact of E-Taxation on Nigeria's Revenue and Economic Growth: A Pre – Post Analysis, *International Journal of Finance and Accounting* Vol. 7(2) pp.19-26

Okoye, P.V.C. and Ezejiofor R., (2014), The Impact of E-Taxation on Revenue Generation in Enugu, Nigeria, *International Journal of Advanced Research*, Vol. 2(2), pp. 449-458

Okunowo, A.O., (2015), FIRS introduces E-filing Tax System in Nigeria. <https://www.linkedin.com/pulse/firs-introduces-e-filing-tax-system-nigeria-okunowo-a-obafemi/> accessed 12 March, 2020

Oladele P. O., Aribaba F. O., Oladele R. A., Ahmodu J. O., Olamide L., (2019), An Assessment of E-Tax Administration on Tax Revenue in Ondo State, Nigeria, *Business Studies and Management Review (JBSMR)* Vol.3 (1), p 50-55

Oseni M., (2016), Sustenance of Tax Administration by Information and Communications Technology in Nigeria, *Archives of Business Research*, Vol. 4(1), pp. 52

Soyode, L., and Kajola S.O., (2006), *Taxation: Principles and Practice in Nigeria* (Ibadan: Silicon.)

Umenweke M.N. & Ifediora E.S., (2016), The Law and Practice of Electronic Taxation in Nigeria: The Gains and Challenges, *Nnamdi University Journal of International Law and Jurisprudence*, Vol. 23(5), p. 101-112

Uremadu, S.O. and Ndulue, J.C., (2011), A Review of Private Sector Tax Revenue Generation at Local Government Level: Evidence from Nigeria” *Journal of Public Administration and Policy Research*, Vol. 3(6), pp. 174-183

THE CARPATHIANS AND THE PRODUCTION OF LIMINALITY

Daria Voyloshnikova*

daria.voyloshnikova@gmail.com

Abstract: *The Carpathian Mountains have for centuries remained a fundamentally border region, split in many ways and, at the same time, subject to unifying metaphorical re-conceptualisations. The article has the goal of contributing the identification of the structural role of the imagined Carpathians in intra-regional and wider-scale exchange definition, and, consequently, their perception by internal and external actors. One therefore reviews the conditions nurturing the discourses of backwardness and progress as well as transition and in-between-ness of the Carpathian area. The article suggests to rely on the post-colonialist perspective to ground and to problematise the exploration of the discursive elements supporting liminality production and perpetuation. Being chiefly interested in the applied aspect of that scheme, the study looks at the liminality discourse as an example of frame-setting for international cooperation in the area.*

Keywords: *the Carpathians, discourse, liminality, post-colonialist approach, region.*

Introduction

Over the centuries, the Carpathian Mountains have been drilled and sifted by geologists, drawn by geographers, scouted by ethnographers, recognised by political scientists and set up at the discretion of Jules Verne and Bram Stoker. Located at a crossroad of civilisations, they were an object of medieval feud and imperial contestation. The Carpathians are a notion that in many evokes pieces of powerful imaginary, be those rock-and-wood landscapes or the turbulent historical past of a zone of logistic and cultural transition. Thus, in the same vein in which the authors of *Breaking Boundaries* premise that the book “problematizes the many ways in which liminal conditions have come to shape the contemporary”¹, one can say that the many aspects of marginality and transformation have played a key role in fashioning the montane area in question. Presently, the latter is a bedrock of a distinct cultural and political pole in Europe.

* Faculty of Humanities, University of Fribourg, Fribourg.

¹ A. Horvath, et al. Introduction. Liminality and the search for boundaries. In: Horvath, A. et al. (eds.), *Breaking boundaries: varieties of liminality*. Oxford: Berghahn Books, 2015, p. 8.

The Carpathian Mountains are crossed by eight state borders and streaked with myriads of boundaries. They, furthermore, underlie fifteen Euroregions and seven European Groupings of Territorial Cooperation, and for multiple intensive bordering processes constitute a framework which goes beyond the geographical. Therefore, many aspects in the portrayal of the Carpathian area are informed by the interpretation of its natural endowment in the light of its location astride the borderlands of Central and Eastern Europe.

Liminality has firmly asserted itself as a prime instrument in the critical study of modernity. Its intertwined semiotic configuration combines the aspect of enfranchising² with increased susceptibility to stigmatisation, providing for a vacuum in which socio-spatial disparities³ can be worked upon creatively. The concept is also marked by such salient connotations as, for instance, temporariness, identity building, and crisis. The aim of the present article is hence to contribute to identifying the structural role of the imagined Carpathians in defining intra-regional and wider-scale exchanges, and, consequently, their perception by internal and external actors. The article undertakes a review of the sources of the liminality discourse (the representation of belonging “betwixt and between”) in terms of such its components as backwardness and progress as well as transition and in-between-ness. So as to ground their mode of processing by actors and the production of liminality, it puts the problem into a larger regional context and turns to the post-colonialist perspective. Subsequently, the article sheds light on respective discursive factors shaping the framework of the Carpathians as a space of international cooperation.

Backwardness and Progress

If one looks at some common sources of the backwardness discourse⁴ around the Carpathian Mountains, several categories of the former can be distinguished. First, in the domain of economy, the change that the states sharing the Carpathians went through in the 1990s included, among other

² B. Thomassen, (2014). *Liminality and the modern. Living through the in-between*. Farnham: Ashgate, p. 1. See also: A. van Gennep, (1960). *The rites of passage*. London: Routledge and Paul Kegan; A. Szokolczai, (2009). *Liminality and experience: structuring transitory situations and transformative events. International Political Anthropology*, 2 (1), pp. 141-172.

³ See F. Gyuris, *The political discourse of spatial disparities: geographical inequalities between science and propaganda*. Berlin: Springer Verlag, 2014.

⁴ See, for example, D. Chirot, (ed.) (1989). *Origins of backwardness in Eastern Europe: economics and politics from the Middle Ages until the early twentieth century*. Berkeley: University of California Press.

“recombinations”⁵, economic restructuring, standards revisions, ownership and taxation reforms. The different adaptation and transformation scenarios at the locality and enterprise level across all the countries could mean closures in the mining or manufacturing industries and agricultural production abandonment. They also were coupled with a downturn in the operations and output in the first years of privatisation⁶, since large ex-socialist enterprises were costly to maintain. In the outcome, many villages and towns experienced population decrease and age structure disbalancing against the backdrop of worsening poverty and disparities in regional development. The situation overlapped with persistent structural problems of mountainous and border areas (the latter making up, approximately, for two thirds of the Carpathian region), being as a rule economically lagging behind, with weaker infrastructure and higher unemployment rates in comparison to more “central” regions. In the meanwhile, the share of agriculture and the importance of forestry (particularly in Slovakia, Romania, and Ukraine⁷) remained relatively high in the Carpathian economies.

Second, in terms of benchmarking against environmental standards, deindustrialisation has not proved a way out. Certain policy changes had such consequences as increased logging and mining activities in and around mountain protected areas⁸. The factor of accumulated ecological impact continues to count, because, allegedly, socialist “economies were much more polluting than economies in Western Europe”⁹ due to their specialisation and accelerated development efforts, but also to the lack of environmental awareness among state officials¹⁰. Hence, there appeared “many ‘hot spot’ areas” of heavy pollution and human health risks¹¹. In agriculture, the employment of advanced large-scale tillage and production

⁵ D. Stark, Recombinant property in East European capitalism. *American Journal of Sociology*, 101 (4), 1996, p. 995.

⁶ For an example see S.E. Werners, et al. (2010). Individuals matter: exploring strategies of individuals to change the water policy for the Tisza River in Hungary. *Ecology and Society*, 15 (2): 24. [online] Available at:

<<http://www.ecologyandsociety.org/vol15/iss2/art24/>> [Accessed 23 Dec. 2017].

⁷ UNEP/DEWA-Europe. (2007). *Carpathians Environment Outlook*. Geneva: UNEP, p. 10.

⁸ For 1993-2003 see H. Meessen, et al. (2015), Protected areas in the Slovak Carpathians as a contested resource between metropolitan and mountain stakeholders. On the road to local participation. *Revue de géographie alpine*, 103 (3). [online] Available at: <<https://journals.openedition.org/rga/3055>> [Accessed 9 Aug. 2016].

⁹ UNEP/DEWA-Europe, *op. cit.*, p. 9.

¹⁰ T. Kluvankova-Oravska, et al., From government to governance for biodiversity: the perspective of Central and Eastern European transition countries. *Environmental Policy and Governance*, 19 (3), 2009, p. 189.

¹¹ UNEP/DEWA-Europe, *op. cit.*, p. 9.

systems resulted in deep landscape transformations, like floodplain drainage¹² or forest land conversion to other uses¹³, especially in the Western and Southern Carpathians¹⁴. In the regional energy supply mix of today coal has a leading role, though hydropower and renewable sources have the growing share.

Third, societal and institutional challenges in the area retain a high profile. Country transformations necessitated substantial reorientation efforts from the authorities and inhabitants in the Mountains' area. The pre- and (for some countries) post-EU-accession Europeanisation comprised such cardinal changes – meant to homogenise the new EU procedural space and contain the states through decentralisation – as administrative reforms, which at the local level might have led “to a loss of expertise and a loss of institutional memory”¹⁵. In the internal political dimension, the countries of the region have experienced “fragmentation subsequent to the political opening up and liberal competition”¹⁶, which has showed itself in the vivid political debate and even dramatic upheavals. Across the region similar perturbations have been shared: from rule of law problems and populist demarches of conservative governments to the phenomenon of “backsliding” on liberal democracy¹⁷ and contestation of the EU’s solidarity-enforcing rhetoric.

Fourth, the conflict heritage and potential have a destabilizing effect in the area. The proclamation of “natural” state borders during the inter-world-war period made “the borderlands region of Central, Eastern, and Southern Europe” (previously the bordering space of four empires) one of the “critical sites for the emergence of the Paris system”¹⁸, and at the same

¹² S.E. Werners, et al., *op. cit.*

¹³ For a case from the Apuseni Mountains see Turnock, D. (2001). The Carpathian ecoregion: a new initiative for conservation and sustainable development. *Geographica Pannonica*, 5, pp. 17-23.

¹⁴ UNEP/DEWA-Europe, *op. cit.*, p. 108.

¹⁵ A. Ryder, Introduction. In: Buček, J. and Ryder, A. (eds.), *Governance in transition*. Dordrecht: Springer, 2015, p. 11.

¹⁶ E. Bioteau, (2007). Everyday life near state borders. The social effects of the changing status of borders in Central Europe (Romania–Hungary). [pdf] *Borders of the European Union: Strategies of Crossing and Resistance*. Available at:

<<https://halshs.archives-ouvertes.fr/halshs-01170509>> [Accessed 12 Mar. 2016], pp. 11-12.

¹⁷ Defined as “unilateral and systematic acts by a member state government that violates the laws and/or the norms of the EU” in Sitter et al. (2016). *Mapping backsliding in the European Union. Working Paper Series*, 8. Budapest: CEU Center for Policy Studies, p. 9.

¹⁸ E.D. Weitz, From the Vienna to the Paris System: international politics and the entangled histories of human rights, forced deportations, and civilizing missions. *The American Historical Review*, 113 (5), 2008, p. 1316.

time contributed to the Carpathian basin's being today a "most diverse and conflict-ridden macroregion of Europe" in the sense of ethnic and religious factors¹⁹. Although the XXth century's Pax Comunista brought an alleviation to the tensions in the region (and continues to influence the domains of agreement between the countries even today), as Kocsis and Kocsisne-Hodosi justly remarked, "no social or ideological system has succeeded in easing the tensions which have arisen from both the intricate intermingling of different ethnic groups, and the existence of the new, rigid state borders"²⁰. Presently, "states still matter"²¹, and the EU policies (of ethnic conflict moderation²² and beyond) have had ambivalent effects on the old discords brewing in the lands peculiarly charted with "thick" and "thin" borders. The conflict nowadays is especially easily associated with the Balkan area where the Western Romanian, Southern and Serbian Carpathians repose.

Shall one turn to the circumstances supporting the progress discourse, the argument appears no less founded. Firstly, the area has been long renowned for possessing solid natural resource endowment and industrial infrastructure. The geomorphological features of the region predetermined its "coal and ores" fate, and today one often finds ancient mining zones intermittent with new primary sector facilities. For a period, from the 1950s onwards, GDP-fuelling large industrial complexes (and their urban "appendixes") mushroomed, while some other regional mega-projects produced hydroelectric power stations (e.g. the largest one in Europe, Iron Gates I, in the homonymous gorge between Romania and Serbia or Solina in the Beskids). Along with extractive infrastructure, those set a solid base for raw-material- and energy-intensive industries, all of which in a significant measure shaped the area economically and demographically. After a period of turbulences, on the one hand, the region felt a pressure to grow in order to reach the level of required convergence with the European reference economies; on the other hand, it saw the new constraints of following high processual standards being imposed on it.²³

¹⁹ K. Kocsis, and E. Kocsisne-Hodosi, *Ethnic geography of the Hungarian minorities in the Carpathian basin*. Budapest: Geographical Research Institute, Research Centre for Earth Sciences and Minority Studies Programme, Hungarian Academy of Sciences, 1998, p. 37.

²⁰ Idem.

²¹ L. O'Dowd, Analyzing Europe's borders. *Boundary and security bulletin*, 9 (2), 2001, p. 67.

²² See E.D. Weitz, *op. cit.*

²³ It should be noted that, though faced with similar challenges, the countries of the region focus on different response approaches (e.g. from social development to economic priorities in the cohesion improvement plans of both members and aspirants for 2014-2020). They thus "demonstrate variation in the pursuit of competitiveness and growth",

Secondly, the Carpathian area has, historically speaking, harboured islands of advanced development: from medieval fortresses and achievements of Swabian colonists to state-of-the-art industrial technology and innovative inter-ethnic relation models and transnational governance formats. Besides, the Mountains have been littered with important centres of social and scientific thought, artistic production, and civic activity. The *Politics of Good Neighbourhood*²⁴ emphasised the cultural aspect of ethnic richness of the region, while with regard to its hill-and-vale-pecked landscapes Lewkowicz²⁵ noticed that in respect of culture the Tatra and Sub-Tatra Mountains, for example, are among the richest regions in Poland and Slovakia. Since recently, the Carpathians have been part of the general European tendency of rural and mountainous area revitalisation coupled with population return.

Thirdly, the Carpathians are a place of and, at times, an object for new political initiatives. The seven states concerned are relatively comparable in terms of foreign policy resource as well, which gives them enough space for a “peers dialog”. Then, such collaboration format as the Visegrad Group, even if at the moment operated as a merely geographical grouping for intra-regional cooperation²⁶, coincidentally became the major regional forum for “alter-integrationism”. There is no lack of ambition and zeal in new programme elaboration either: from bottom-up cross-border cooperation designs to the lobbying of the EU Strategy for the Carpathian Macro-region project.

In sum, what can be observed in the chain of arguments is a dialectical interplay between the ideas of progress and backwardness with regard to the Carpathian Mountains. Moreover, the content of the two ideations changes over time and depends on whether those actors who interpret them are internal or external to the region. It is hence possible to notice certain discursive hurdles for overcoming the region’s perennial – and liminal – state of catching-up.

according to B. Loewen, Contextualizing regional policy for territorial cohesion in Central and Eastern Europe. *Hungarian Geographical Bulletin*, 64 (3), 2015, p. 215.

²⁴ B. Filep, *The politics of good neighbourhood. State, civil society and the enhancement of cultural capital in East Central Europe*. London: Routledge, 2017.

²⁵ L. Lewkowicz, Forms of transborder cooperation in the region of the Tatra and Sub-Tatra Mountains. The past and the present. In: Heffner, K. (ed.), *Region and regionalism, 10 (2): Historical regions in the structures of European Union*. Lodz-Opole: University of Lodz, Silesian Institute in Opole, 2011, p. 169.

²⁶ J. Martonyi, (2017). Differentiation or disintegration. Rethinking and Preserving the European Union. *Hungarian Review*, 8 (5). [online] Available at: <www.hungarianreview.com/article/20170914_differentiation_or_disintegration> [Accessed 4 Jan. 2018].

Transition and In-between-ness

Apart from the dialectical basis of the Carpathians' liminal condition at large, one can speak of its two continuously reinforced aspects: the dynamic, transitional, one and the steady one. The Mountains' area is part of a larger geographical region that has been going through post-socialist transformations. In the symbolic dimension, the transitional prefix "post-" establishes a connection to chronality, to moving from one condition to another²⁷, and to a mediation between the lagging behind and the leading, or East and West (e.g. Szentivanyi's comparison of Hungary with a ferry). Practical-wise, the region has been subject to "governance by enlargement"²⁸, internal political and institutional re-organisation resulting from the pursuit of the European regionalism as well as orchestration of cohesion and development programmes.

The region is transitional also in the most literal – transportation – sense. In the 2000s the preparatory process and the accession to the Union set the vector for the economies. The Carpathian area is now pierced by core corridors – linking the most important nodes of the comprehensive pan-EU logistics – of the Trans-European Transport Network (TEN-T) that integrates roads, railway lines, rail-road terminals, and inland waterways. Additionally, the initiative "Via Carpathia" was ideated in the declarations of 2006 and 2010 to envision a cross-land communication route through the Mountains (from Lithuania to Greece). However, in the frames of TEN-T it was not regarded as a priority segment.²⁹ Modern industrial and logistical parks have become the new titanic development hubs (the largest one in Southeast Europe is the Ploiesti West Park in sub-mountain Muntenia). Understandably, a general lack of highway systems is still felt in the area, and existing national road networks require improvements, while the morphological complexity of the relief evidently has implications for the transport availability and connectivity. However, the number of road connections is relatively high for a mountain area³⁰, and it is in the interlinking of "the truncated urban

²⁷ D. Kołodziejczyk, Post-colonial transfer to Central-and-Eastern Europe. *Teksty Drugie*, 1, 2014, p. 136.

²⁸ A.L. Dimitrova, (2001). *Enlargement governance and institution building in Central and Eastern Europe: the case of the European Union's administrative capacity requirement*. [pdf] Available at: <ecpr.eu/Filestore/PaperProposal/ae34171a-929c-4e6a-ac61-f732c8909c50.pdf> [Accessed 8 Jan. 2016].

²⁹ European Parliament/ European Commission, (2013). *Regulation (EU) No 1315/2013 of 11 December 2013 on Union guidelines for the development of the trans-European transport network and repealing Decision No 661/2010/EU*. Brussels.

³⁰ S. Dolzblasz, Transborder cooperation in the Polish-Czech borderland – activity at the local level. In: Heffner, K. (ed.), *Region and regionalism, 10 (2): Historical regions in the structures of European Union*. Lodz-Opole: University of Lodz, Silesian Institute in Opole, 2011, p. 161.

network in the regions and thus re-establishing functioning market areas for cities” that one of the most promising stimuli for project-based cross-border cooperation is found³¹.

At the same time, transborder interactions are what accentuates the “steady liminality” in the area, the condition of being in-between. The Carpathians have for centuries remained a fundamentally border region, which has led to the shaping of special local identities and so-called borderland populations, fostered antagonisms and distinct orders of life. Besides, smaller zones with a de facto or de jure special status add another layer of liminality. For example, protected natural areas across the region are enswathed not only into complex vernacular rationalisations of their legal status, but also into debates around the effects of property rights and land plot redistribution³². Beyond the establishment of the environmental redoubts, the Carpathians have been looked at through the prism of the “eco-frontier paradigm”³³. Braudel offered a slightly extreme historical perspective in which “the mountains are as a rule world apart from civilizations, which are an urban and lowland achievement”³⁴. Nevertheless, it is safe to say that mountains play the role of amplifiers of marginality. This is one of the reasons why the borders in the Carpathian area remain also “places of economic and political opportunity”, be it licit or not³⁵. For some, they could simply serve a “grey zone”, such that “Romania’s forests have provided refuge for those fleeing persecution and conflict from medieval to modern times”³⁶. Or, alike, the mountains at the border were the place where *Solidarność* activists would meet with their Czech and Slovak fellow men to exchange experience and literature. As the so-to-say central areas usually prefer to see the deviant elements “at the end of territory”³⁷, in the patchy, “weird” land at the border all can be scarce and abundant at once. Thus, the often economically disadvantaged border areas have tried so far to seize the available opportunities at the

³¹ (Scott and Matzeit, 2006, p. 12)

³² T. Kluvankova-Oravska, et al., *op. cit.*, p. 190.

³³ M. Więckowski, (2013). Eco-frontier in the mountainous borderlands of Central Europe. The case of Polish border parks. *Revue de géographie alpine*, 101 (2). [online] Available at: <<https://rga.revues.org/2107>> [Accessed 16 May 2016].

³⁴ F. Braudel, *The Mediterranean and the Mediterranean World in the Age of Philip II*. Vols. 1 and 2. New York: Harper and Row, 1972, p. 34.

³⁵ L. O’Dowd, *op. cit.*, p. 73.

³⁶ M. Olden, (2016). *A dangerous delusion. Debunking the myths around sustainable forests and the EU’s bioenergy policy*. [pdf] Fern. Available at: <www.fern.org/fileadmin/uploads/fern/Documents/Fern%20-%20Dangerous%20Delusion.pdf> [Accessed 2 Aug. 2017], p. 23.

³⁷ T. Lunden, *On the boundary: about humans at the end of territory*. Stockholm: Södertorns Hogskola, 2004.

local and regional level, be it about cultural mediation needs or price arbitrage, contributing to cross-border landscape and exchange arrangement.

Post-colonialist Perspective

In order to better capture the essence of the regional agenda, to “establish and make intelligible a wider set of problems”³⁸ reflected in the multiple facets of liminality as well as to understand the mechanisms of its production, it appears promising to consider the argument within the post-colonialist paradigm. As Catherine Nash put it, the prefix “post-” “prematurely celebrates a time after colonialism and so elides continued neocolonial processes, the endurance of colonial discourses, and the economic, political and cultural inequalities”³⁹. So when the post-colonialist approach was making its way in the studies of Central and Eastern Europe, it was understood that the region had been and still is impacted by the imperial European modernity having as the reverse side “the condition and sensitivity of the colonized populations”⁴⁰. In the present article the special condition influencing the area in question is taken to refer to the political focus on and manipulation of the existing differences and imbalances.

Since there is a certain degree of arbitrariness and epistemological work involved in the delineating of historical and political regions⁴¹, which makes these a good aim for poetic and political projections, over the last centuries multiple geopolitical “containers” have been tried on the Carpathian area, and there have constantly been actors having a need to galvanise the discussion around its regional identity so as to enchain the “special” space. External reference is pivotal in this process. In particular, for determining the structural place of the area of the Carpathians, it might be most critical how the concept of Europe is moulded. This concept is characterized by a persistent need for reinvention⁴² keeping it a valid

³⁸ G. Agamben, (2002). *What is a paradigm?*. European Graduate School Video Lectures. [video online] Available at:

<<https://www.youtube.com/watch?v=G9Wxn1L9Ero>> [Accessed 10 Apr. 2016].

³⁹ C. Nash, Cultural geography: postcolonial cultural geographies. *Progress in Human Geography*, 26 (2), 2002, p. 220.

⁴⁰ D. Kołodziejczyk, *op. cit.*, p. 136.

⁴¹ See S. Troebst, (2010). Introduction: what's in a historical region? A teutonic perspective. *European Review of History*, 10 (2), pp. 173-188; M. Perkmann, (2007). Construction of new territorial scales: a framework and case study of the EUREGIO cross-border region. *Regional Studies*, 41 (2), pp. 253-266.; M. Keating, (1997). The invention of regions: political restructuring and territorial government in Western Europe. *Environment and Planning C: Government and Policy*, 15 (4), pp. 383-398.

⁴² R. Gasche, *Europe, or the infinite task: a study of a philosophical concept*. Stanford: Stanford University Press, 2008.

political tool. It also thrives on and tactical fuzziness, as Europe is postulated to have a contractual nature and “fuzzy boundaries”⁴³, and on relational definitions⁴⁴. So as to fetch out the image of Europe, Central and Eastern Europe has been accepted as a part of it with reservations, in the role of a “close Other”⁴⁵. The otherness, though, has been formulated in terms of underachievement, the West being the benchmark and the East, consequently, a collection of “lands of absence”, to use the term of Adamovsky, eternally subject to Europeanisation. Portrayed over centuries as a barbaric zone, the Mountains even witnessed attempts at establishing a direct colonial extractivist regime over them, for instance, via the Carpathian Mines Society in the early XXth century, whereas later Western European great powers felt obligated to alleviate the “balkanised” condition of the minorities in the area by civilising efforts and repressions⁴⁶.

This scenario has led to the ubiquity of the developmental discourse, that of backwardness and, importantly, of victimisation. As far as such fostered inferiority has been an element of a vast governmentality structure, the Carpathian area has also been clamped in a sort of a limbo of catching-up, nurtured by the rhetoric of accelerated gap-bridging. The respective transition processes, as may be intuited, entailed the presence of a facilitator: under the “doxa of dependence”⁴⁷ the West has preserved its role of a teacher “in the East”, imposing its successful model and expecting the transition experience to be shared with the territories waiting for their turn. That representation of concentric zones of development was cemented in the concept of “Europe circulaire” of d’Estaing⁴⁸. An integral part of the coloniality discourse, fundamental for

⁴³ C. Walsh, et al. (2012). Soft spaces in spatial planning and governance: theoretical reflections and definitional issues. *European Conference Papers*. Delft: Regional Studies Association, p. 1. Neither does Central and Eastern Europe seem to have precise boundaries: see A. Melegh, (2006). *On the East-West slope: globalization, nationalism, racism and discourses on Eastern Europe*. Budapest: Central European University Press, pp. 45-46. For tackling the intellectual half-orientalisation and domination with regard to the eastern part of Europe see L. Wolff, (1994). *Inventing Eastern Europe: the map of civilization on the mind of the Enlightenment*. Stanford: Stanford University Press. For looking at the Balkans through the prism of Orientalism and exploring the textual borders of Central and Eastern Europe and the East-West divide that is being operationalized tactically see M. Todorova, (1997). *Imagining the Balkans*. Oxford: Oxford University Press.

⁴⁴ Z. Milutinović, Europe in the Balkan mirror. *Balkanica*, 46, 2015, p. 255.

⁴⁵ For the “distant one” see I.B. Neumann, *The uses of the other. “The East” in European identity formation*. Minneapolis: University of Minnesota Press, 1999.

⁴⁶ E.D. Weitz, *op. cit.*

⁴⁷ T. Zarycki, *Ideologies of Eastness in Central and Eastern Europe*. Oxon: Routledge, 2014, p. 2.

⁴⁸ V.G. d’Estaing, *Europa, la dernière chance de l’Europe*. Paris: XO Editions, 2014.

the performance of revindication with former empires⁴⁹, victimisation required engaging popular memory as a creative process and working with “abstract, selective, and interpretative” images of the past⁵⁰. In the outcome, two “grand ideologies” were to bring the region together: the “hegemony of the anti-communism” resulting “in naturalization of the region’s dependence from the European core”⁵¹ and the imperative of “joining the EU” driving the post-communist transformations⁵².

With the future-oriented idea of the past in Central and Eastern Europe⁵³, in the late 1980s and early 1990s “[t]he concept of ‘returning to Europe’ has served to unite the closely associated processes of democratization, marketization and European integration”⁵⁴, setting in motion the flywheel of a new liminality production machinery. Although the Europeanisation of the fresher and aspiring EU-members under “discursive stigmatization”⁵⁵ is not a new, neither a historically unique process for the region, it acquires a new edge when one observes the countries being simultaneously criticised from a supranational tribune and misled in practical undertakings. From the post-colonialist perspective, it is fundamental, first, that metaphorically speaking, “actors in the post-socialist context are rebuilding institutions not on the ruins but with the ruins of communism”⁵⁶. The transformations crafted then constituted not a replacement but rather a recombination⁵⁷ of elements, during which some parts were discarded, other were added, and the conglomerate nature of the construct became institutionalised. So, second, the EU-compliant order was not being deployed from scratch, but cut out into the existing institutional landscape of each of the new democracies, comprising as well “already established, albeit weak, set of domestic institutions with their corresponding rules and norms”⁵⁸. The foreign and the habitual were dovetailed to grind on. Third, public and private transformation programmes brought from beyond the region and based on

⁴⁹ D., Kołodziejczyk, *op. cit.*, p. 136.

⁵⁰ D. Dryden, Memory, imagination, and the cognitive value of the arts. *Consciousness and Cognition*, 13 (2), 2004, p. 257.

⁵¹ T., Zarycki, *op. cit.*, p. 31.

⁵² A.L., Dimitrova, *op. cit.*, p. 8.

⁵³ See “the mythopoetic tendency” in T.G. Ash, (1986). Does Central Europe exist?. *The New York Review of Books*. [online] 9 Oct. Available at:

<<https://www.nybooks.com/articles/1986/10/09/does-central-europe-exist/>>

[Accessed 10 Sep. 2018]; “ideas about the future” in A.L. Dimitrova, *op. cit.*; the “idea of a common future in the European community” in Bioteau, E., *op. cit.*

⁵⁴ A.L., Dimitrova, *op. cit.*, p. 8.

⁵⁵ T. Zarycki, *op. cit.*, p. 1.

⁵⁶ D. Stark, *op. cit.*, p. 995.

⁵⁷ Idem.

⁵⁸ A.L. Dimitrova, *op. cit.*, p. 9.

a “colonial” vision have had serious limitations. The simplification of the socialist-capitalist divide⁵⁹, empirically debunked, for instance, by Lompech⁶⁰, has often juiced the imaginary of “cases of arrested development” within the common developmental paradigm⁶¹ and led to ignore the local kernel⁶². Finally, permanence of liminality additionally derives from the drag force of ideological introspection and resistance. As the race of transformation results in pressure fatigue, one of the channels (or wrappings) for it is found in “ideologies of eastness” motivated by “the Western domination”⁶³. Given the implicit understanding of the “subordinated” (and subsidised) position of the region⁶⁴, attempts at effective contrarianism cause particular irritation outside of the region and are usually met with the approach of branding as “‘narrow-minded’ and un-European”⁶⁵, which lays ground for further “‘democratic’ discrimination between ‘true’ and ‘untrue’ Europeans”⁶⁶.

Implications: a Discursive Framework for International Cooperation

Examining international cooperation projects requires embedding them in the picture of a region and necessarily consolidating a certain understanding of the factors defining the complex of heterogeneous actor relations therein. One should also bear in mind that the mode of articulation of the political component in such schemes is discursive. The political is perceived to be “engendered by communication and interactions among various state and non-state actors” to the extent that

⁵⁹ As an example see S.L. Hanley, et al. (2015). *All tomorrow's parties? The future (and past) of politics in Eastern Europe*. [online] Available at: <blogs.ucl.ac.uk/ssees/2015/01/19/all-tomorrows-parties-the-future-and-past-of-politics-in-eastern-europe/> [Accessed 12 Jan. 2018].

⁶⁰ M. Lompech, (2016). Des conflits du passe, des conflits depasses? Les oppositions au collectivisme dans les Tatras. *Revue de géographie alpine*, 104 (1). [online] Available at: <<https://journals.openedition.org/rga/3244>> [Accessed 12 Mar. 2017].

⁶¹ For a case of a multinational's executives see E.C. Dunn, *Privatizing Poland: baby food, big business, and the remaking of labor*. Ithaca: Cornell University Press, 2004, p. 3.

⁶² T. Sikor, et al., *When things become property. land reform, authority and value in postsocialist Europe and Asia*. Oxford: Berghahn Books, 2017.

⁶³ T. Zarycki, *op. cit.*, p. 24.

⁶⁴ *Ibidem*, p. 10.

⁶⁵ N. Kauppi, Elements for a structural constructivist theory of politics and of European Integration. *Center for European Studies Working Paper Series*, 104. Harvard: Harvard University, 2002, p. 26.

⁶⁶ M. Bufon, Cross-border policies and spatial and social integration: between challenges and problems. *European spatial research and policy*, 18 (2), 2011, p. 35.

this non-essentialistic nature makes it a “flexible and highly contested”⁶⁷, but undoubtedly, dominating sphere. In the case of the Carpathians, extra-regional actors have significantly contributed to the patterns of internal and externally bound exchanges, above all, by fashioning common visions of the region. The latter, as part and parcel of political mythology, underlie “political rationality”⁶⁸ and decision-making, taking the guise of preconceptions, prejudices, stereotypes, customary frameworks, and yardsticks.

The Carpathian liminality discourse is closely connected to the shaping of priorities, approaches, risk estimates, and characteristics of international cooperation forms. As to the intra-regional developments, it must be noted that the actors from the Carpathian area have engaged into an “auto-reflection” over liminality and sought for common grounds in programmatic planning. The formation of a distinctive perimeter of action follows two main tendencies. The “mode of encounters” implies taking advantage of single local transboundary synergies, conceiving of joint challenge response and development plans through cross-border formats, such as establishment of co-managed spaces (from natural parks to road infrastructure), or inter-organisational networked collaboration. The context of cultures neighbouring inspires a variety of initiatives beyond folk fairs, among which is search for individual common traditions, especially those connected to mountains (e.g. the revival of transhumance). Besides, the conditions of the mountain ridge make it hard to implement cross-border, let alone pan-Carpathian, projects leveraging only the local resource. The scale of the effort entails orchestration at the high level or external mediation. The “mode of transversal unity” in the region leans upon the tectonic backbone of the present-day European (semi-)periphery as a whole. To cite an example, the “Europe of the Carpathians” discussion space exists since 2007 (in 2011 it was integrated in the Economic Forum in Polish Krynica Zdrój) and is open for geopolitical and regional political themes as well as matters of economy and environmental protection of the Carpathians. The debate at the conference has evolved from the initial presentation of the region as an unalienable part of “Europe” into the speculations around the “Carpathian Oecumene” in 2016. Such flexibility of the discursive medium allows for tactical manoeuvrings.

For external actors the Carpathian area presents an element of global systemic units (e.g. part of world mountain areas or of the EU),

⁶⁷ Albert et al. (eds.), *Transnational political spaces: agents – structures – encounters. Historische Politikforschung*, 18. Frankfurt a.M.: Campus, 2009, p. 8.

⁶⁸ M. Dean, A political mythology of world order: Carl Schmitt's Nomos. *Theory, culture and society*, 23 (5), 2006, p. 1.

standardized approaches and unified good practices for which may be elaborated elsewhere (e.g. the Framework Carpathian Convention). The choice of priority domains – environmental, economic and security cooperation – reflects the “umbrella phenomenon” of liminality and breaks down into an array of activities (e.g. joint police exercises, energy transition, hazard response preparation), uniting EU and non-EU partnering entities in the “gap-bridging” tempo. The enunciation and highlighting of a wide international interest in the area (in the nature of the Carpathians in particular) and vulnerability concerns are backed up by access to heterogeneous financing for cooperation programmes. However, some fraught discursive practices from the same register morph into action frameworks: generalisation spells neglect for the local specifics and experience, and secundarisation ushers in transfers of knowledge from some “primary” regions. In the transboundary dimension a sort of colonial arbitrage accentuating legal and economic differences becomes possible (for example, hazardous refuse trade).

The focus of the discourse on the determinative character of the natural environment of the Carpathians is constitutive for the image of the region: the quality of being “wild” is brought to the forefront. It is, however, only one of the constraints narrowing the circle of strategies for the area’s development, bound to align ecologist interests with resource provisioning. There is then a hybrid phenomenon that is imbued with the many aspects of liminality at once and itself transforms the environment of the Carpathians. The tourist and recreation industry has been propelling the growth of the tertiary sector in the region over the last three decades.⁶⁹ The significant tourist flow has been due to natural attractions (national and landscape parks, monuments of nature), decent recreational infrastructure at affordable prices, and location in borderland areas accessible for both domestic and international tourists. The toolkit of the local tourism promoters includes environmentalist tilt, heritagisation of nature, exploiting mystery imagery and other forms of exoticisation, emphasising cultural contrasts with regard to the Western and the urban, carnivalesque traditions, - all condensing the trope of wilderness into a single system.

Conclusions

The present article is an attempt to thread liminality through the multi-polity area of the Carpathian Mountains as a single space obduced with the key contemporary discourses of environmentalism,

⁶⁹ See D. Light, *Performing Transylvania: tourism, fantasy and play in a liminal place*. *Tourist Studies*, 9 (3), 2009, pp. 240-258.

Europeanisation, bordering, and cooperation. The area is still full of corresponding transformative processes, such as economic modernization, (de)politicisation or peripheralisation. There are both positive and negative risks – danger and power⁷⁰ – arising from the condition of liminality nurtured by such “blurriness of transformation”⁷¹. The Carpathians, besides, are a transboundary complex where natural conditions intertwine with governance regimes to combine with representation sediments from different historical periods. The symbolical importance of the belonging within Europe being high in the area⁷², the image of the latter, in part, goes through the process of internal negative definition, especially as the whole region was pieced together by a “collective need of not being only “ex””⁷³. In part, it is played off in the scholastic poker of the policy-makers, which takes place in the discursive and regulatory domains; and those are rich in symptomatic cues.

To put it in a nutshell, the “patterns of ideological meaning”⁷⁴ cast upon Central and Eastern Europe allow for a heteronomic reading of the regional experience. When trying to capture the processes of production of liminality in these lands, it is deemed necessary to move the spotlight from the forsaken Westphalian equality of states⁷⁵ to the emblematic paternalistic approach of external stakeholders to the nature and people of the Carpathian area. Apparently, in the same way in which culture is permeated by the knowledge of the landscape it reposes on⁷⁶, the natural and the cultural of the Carpathians – in the understanding of some observers – become peculiarly equalised (e.g. within the mind-frame of wilderness). The most common ways of picturing the area remain a fragmented and disorderly mass of land and a nevertheless continual phenomenon of unifiable nature. The Carpathians’ “being in the border space of modernity”⁷⁷ is sharply manifest in the frames of international cooperation stirring both the enthusiasm of participation and dependencies sprawl.

⁷⁰ M. Douglas, *Purity and danger: an analysis of concepts of pollution and taboo*. London: Routledge and Kegan Paul, 1966, p. 95.

⁷¹ A.P. Cohen, Culture, identity and the concept of boundary. *Revista de antropologia social*, 3, 1994, p. 55.

⁷² A. Melegh, *op. cit.*, p. 3.

⁷³ E. Bioteau, *op. cit.*, p. 11.

⁷⁴ J. Agnew, Space and place. In: Agnew, J. and Livingstone, D. (eds.), *The SAGE handbook of geographical knowledge*. London: SAGE Publications Ltd, 2011, p. 322.

⁷⁵ See S.D. Krasner, Abiding sovereignty. *International Political Science Review*, 22 (3), 2001, pp. 229-251.

⁷⁶ P. Bridgewater, and C. Bridgewater, International environmental governance. The story so far. In: Lowe, I. and Paavola, J. (eds.), *Environmental values in a globalising world: nature, justice and governance*. New York: Routledge, 2005, p. 207.

⁷⁷ D. Kołodziejczyk, *op. cit.*, p. 135.

References

Agamben, G., (2002), *What is a paradigm?*. European Graduate School Video Lectures. [video online] Available at:

<<https://www.youtube.com/watch?v=G9Wxn1L9Ero>> [Accessed 10 Apr. 2016].

Agnew, J., (2011), Space and place. In: Agnew, J. and Livingstone, D. (eds.), *The SAGE handbook of geographical knowledge*. London: SAGE Publications Ltd, pp. 316-330.

Albert, M., Bluhm, G., Helmig, J., Leutzsch, A. and Walter, J., (eds.) (2009), *Transnational political spaces: agents – structures – encounters*. *Historische Politikforschung*, 18. Frankfurt a.M.: Campus.

Ash, T.G., (1986), Does Central Europe exist?. *The New York Review of Books*. [online] 9 Oct. Available at: <<https://www.nybooks.com/articles/1986/10/09/does-central-europe-exist/>> [Accessed 10 Sep. 2018].

Bioteau, E., (2007), Everyday life near state borders. The social effects of the changing status of borders in Central Europe (Romania—Hungary). [pdf] *Borders of the European Union: Strategies of Crossing and Resistance*. Available at: <<https://halshs.archives-ouvertes.fr/halshs-01170509>> [Accessed 12 Mar. 2016].

Braudel, F., (1972), *The Mediterranean and the Mediterranean World in the Age of Philip II*. Vols. 1 and 2. New York: Harper and Row.

Bridgewater, P. and Bridgewater, C., (2005), International environmental governance. The story so far. In: Lowe, I. and Paavola, J. (eds.), *Environmental values in a globalising world: nature, justice and governance*. New York: Routledge, pp. 197-211.

Bufon, M., (2011), Cross-border policies and spatial and social integration: between challenges and problems. *European spatial research and policy*, 18 (2), pp. 29-45.

Chirot, D., (ed.) (1989), *Origins of backwardness in Eastern Europe: economics and politics from the Middle Ages until the early twentieth century*. Berkeley: University of California Press.

Cohen, A.P., (1994), Culture, identity and the concept of boundary. *Revista de antropologia social*, 3, pp. 49-61.

Dean, M., (2006), A political mythology of world order: Carl Schmitt's Nomos. *Theory, culture and society*, 23 (5), pp. 1-22.

d'Estaing, V.G., (2014), *Europa, la dernière chance de l'Europe*. Paris: XO Editions.

Dimitrova, A.L., (2001), *Enlargement governance and institution building in Central and Eastern Europe: the case of the European Union's administrative capacity requirement*. [pdf] Available at:

<ecpr.eu/Filestore/PaperProposal/ae34171a-929c-4e6a-ac61-f732c8909c50.pdf> [Accessed 8 Jan. 2016].

Dolzblasz, S., (2011), Transborder cooperation in the Polish-Czech borderland – activity at the local level. In: Heffner, K. (ed.), *Region and regionalism, 10 (2): Historical regions in the structures of European Union*. Lodz-Opole: University of Lodz, Silesian Institute in Opole, pp. 157-167.

Douglas, M., (1966), *Purity and danger: an analysis of concepts of pollution and taboo*. London: Routledge and Kegan Paul.

Dryden, D., (2004), Memory, imagination, and the cognitive value of the arts. *Consciousness and Cognition*, 13 (2), pp. 254-267.

Dunn, E.C., (2004), *Privatizing Poland: baby food, big business, and the remaking of labor*. Ithaca: Cornell University Press.

European Parliament/ European Commission. (2013). *Regulation (EU) No 1315/2013 of 11 December 2013 on Union guidelines for the development of the trans-European transport network and repealing Decision No 661/2010/EU*. Brussels.

Filep, B., (2017), *The politics of good neighbourhood. State, civil society and the enhancement of cultural capital in East Central Europe*. London: Routledge.

Gasche, R., (2008), *Europe, or the infinite task: a study of a philosophical concept*. Stanford: Stanford University Press.

Gyuris, F., (2014), *The political discourse of spatial disparities: geographical inequalities between science and propaganda*. Berlin: Springer Verlag.

Hanley, S.L., Deegan-Krause, K., Haughton, T., Whitefield, S. and Rovný, J., (2015), *All tomorrow's parties? The future (and past) of politics in Eastern Europe*. [online] Available at:

<blogs.ucl.ac.uk/ssees/2015/01/19/all-tomorrows-parties-the-future-and-past-of-politics-in-eastern-europe/> [Accessed 12 Jan. 2018].

Horvath, A., Thomassen, B. and Wydra, H., (2015), Introduction. Liminality and the search for boundaries. In: Horvath, A., Thomassen, B. and Wydra, H. (eds.), *Breaking boundaries: varieties of liminality*. Oxford: Berghahn Books, pp. 1-8.

Kauppi, N., (2002), Elements for a structural constructivist theory of politics and of European Integration. *Center for European Studies Working Paper Series*, 104. Harvard: Harvard University.

Keating, M., (1997), The invention of regions: political restructuring and territorial government in Western Europe. *Environment and Planning C: Government and Policy*, 15 (4), pp. 383-398.

Kluvankova-Oravska, T., Chobotova, V., Otto, I., Slavikova, L. and Trifunovova, S., (2009), From government to governance for biodiversity:

the perspective of Central and Eastern European transition countries. *Environmental Policy and Governance*, 19 (3), pp. 186-196.

Kocsis, K. and Kocsisne-Hodosi, E., (1998), *Ethnic geography of the Hungarian minorities in the Carpathian basin*. Budapest: Geographical Research Institute, Research Centre for Earth Sciences and Minority Studies Programme, Hungarian Academy of Sciences.

Kołodziejczyk, D., (2014), Post-colonial transfer to Central-and-Eastern Europe. *Teksty Drugie*, 1, pp. 124-142.

Krasner, S.D., (2001), Abiding sovereignty. *International Political Science Review*, 22 (3), pp. 229-251.

Lewkowicz, L., (2011), Forms of transborder cooperation in the region of the Tatra and Sub-Tatra Mountains. The past and the present. In: Heffner, K. (ed.), *Region and regionalism, 10 (2): Historical regions in the structures of European Union*. Lodz-Opole: University of Lodz, Silesian Institute in Opole, pp. 169-178.

Light, D., (2009), Performing Transylvania: tourism, fantasy and play in a liminal place. *Tourist Studies*, 9 (3), pp. 240-258.

Loewen, B., (2015), Contextualizing regional policy for territorial cohesion in Central and Eastern Europe. *Hungarian Geographical Bulletin*, 64 (3), pp. 205-217.

Lompech, M., (2016), Des conflits du passe, des conflits depasses? Les oppositions au collectivisme dans les Tatras. *Revue de géographie alpine*, 104 (1). [online] Available at:

<<https://journals.openedition.org/rga/3244>> [Accessed 12 Mar. 2017].

Lunden, T., (2004), *On the boundary: about humans at the end of territory*. Stockholm: Sodertorns Hogskola.

Martonyi, J., (2017), Differentiation or disintegration. Rethinking and Preserving the European Union. *Hungarian Review*, 8 (5). [online] Available at:

<www.hungarianreview.com/article/20170914_differentiation_or_disintegration> [Accessed 4 Jan. 2018].

Meessen, H., Švajda, J., Kohler, T., Fabriciusová, V., Galvánek, D., Buraľ, M., Káčerová, M. and Kadlečík, J., (2015), Protected areas in the Slovak Carpathians as a contested resource between metropolitan and mountain stakeholders. On the road to local participation. *Revue de géographie alpine*, 103 (3). [online] Available at:

<<https://journals.openedition.org/rga/3055>> [Accessed 9 Aug. 2016].

Melegh, A., (2006), *On the East-West slope: globalization, nationalism, racism and discourses on Eastern Europe*. Budapest: Central European University Press.

Milutinović, Z., (2015), Europe in the Balkan mirror. *Balkanica*, 46, pp. 255-272.

Nash, C., (2002), Cultural geography: postcolonial cultural geographies. *Progress in Human Geography*, 26 (2), pp. 219-230.

Neumann, I.B., (1999), *The uses of the other. "The East" in European identity formation*. Minneapolis: University of Minnesota Press.

O'Dowd, L., (2001), Analyzing Europe's borders. *Boundary and security bulletin*, 9 (2), pp. 67-79.

Olden, M., (2016), *A dangerous delusion. Debunking the myths around sustainable forests and the EU's bioenergy policy*. [pdf] Fern. Available at:

<www.fern.org/fileadmin/uploads/fern/Documents/Fern%20-%20Dangerous%20Delusion.pdf> [Accessed 2 Aug. 2017].

Perkmann, M., (2007), Construction of new territorial scales: a framework and case study of the EUREGIO cross-border region. *Regional Studies*, 41 (2), pp. 253-266.

Ryder, A., (2015), Introduction. In: Buček, J. and Ryder, A. (eds.), *Governance in transition*. Dordrecht: Springer, pp. 1-15.

Sikor, T., Dorondel, S., Stahl, J. and Xuan, P., (2017), *When things become property. land reform, authority and value in postsocialist Europe and Asia*. Oxford: Berghahn Books.

Sitter, N., Batory, A., Kostka, J., Krizsan, A. and Zentai, V., (2016), *Mapping backsliding in the European Union. Working Paper Series, 8*. Budapest: CEU Center for Policy Studies.

Stark, D., (1996), Recombinant property in East European capitalism. *American Journal of Sociology*, 101 (4), pp. 993-1027.

Szakolczai, A., (2009), Liminality and Experience: Structuring transitory situations and transformative events. *International Political Anthropology*, 2 (1), pp. 141-172.

Thomassen, B., (2014), *Liminality and the modern. Living through the in-between*. Farnham: Ashgate.

Troebst, S., (2010), Introduction: what's in a historical region? A teutonic perspective. *European Review of History*, 10 (2), pp. 173-188.

Turnock, D., (2001), The Carpathian ecoregion: a new initiative for conservation and sustainable development. *Geographica Pannonica*, 5, pp. 17-23.

UNEP/DEWA-Europe, (2007), *Carpathians Environment Outlook*. Geneva: UNEP.

Van Gennep, A., (1960). *The rites of passage*. London: Routledge and Kegan Paul.

Walsh, C., Jacuniak-Suda, M., Knieling, J. and Othengrafen, F., (2012), Soft spaces in spatial planning and governance: theoretical reflections and definitional issues. *European Conference Papers*. Delft: Regional Studies Association.

Weitz, E.D., (2008), From the Vienna to the Paris System: international politics and the entangled histories of human rights, forced deportations, and civilizing missions. *The American Historical Review*, 113 (5), pp. 1313-1343.

Werners, S.E., Matczak, P. and Flachner, Z., (2010), Individuals matter: exploring strategies of individuals to change the water policy for the Tisza River in Hungary. *Ecology and Society*, 15 (2): 24. [online] Available at: <<http://www.ecologyandsociety.org/vol15/iss2/art24/>> [Accessed 23 Dec. 2017].

Więckowski, M., (2013), Eco-frontier in the mountainous borderlands of Central Europe. The case of Polish border parks. *Revue de géographie alpine*, 101 (2). [online] Available at: <<https://rga.revues.org/2107>> [Accessed 16 May 2016].

Wolff, L., (1994), *Inventing Eastern Europe: the map of civilization on the mind of the Enlightenment*. Stanford: Stanford University Press.

Zarycki, T., (2014), *Ideologies of Eastness in Central and Eastern Europe*. Oxon: Routledge.

VOTE BUYING AND THE CREDIBILITY OF THE KOGI STATE 2019 GUBERNATORIAL ELECTION IN LOKOJA METROPOLIS

Zekeri Momoh*

momohz@veritas.edu.ng

Abstract: *This study seeks to examine the implications of vote-buying on the electoral credibility of Kogi state 2019 gubernatorial election in Lokoja Metropolis. This study adopted the Survey method because of the nature which requires people's opinion. The population of study is 137,301 registered voters, and a sample of 400 voters were used for this study. Meanwhile, stratified random sampling was adopted for the study. Out of the 400-questionnaire given to respondents, 387 were filled and returned. Mean was used for the analysis of data. The study revealed that vote-buying has negative implications on the credibility of the 2019 gubernatorial election in Lokoja Metropolis. Lastly, this study recommends among other things that since the research revealed that there is a relationship between income (economic position) and voters' decisions, political parties should provide excellent governance when elected and improve the situations of electorate who voted them into office.*

Keywords: *Money politics, Vote buying, Election, Democracy, Lokoja*

Introduction

Historically, the problem of vote-buying became well-known only after Nigeria got independence. During the first republic (1960-1966), vote buying had little impact on Nigerian politics. The parties financed the majority of the election costs with the funds they were able to raise during the first republic. While politicians were known to give out T-shirts, caps, and badges with party symbols, as well as food and other gifts, during political rallies, there was no significant spending by individual candidates to win elections, as there is today.

During the second republic, which began in 1979, vote-buying reached new heights. Some affluent Nigerians who stepped into politics or funded candidates for electoral office as soon as the military indicated the start of competitive politics may have supported it. Davies' claims that the wealthy contractors and mercantile class displayed so much affluence and used

* **Lecturer at the Department of Political Science and Diplomacy, Faculty of Social Sciences, Veritas University, Abuja-Nigeria.**

¹ A.E. Davies, Money and politics in the Nigeria electoral process: A memo of Department of Political Science, University of Ilorin – Ilorin, 2006.

money that those who won the conventions and primaries of some political parties, notably the National Party of Nigeria (NPN), the Nigerian People's Party (NPP), and the Unity Party of Nigeria (UPN), belonged to the business managerial group².

In 1993, the situation became significantly worse, as vote-buying became entrenched in candidates' political operations. This was because, despite the fact that the elections were held under the careful eye of the military, the political campaigns for the conduct of the 1993 election indicated an excessive use of money throughout the party primary and presidential elections. The National Republican Convention (NRC) and the Social Democratic Party (SDP), two political parties created by the military, were effectively seized by the wealthy (SDP). Buying votes to obtain a party nomination, for example, was rampant during the primaries, with bribery allegations trailing the results³.

Since 1999, all previous elections in Nigeria's Fourth Republic have been plagued by reports of money politics. This is because money politics has driven up the cost of campaigning and elections in Nigeria, making elections less credible and flawed in their execution; and this phenomenon has harmed voters' faith in the democratic process⁴. In Nigeria, large-scale political violence, cults, political gangsterism, corruption, and poverty generate criminal politics. According to a study, money politics has preserved power for a select group of politicians through election corruption, political patronage, and judicial corruption⁵.

Today, money politics infiltrated all aspects of political life, as well as all levels of political power. Money politics, such as vote buying, is a serious issue in Nigeria's political process. It prevents Nigeria from holding a free and fair election. Since 1999, ruling political parties in Nigeria have had the benefit of purchasing votes from the population with state resources to which they have unrestricted access, thereby tampering with the democratic process. Vote buying, election rigging, political thuggery, electoral malpractices and anomalies, poor service delivery in office by political office holders, and bad socioeconomic and political development are all consequences of money politics.

Finally, vote-buying is one of the most visible manifestations of money politics, and it has posed a serious threat to Nigeria's political process. This

² E.E. Lawal & Z. Momoh, Vote buying, money politics and electoral integrity in Nigeria. *Journal of Political Inquiry*. 4(1), 2019, 39 – 50.

³ N.I. Nwosu, The Nigerian presidential election of 1993. *Indian Journal of Politics*, 1996, Vol xxx Nos 1-2.

⁴ V.O.A. Adetula, *Money and politics in Nigeria*. Abuja: Petra Digital Press, 2008.

⁵ D.A. Yagboyaju, Nigeria's fourth republic and the challenge of a faltering democratisation. *African Studies Quarterly*. 2011, 12(3):94-106.

is because vote-buying is a corrupt political practice in which voters are bribed or given gifts in exchange for their votes prior to elections. Despite the fact that the phenomenon appears to impede democratic processes, it has been a source of concern for election stakeholders in Nigeria since 1999, as it continues to represent a threat to election integrity. In this light, the purpose of this research is to look into the impact of vote-buying on electoral credibility during the Kogi state gubernatorial election in Lokoja Metropolis in 2019.

Research Questions

- a. What are the implications of vote-buying on the electoral credibility during the Kogi state 2019 gubernatorial election in Lokoja Metropolis?
- b. What are the causes of vote-buying during the Kogi state 2019 gubernatorial election in Lokoja Metropolis?
- c. What are the major forms of vote-buying during the Kogi state 2019 gubernatorial election in Lokoja Metropolis?

Research Objectives

- a. To examine the implications of vote-buying on the electoral credibility of Kogi state 2019 gubernatorial election in Lokoja Metropolis.
- b. To identify the causes of vote-buying in the Kogi state 2019 gubernatorial election in Lokoja Metropolis.
- c. To know the most common types of vote-buying in during the Kogi state 2019 gubernatorial election in Lokoja Metropolis.

Literature Review: Money Politics, Vote-buying and Electoral Process

Money politics is defined as an event in the electoral process in which candidates for elective positions use money as an inducement to mobilize and gain support from voters. It is not based on persuading voters to vote according to their wishes and convictions, but rather on the force of money changing their minds⁶. Vote buying according to Bryan⁷ involve the use of money and direct rewards to sway voters. In this case, electorates are bribed with money and other tangible rewards in order to sway their votes.

⁶ O.L. Ovwasa, Money politics and vote buying in Nigeria: The bane of good governance. *Afro Asian Journal of Social Science*, 4(4), 2014, 99-106.

⁷ S. Bryan. & D. Baer, *Money in politics: A study of party financing practices in 22 countries*, (eds), National Democratic Institute for International Affairs, Washington DC, 2005.

As a result, people are offered these products in order to sway their votes or decisions. Voters are provided these direct benefits as well, and it is possible that they will abstain from voting. To vote in a certain way or not to vote.

According to Schaffer et al⁸ vote buying entails a simple economic exchange in which candidates "purchase" and citizens "sell" votes in the same way that they buy and sell apples, shoes, and television sets. They went on to say that vote purchasing is a contract, or maybe an auction, when voters sell their ballots to the highest bidder. As a result, parties and politicians that provide tangible benefits to voters may aim to buy political support at the ballot box in the spirit of market exchange. Fox⁹ posits that vote-buying involve the exchange of political rights for financial benefit. His main focus is on a person's right to exercise his or her franchise. It's an exchange that's also referred to as a transaction. As a result, selling one's privilege to vote for a candidate or political party by accepting a gift, reward, or advantage. As a result, the feature of the exchange between material reward and political support is more important than the exchange's goal.

Etzioni-Halevy¹⁰ asserts that vote-buying as to do with the exchange of private material benefits for political support. This focuses on voters receiving private material benefits in exchange for their political support. In other words, it's about providing voters with benefits in the form of gifts or incentives in exchange for them voting for the donor or candidate. In effect, voters are given stuff for their own use, and they are expected to reciprocate by voting for politicians or political parties. She sees this as an exchange because the materials are provided to the electorates in the hopes that they will consider the gift and vote for them.

Vote-buying incentives give goods that are temporary, personal, and have a high degree of predictability¹¹. As a result, poor voters place a higher value on vote-buying when the likelihood of receiving a reward for their vote is low. As a result, during the distribution of vote-buying incentives, the impoverished and less educated among electorates are virtually always

⁸ F.C., Schaffer & A. Schedler, What is vote buying? The limits of the market model. Paper presented at the Conference of Poverty, Democracy and Clientelism: *The Political Economy of Vote Buying*, Stanford University, 2005.

⁹ J. Fox, The difficult transition from clientelism to citizenship: Lessons from Mexico. *World Politics*, 46(2), 1994, 151-184.

¹⁰ E. Etzioni-Halevy, Exchange material benefits for political support: A comparative analysis. In A. Heidenheimer, M. Johnston, & V.T. LeVine (eds.), *Political corruption: A handbook*, 1989, pp. 287-304, New Jersey: Transaction Publishers.

¹¹ S.W. Desposato, How does vote buying shape the legislative arena? In F.C. Schaffer, (ed.), *Elections for sale: The causes and consequences of vote buying*. Boulder, CO: Lynne Rienner, 2007, pp. 144-179.

the focus. This is due to the fact that presents have a greater impact on the impoverished. In a nutshell, vote-buying can be a more powerful motivator for the poor to vote than public benefits, because the poor are frequently overlooked in the allocation of public goods. As a result, parties will attempt to buy votes from the impoverished before attempting to buy support from the wealthy.

However, studies have shown that vote buying boosts partisanship¹². To keep electoral coalitions together, parties may offer incentives or perks to loyal supporters during elections. This is explained by the fact that giving incentives to party supporters is a way of recognizing and affirming their commitment to the party. Again, Gans-Morse et al¹³ put it, unless operatives deliver particularistic incentives, supporters may become swing or opposition votes at the next election. It also urges people to vote for the party on Election Day. To put it another way, it eliminates fan indifference. Parties may, in effect, offer prizes to voting supporters to prevent party loyalty from eroding over time.

In contemporary time, every political system has its own version of vote buying. It might come in the form of cash payments to voters. Other types may include employment offers prior to elections, the distribution of gifts, the "last-minute" provision of social infrastructure to communities, and conditional pledges to individuals contingent on a candidate's election. According to Kramon¹⁴ political parties use specific techniques to buy voters' votes. The measures could be aimed at demobilizing active opponents or enlisting the help of passive supporters. The former is commonly referred to as "negative" vote buying or "abstention buying," whereas the latter is sometimes referred to as "positive" vote buying or "participation buying." These techniques could be used to discourage voters from voting or assure a high turnout. Negative vote buying reduces votes for the opposition party, whereas participation voting boosts votes for the party purchasing votes. The subject of how parties select between strategies when offering electoral incentives or buying votes remains unanswered.

Every democracy forbids the purchase of votes. It raises concerns about democracy's quality. Three forms of arguments against the practice are identified by Neeman et al¹⁵. First, they claim that vote buying contradicts the concept of equality since it provides wealthier people an

¹² J. Gans-Morse, S. Mazzuca, & S. Nichter, Varieties of clientelism: Machine politics during elections. *American Journal of Political Science*, 58(2), 2014, 415-432.

¹³ Ibid: 13.

¹⁴ E. Kramon, *Vote-buying and political behaviour: Estimating and explaining vote buying's effect on turnout in Kenya*. Working Paper Number 114, Afro Barometer, 2009.

¹⁵ Z. Neeman, & O.G. Orose, (2006). On the efficiency of vote buying when voters have common interests Available at: <https://www.tau.ac.il/~zvika/dis21.pdf>.

unfair advantage. Second, they claim that votes belong to the community as a whole, and that individual voters should not be able to vote against it. Third, there is a fear that buying votes may increase inefficiency. This is because some voters' interests are bought by political parties before the election, and their needs or interests may thus be overlooked by elected officials after the election. In most economies, buying votes is likewise frowned upon. This is because if a country becomes receptive to vote buying and selling, it loses favor with global multinational corporations looking to expand.

Aluaigba¹⁶ assesses the effects of electoral malpractices on Nigeria's democratic consolidation route. His research found that vote buying, has an impact on the outcome of Nigerian elections, as well as the quality of the country's democracy, because elections do not reflect the will of the people. In their study, Chul, et al¹⁷ evaluate the influence of money in Nigeria's political processes. Vote buying, according to their research, has a negative impact on Nigeria's democracy. In their study, Ajisebiyawo et al¹⁸ found that vote buying has resulted in a fraudulent electoral process in Nigeria, as well as too much bad politics in the Nigerian political system. However, this research does not look at the implications of vote buying on electoral credibility in Kogi State's gubernatorial election in 2019.

Baidoo et al¹⁹ investigated the culture of vote buying and its consequences, examining the variety of incentives and conditions that politicians give to voters. Cloths, silver pans (basins), gas cylinders, computers, money, outboard motors, wellington boots, and party-branded objects are among the commodities used to buy votes, according to their research. They also revealed that vote buying is a corrupt electoral practice that appears to disrupt democratic processes, posing a threat to the integrity of elections. The implications of vote buying on electoral credibility in the 2019 gubernatorial election in Kogi State, however, is not the focus of this research. It is against this background this study seeks to make contributions to thus research endeavour.

¹⁶ M.T. Aluaigba, Democracy deferred: The effects of electoral malpractice on Nigeria's path to democratic consolidation. *Journal of African Elections*. 15(2), 2016, 136 – 158.

¹⁷ A.A. Chul, M.B. Ismail, & K.H.K. Samsu, An assessment of the role of money in Nigerian general election. *Journal of Humanities and Social Science*. 22(7), 2017, 61-65.

¹⁸ A.S. Ajisebiyawo, & F.U. Masajuwa, Credible elections and establishment and maintenance of democratic order: The Nigerian dimension. *International Journal of Arts & Sciences*. 7(5): 453 – 468, 2016.

¹⁹ F.L. Baidoo, S. Dankwa & I. Eshun, Culture of vote buying and its implications: Range of incentives and conditions politicians offer to electorates. *International Journal of Developing and Emerging Economies*. 6 (2), 2018, 1-20.

Research Methodology

Research Design

This study adopted the Survey research design because the opinion of the respondents is required.

Population of Study

According to 2006 census exercise, the population of Lokoja, the Kogi State capital is 195, 261. Meanwhile, the Nigeria Civil Society Situation Room for Kogi State Governorship Election, 2019, states that Lokoja has 137, 301 registered voters but 118, 673 has Permanent Voters' Cards²⁰.

Sample and Sampling Techniques

The population of study is 137,301 registered voters, and a sample of 400 registered voters were used for this study. The sample size was arrived at using Taro Yamane's formula in calculating what would be the appropriate sample size considering the number of voters with Permanent Voters Card.

$$1 + N (e)^2$$

Where N = Total Population

E = Degree of Difference

Therefore,

$$\frac{137301}{1 + 137301} (0.05)^2$$

$$\frac{137301}{1 + 137301} (0.0025)$$

$$\frac{137301}{1 + 137301} \times 0.0025$$

$$\frac{344.2525}{398.8}$$

$$398.8$$

Approximately 399

So, 400 is the sample size for work.

Meanwhile, stratified random sampling was adopted for the study. Stratified random sampling was considered "because it assures for more representation of every segment of the population". Therefore, Lokoja was segmented into 10 areas: *Felele, Old Market, Adankolo, Lokogoma phase 1, Lokogoma phase 2, Kabawa, Gadumu, New layout, Peace Community and Ganaja*.

Research Instrument

Questionnaire was the research instrument used for this study. The questionnaire was designed in unambiguous words to obtain the views of the respondents.

²⁰ www.placng.org

Validity and Reliability

To ensure validity of the research instrument, it was submitted to Authority in the research area who approved it after assessing it.

Method of Data Collection

The researcher and a research assistant distributed the copies of the questionnaire to respondents at the designated areas. It took two weeks for the researcher and a research assistant to conclude the exercise.

Data Presentation and Analysis

The questionnaire was used to collect data from the respondents to analyze answers to research questions. Out of the 399-questionnaire given to respondents, 387 were filled and returned. This is used for the analysis of data; the results obtained are presented in tables below.

Sex Distribution

Table 1: Shows the sex distribution of respondents.

Sex	Frequency	Percentage (%)
Male	198	51.16
Female	189	48.84
Total	387	100

Field survey, 2022

From the table 1 above, 51.16% of the respondents are male, while 48.84% are female. This shows that majority of the respondents are male.

Age Distribution of respondents

Table 2: Shows the age distribution of respondents.

Age	Frequency	Percentage (%)
18 – 25	84	21.71
26 – 35	95	24.55
36 – 45	88	22.74
46 – 55	56	14.47
56 – 65	42	10.85
66 and above	22	5.68
Total	387	100

Field survey, 2022

Table 2 shows the age distribution of respondents. Thus, 21.71% of the respondents are under the age range of 18 – 25 years, 24.55% of the respondents are 26 – 35 years, 22.74% of the respondents are 36 – 45 years, 14.47% of the respondents are 46 – 55 years, 10.85% of the respondents are 56 – 65 years, while only 5.68% of the entire respondents are under the age range of 66 years and above. The analysis shows that the majority of the respondents are youths.

Educational Qualifications of respondents.

Table 3: Shows the educational level of respondents.

Educational Level	Frequency	Percentage (%)
FSLC	32	8.27
SSCE	65	16.80
OND/ND/NCE	90	23.26
HND/PGD	75	19.38
B.Sc./BA/B.Ed	68	17.57
M.Sc./MA	47	12.14
PhD	10	2.58
Total	387	100

Field survey, 2022

Table 3 shows the educational level of respondents. Thus, 8.27% of the respondents have FSLC, 16.80% of the respondents have SSCE, 23.26% of the respondents have OND/ND/NCE, 19.38% of the respondents have HND/PGD, 17.57% of the respondents have B.Sc./BA/B.Ed, 12.14% of the respondents have M.Sc./MA, while only 2.58% of the entire respondents have PhD certificates. The analysis shows that the majority of the respondents are educated and literate.

Marital Status

Table 4: Shows the marital status of respondents.

Marital Status	Frequency	Percentage (%)
Single	203	52.45
Married	184	47.55
Total	387	100

Field survey, 2022

From the table 4 above, 52.45% of the respondents are single, while 47.55% are married. This shows that majority of the respondents are single.

Research Question 1:

What are the implications of vote-buying on the electoral credibility during the Kogi state 2019 gubernatorial election in Lokoja Metropolis?

Table 5: Shows the implications of vote-buying on the electoral credibility during the Kogi state 2019 gubernatorial election in Lokoja Metropolis.

S/N	Items	Responses					Mean (\bar{X})	Decision
		SA	A	U	SD	D		
11.	Vote-buying negatively impact the electoral credibility in the 2019 gubernatorial election in Lokoja Metropolis.	150	189	10	17	21	4.11	Accepted
12.	Vote-buying trigger corruption by politicians after they are voted into power since they would want to get return on money invested during election campaigns.	165	154	-	30	38	3.98	Accepted
13.	Vote-buying contribute to the wrong candidates and/or political parties being elected into office thereby restricting the voting power of the electorates.	144	141	16	34	52	3.75	Accepted
14.	Vote-buying triggers electoral violence and conflicts during electioneering process.	139	145	2 3	37	43	3.78	Accepted
15.	Vote-buying frustrate the efforts of democratic institutions in ensuring credible elections.	66	161	17	76	67	3.20	Accepted
Grand mean (\bar{X})						3.76	Accepted	

Field survey, 2022

The mean value of items 11 through 15 in table 5 is more than 2.50. Its grand mean is 3.76, which is higher than the cut-off value. As a result, the majority of respondents felt that vote-buying will affect the credibility of the Kogi state 2019 gubernatorial election in Lokoja Metropolis. As a result, the respondents agreed that vote-buying has negative implications on the credibility of the 2019 gubernatorial election in Lokoja Metropolis; that vote-buying encourages politicians to commit corruption after they are elected to power because they want a return on money invested during election campaigns; and that vote-buying contributes to the election of the wrong candidates and/or political parties, limiting the voting power of the electorate. It also means that the majority of respondents agreed that vote-buying causes electoral violence and conflicts throughout the electioneering process, as well as that vote-buying thwarts democratic institutions' efforts to ensure fair elections.

Research Question 2:

What are the causes of vote-buying during the Kogi state 2019 gubernatorial election in Lokoja Metropolis?

Table 6: Shows the causes of vote-buying in the Kogi state 2019 gubernatorial election in Lokoja Metropolis.

S/N	Items	Responses					Mean (\bar{X})	Decision
		SA	A	U	SD	D		
1.	Poverty and low-income level contribute to the act of vote-buying during the 2019 presidential election.	136	148	16	38	49	3.74	Accepted
2.	Illiteracy and greed facilitate the practice of vote-buying during the 2019 presidential election.	191	150	10	17	19	4.24	Accepted
3.	The electorates' value system is responsible for act of vote-buying during the 2019 presidential election.	215	146	4	10	12	4.40	Accepted
4.	Weak electoral laws in Nigeria is a major cause of vote-buying during the 2019 presidential election.	87	139	16	67	78	3.23	Accepted
5.	Corruption encourages the act of vote-buying during the 2019 presidential election.	158	167	-	30	32	4.01	Accepted
Grand mean (\bar{X})						3.92	Accepted	

Field survey, 2022

The mean value of items 1–5 in table 6 is more than 2.50. Its grand mean is 3.92, which is higher than the cut-off value. As a result, the majority of respondents believed that poverty and low-income levels contribute to vote-buying during the 2019 gubernatorial election in Lokoja Metropolis, and that illiteracy and greed assist vote-buying during the Kogi state 2019 gubernatorial election. It also implies that the respondents agreed that the electorate's value system is to blame for vote-buying in the Lokoja Metropolis 2019 gubernatorial election; and that Nigeria's inadequate electoral rules are a key cause of vote-buying in the Lokoja Metropolis 2019 gubernatorial election. It also shows that the majority of respondents felt that during the 2019 gubernatorial election in Lokoja Metropolis, corruption fosters the practice of vote-buying. This research finding is similar to Obasanjo²¹ postulation that "With so many resources being used to capture elected posts, it is not difficult to recognize the correlation between politics and the possibility for high-level corruption". The largest losers are those who live in relative poverty, especially those voters whose confidence and investment in the system has been hijacked and subverted since money, rather than their will, has become the deciding factor in elections.

²¹ O. Obasanjo, Political party finance handbook. *Independent Electoral Commission (INEC)*, Abuja 2005, p. 13.

Research Question 2:

What are the major forms of vote-buying during the Kogi state 2019 gubernatorial election in Lokoja Metropolis?

Table 7: Shows the major forms of vote-buying during the 2019 gubernatorial election in Lokoja Metropolis.

S/N	Items	Responses					Mean (X)	Decision
		SA	A	U	SD	D		
6.	Gifts or incentives (clothes, food items, etc.) are offered by political parties and/or aspirants during election to influence voters' choice of candidates.	174	183	6	15	9	4.29	Accepted
7.	Promises of juicy political appointments by aspirants and political parties during electioneering campaign attract voters' support for a particular candidate/political party.	99	133	25	57	73	3.32	Accepted
8.	Political Parties distribute branded items (T-shirt, face cap and others) to influence and lobby voters' choice during election and voting.	169	192	-	17	9	4.27	Accepted
9.	Party candidates and/or political aspirants make buoyant and juicy promises of social amenities to electorates and communities during political campaigns which influences the voters' choice during election.	221	159	-	-	7	4.52	Accepted
10.	Aspirants and political parties distribute money to electorates during election to influence their choice of candidates.	145	205	-	20	17	4.13	Accepted
Grand mean (X)							4.11	Accepted

Field survey, 2022

Table 7 shows that, the mean scores of items 6 – 10 each is above mean value 2.50. It has grand mean of 4.11 which is above the cut-off mean. This implies that, majority of the respondents agreed that gifts or incentives such as clothes, food items, etc. are offered by political parties and/or aspirants during election to influence voters' choice of candidates; also, the respondents agreed that promises of juicy political appointments by aspirants and political parties during electioneering campaign attract voters' support for a particular candidate/political party. Majority of the respondents also affirms that political parties distribute branded items such as T-shirt, face cap, etc. to influence and lobby voters' choice during election and voting; and that party candidates and/or political aspirants make buoyant and juicy promises of social amenities to electorates and communities during political campaigns which influences the voters'

choice during election. Furthermore, the respondents agreed that aspirants and political parties distribute money to electorates during election to influence their choice of candidates.

Discussion of Research Findings

The findings of this study shed light on vote-buying and electoral credibility in the Lokoja Metropolis during the 2019 gubernatorial election. Table 4.5, based on the findings, solved study question one, which was to determine the reasons of vote-buying in the Lokoja Metropolis gubernatorial election in 2019. The grand mean of items 1–5 is 3.92, which is higher than the cut-off mean of 2.50. This means that the majority of respondents agree that poverty and low income, illiteracy and greed, the electorate's value system, Nigeria's poor electoral rules, and corruption favor vote-buying during the 2019 gubernatorial election in Lokoja Metropolis.

This study's conclusions are comparable to those of Ovwasa¹ who looked at "money politics and vote buying in Nigeria." He saw that in our political activities, money politics and vote buying have taken center stage. This is because, as seen by their actions during political campaigns, parties and candidates have demonstrated that good party manifestos and the integrity of individuals vying for public office are no longer sufficient to ensure electoral success; thus, they resort to vote-buying. The electorate, on the other hand, has clearly displayed cynical electoral conduct by willing to sell their votes to the highest bidder. He goes on to say that this unscrupulous activity or habit tarnishes public policy and the political process. In fact, it foreshadows threats to the democratic process of electing executives, thwarting good governance.

Table 4.6 provided a clear answer to study question two, which was to determine the key types of vote-buying during the Kogi state 2019 gubernatorial election in Lokoja Metropolis. Its grand mean is 4.11, which is higher than the cut-off value. This demonstrates that gifts or incentives such as clothes, food, and other items; promises of juicy political appointments by aspirants and political parties; distribution of branded items such as T-shirts, face caps, and other items; buoyant and juicy promises of social amenities to electorates and communities; and distribution of money by aspirants and political parties to electorates influence their choice of candidates during election.

¹ O.L. Ovwasa, Money politics and vote buying in Nigeria: The bane of good governance. *Afro Asian Journal of Social Science*, 4(4), 2014, 99-106.

The findings of this study corroborate those of Baidoo et al² who looked into the "culture of vote buying and its implications: a spectrum of incentives and conditions politicians give electorates." Food staples packages, clothes, silver pans (basins), gas cylinders, computers, money, outboard motors, wellington boots, and party branded objects are among the commodities used to buy votes during elections, according to their research. As a result, people are more likely to vote for candidates and political parties who offer them incentives in exchange for their support.

Table 4.7 provided a solution to research question 3, which was to determine the impact of vote-buying on electoral legitimacy in the Lokoja Metropolis gubernatorial election in 2019. It has a grand mean of 3.76, which is significantly higher than the cut-off mean. This demonstrates that vote-buying has a negative influence on election credibility, thwarting democratic institutions' efforts to ensure credible elections. Vote-buying is also a problem. Vote-buying also contributes to the election of the incorrect individuals and/or political parties by causing corruption, electoral violence, and conflicts.

This supports Baidoo et al³ conclusions on "vote-buying culture and its consequences." Their research also indicated that vote buying is a corrupt electoral activity that has a wide range of consequences for electioneering procedures and appears to inhibit democratic consolidation, posing a threat to the conduct of fair elections.

Furthermore, according to Schedler⁴ the infiltration of money and violence into political campaigns degrades democracy. This misbehavior, which has ramifications, jeopardizes democratic standards of political liberty (by denying voters their right to vote) and political equality (by benefiting the rich at the expense of the poor). They damage the credibility of election results. As a result, vote buying during elections weakens political accountability.

Conclusion

Money is a crucial component of democracy because many democratic actions would be impossible to carry out without it. Money politics is engulfed in political funding, which is one of the most scandalous methods of excessive use of money for electoral purposes, because money is generated and used by politicians in exchange for contracts and other

² F.L. Baidoo, S. Dankwa, & I. Eshun, Culture of vote buying and its implications: Range of incentives and conditions politicians offer to electorates. *International Journal of Developing and Emerging Economies*. 6 (2), 2018, 1-20.

³ Ibid 20.

⁴ A. Schedler, *Election without democracy*, Journal of Democracy, Vol. 13 (2), 2002, 36-50.

favors through shady and illegal means. Today, Money politics is evident in Nigeria today; it is quickly becoming a powerful force, affecting the democratic process and influencing who participates in and gains influence in Nigerian politics. This is because Nigerian party politics has been devoid of philosophy and has been controlled by money politics, in which the sources of funding for parties and campaign funds for candidates, as well as how they are spent, are unknown.

The practice of buying votes has progressively become entrenched in the Nigerian election system. During vote buying, voters have frequently been the target of political hopefuls and political parties. This tendency has resulted in a democratic setback, which has significant consequences for the delivery of democratic dividends in Nigeria. Furthermore, because vote buying is so common, it raises worries about the quality of growing democratic institutions and how future elections will aid in the delivery of better and more accountable governments.

Finally, one of the most serious consequences of vote buying is that it can lead to corruption among politicians after they are elected. This is due to the fact that they would like to see a return on their investment in political campaigns. As a result, it is critical to implement strategies that will aid in the prevention of vote-buying and its negative consequences in Nigeria, as this will ensure the free and fair conduct of elections.

Recommendations

Since the research revealed that there is a relationship between income (economic position) and voters' decisions, political parties should provide excellent governance when elected and improve the situations of electorate who voted them into office.

The Federal Government through the Ministry of Humanitarian Affairs should make increasing wealth redistribution a priority in order to eliminate poverty. This can be accomplished through generating or giving long-term jobs.

The National Orientation Agency should established intensify effort at educating Nigerians on need to develop democratic culture, that will enable them demand legitimate and transparent elections. Voters who have moral concerns to vote buying are able to achieve this.

The National Assembly should create a National Commission on Electoral Offenses, tasked with investigating and prosecuting electoral violators as regards to vote buying and other electoral malpractices.

Existing election laws on party financing, including campaign programs, should be strictly enforced by the Nigerian Police Force and other security agencies.

References

- Adetula, V.O.A., (2008), *Money and politics in Nigeria*. Abuja: Petra Digital Press.
- Adojutelegan, N., (2018), *Vote-selling: Infrastructure and public services*. Walden Dissertations and Doctoral Studies Collection, Walden University: United Kingdom.
- Ajisebiyawo, A.S. & Masajuwa, F.U., (2016), Credible elections and establishment and maintenance of democratic order: The Nigerian dimension. *International Journal of Arts & Sciences*. 7(5), 453 – 468.
- Aluaigba, M.T., (2016), Democracy deferred: The effects of electoral malpractice on Nigeria's path to democratic consolidation. *Journal of African Elections*. 15(2): 136 – 158.
- Baidoo, F.L., Dankwa, S. & Eshun, I., (2018), Culture of vote buying and its implications: Range of incentives and conditions politicians offer to electorates. *International Journal of Developing and Emerging Economies*. 6 (2), 1 – 20.
- Bratton, M., (2008), Vote buying and violence in Nigerian election campaigns. *Electoral Studies*, 27 (4), 621-632.
- Bryan, S. & Baer, D., (2005), Money in politics: A study of party financing practices in 22 countries, (eds), National Democratic Institute for International Affairs, Washington DC.
- Chul, A.A., Ismail, M.B. & Samsu, K.H.K., (2017), An assessment of the role of money in Nigerian general election. *Journal of Humanities and Social Science*. 22(7), 61-65.
- Dada, P., (2016), Vote buying allegations trail Ondo election. Available at: <http://www.punchng.com/vote-buying-allegations-trail-ondo-election> [Accessed 14 November, 2019].
- Davies, A.E., (2006), *Money and politics in the Nigeria electoral process: A memo of Department of Political Science*, University of Ilorin – Ilorin.
- Desposato, S.W., (2007), How does vote buying shape the legislative arena? In F.C. Schaffer, (ed.), *Elections for sale: The causes and consequences of vote buying*. Boulder, CO: Lynne Rienner, pp. 144-179.
- Etzioni-Halevy, E., (1989), Exchange material benefits for political support: A comparative analysis. In A. Heidenheimer, M. Johnston, & V. T. LeVine (eds.), *Political corruption: A handbook* New Jersey: Transaction Publishers, pp. 287-304.
- Fox, J., (1994), The difficult transition from clientelism to citizenship: Lessons from Mexico. *World Politics*, 46(2), 151-184.

Gans-Morse, J. Mazzuca, S., & Nichter, S., (2014), Varieties of clientelism: Machine politics during elections. *American Journal of Political Science*, 58(2), 415-432.

Kramon, E., (2009), Vote-buying and political behaviour: Estimating and explaining vote buying's effect on turnout in Kenya. Working Paper Number 114, Afro Barometer.

Lawal, E.E. & Momoh, Z., (2019), Vote buying, money politics and electoral integrity in Nigeria. *Journal of Political Inquiry*. 4(1), 39-50.

Matenga, G., (2016), Cash for votes: political legitimacy in Nigeria. Open democracy. Available at: <https://www.opendemocracy.net/grammatenga/cash-for-votes-political-legitimacy-in-Nigeria> Retrieved 13 November, 2019.

Morlino, L., (2004), What is a 'good' democracy? *Democratization*, 11 (5),10-32.

Norris, P., Frank, R.W., & Coma, F.M., (2014), Measuring electoral integrity around the world: A new dataset. *PS: Political Science & Politics*, 47(4), 789-798.

Nwosu, N.I., (1996), The Nigerian presidential election of 1993. *Indian Journal of Politics*, Vol xxx Nos 1-2.

Obasanjo, O., (2005), Political party finance handbook. *Independent Electoral Commission (INEC)*, Abuja.

Ovwasu, O.L., (2014), Money politics and vote buying in Nigeria: The bane of good governance. *Afro Asian Journal of Social Science*, 4(4), 99-106.

Schaffer, F.C., & Schedler, A., (2005), What is vote buying? The limits of the market model. Paper presented at the Conference of Poverty, Democracy and Clientelism: *The Political Economy of Vote Buying*, Stanford University.

Suberu, T.R., (2007), Nigeria's muddled elections. *Journal of Democracy*, 18(4), 95-110.

Sule, B. & Tal, M.K., (2018), Impact of money on Nigerian politics: Exploring the general elections in the fourth republic. *Asia Pacific Journal of Education, Arts and Sciences*. 5(2), 89-98.

Yagboyaju, D.A., (2011), Nigeria's fourth republic and the challenge of a faltering democratisation. *African Studies Quarterly*. 12(3),94-106.

LANGUAGE INTERACTION, MAINTENANCE, AND LOSS IN MAKASSAR: A SOCIOLINGUISTIC STUDY

Iskandar Iskandar*,

iskandar@unm.ac.id

Abdullah Abdullah**,

Abdullah5891@unm.ac.id

Munir Munir***

munir@unm.ac.id

Abstract: Makassar, the capital of South Sulawesi, contains a rare set of language contact and sociolinguistic language interaction occurrences. Although the Indonesian government has nationalized Bahasa Indonesia, several ethnic languages are still spoken. Nationalism is a “superordinate” and “ideologized” statement that aims to define a socio-ethnic identity. Nationalism unites and ideologizes multiethnic nations. Thus, Bahasa Indonesia is used to unite and shape the ideas of people from many different ethnic groups across Indonesia. However, in Makassar, ethnic languages are used to identify ethnic group membership. The city’s inhabitants often speak Makassarese, Makassar Malay, Bugis, and Selayarese languages. This study will highlight the sociolinguistic consequences of language contact in Makassar, such as language maintenance and loss, code-switching and code-mixing, as well as the phenomena of bilingualism and multilingualism. This work assumes that the adoption of Bahasa Indonesia as a national language did not consider the cultural conservatism of other ethnic languages.

Keywords: Indonesia, Makassar, Language Interaction, sociolinguistic language.

Introduction

The language problem is more than just the problem of the expression of human thought in sound or written symbols, which give man an extensive means of communication. Language is intertwined with the

* Lecturer, English Department, Universitas Negeri Makassar, Indonesia.

** Lecturer, English Department, Universitas Negeri Makassar, Indonesia.

*** Lecturer, English Department, Universitas Negeri Makassar, Indonesia.

culture of a society and its people¹. Every word represents a concept in that culture. Thus, the totality of the vocabulary of a language realizes, the totality of the concepts of that culture—concepts that are related to each other in an interlocked structure, expressing the value configuration of that culture with its richness of feelings, ideas, and ambitions. Therefore, we can say that every language is the complete expression of the life or, as is often said, the soul of the people. The problem of national languages and linguistic minorities has especially arisen with the creation of the new nation states in Asia and Africa after the Second World War². The colonial territories of the European powers, which became independent, were often populated by various peoples and tribes, each with their own language and culture, which in many ways differed from each other, so no adequate communication could or could not take place between the different groups. During the colonial era, the language of the colonial power was the most common way for people from different groups to talk to each other³.

Indonesia is a good example of such a country. About six hundred languages and dialects are spoken in the Indonesian archipelago, which consists of thousands of islands. The largest of which is the Javanese language, spoken by more than ninety-eight million people. Sundanese is spoken by over forty-two million people. Madurese is spoken by over thirteen million people, while some of the other languages are spoken by only a few hundred thousand people⁴. During the colonial period, the dominant language was, of course, Dutch. Indonesia was in a favourable situation since its youth discovered very early that the Indonesian people would only be successful in their struggle against the Dutch colonial power if they could be united into a single social, cultural, and especially political force. That was the decisive meaning of the oath taken by the Indonesian youth in 1928 (*Sumpah Pemuda*) for one country, one nation, and one language, called Indonesian⁵. Even now, Bahasa Indonesia is attaining a special privilege because it is constitutionally nationalised by the government and regarded as the depository of the Indonesian composite.

¹ E.N. Nwobu, “Ludwig Wittgenstein: Language and Culture”. *GNOSI: An Interdisciplinary Journal of Human Theory and Praxis*, vol. 2, no. 1, Jan. 2019, pp. 104-19.

² A. Takdir. “The problem of minority languages in the overall linguistic problems of our time.” *Linguistic Minorities and Literacy (Trends in Linguistics: Studies and Monographs 26)*. Berlin: Mouton, 1984, 47-55.

³ T. Alfred, and J. Corntassel. “Being Indigenous: Resurgences against contemporary colonialism.” *Government and opposition* 40.4 (2005): 597-614.

⁴ P.W.J. Nababan, “Bilingualism in Indonesia: Ethnic language maintenance and the spread of the national language.” *Southeast Asian Journal of Social Science* (1985): 1-18.

⁵ H.B. Siong, “Sukarno-Hatta versus the pemuda in the first months after the surrender of Japan (August-November 1945).” *Bijdragen tot de Taal-, Land-en Volkenkunde* 156.2 (2000): 233-273.

There is, of course, a striking fact that, despite the effort of the government to nationalise Bahasa Indonesia, there exist enormous numbers of ethnic languages that live side by side throughout the country. One may ask how the Javanese population, consisting of about ninety-eight million people, and the Sundanese population of forty-two million people, gave up their language in favour of the national language, which was for them a foreign language. The preservation of the aspects of the cultural heritage of particular ethnic groups, on the one hand, and its modification in the light of influences emanating from other cultural sources, on the other hand, may be regarded as processes that are mutually complementary. In an ethnically plural society such as Indonesia, the cultures of both the majority and minority groups constitute pools of cultural values from which members can draw to formulate their own personal cultural systems. In the case of language, individuals are in a position to construct dual systems of linguistic values and achieve in society a state of “internal cultural pluralism” (as opposed to a situation where society as a whole exhibits pluralism while individuals retain a monistic system).

In this way, the heritage of the whole ethnic group may be reshaped and revalued through its contact with the cultural values of other groups, especially those of the dominant one. This flexible approach to ethnic heritage as a living tradition may ensure its continued survival through the conscious nurturing of certain ethno-specific values, such as language, while at the same time introducing new forms in order to meet the demands of the day. This may involve a variety of solutions, such as accepting bilingualism as the most satisfactory outcome at group and individual level while making adjustments to family structure through the use of more than one group’s heritage.

However, attempts to homogenise society by whole-sale enforcement of the values of the majority upon all groups, regardless of their internal state of development, unbalances the process of tradition, adaptation, and retards, rather than enhances, social resilience. In Indonesia, pressure imposed by the government to use *Bahasa Indonesia* upon its people has resulted in the alienation of some ethnic languages, not to mention the death of some. The result has been a decrease in resilience, which the current generation is trying to overcome. The results of imposing *Bahasa Indonesia* as a national language and as a symbol of nationalism and how ethnic languages are used to define the ethnic group identity of their speakers and whether ethnicity has an impact on nationalism in Indonesia, especially in Makassar, are the basic principles of research in this study. In other words, this work, will focus on the linguistic consequences of ethnicity and nationalism in Makassar.

This work acknowledges that language maintenance and language loss in a given country cannot be explained or attributed solely to one factor. There are various social, political, economic, and socio-psychological reasons for language maintenance and language loss in a society. This study only attempts to explain the role of ethnicity and nationalism in the processes of language loss or language maintenance, but does not pretend to offer this as the sole explanation for the current language situations in Indonesia especially in the province of South Sulawesi where Makassar is situated. Consequently, the analysis of factors such as attitude towards the national language i.e. *Bahasa Indonesia* at an individual or personal level were not considered but may well have contributed to language choice at a group level. It is necessary to mention here, that this work also uses the term ‘language loss’ and not ‘language death’, because he realizes that the phenomena of language contact in Makassar has resulted in a situation in which there is a gradual loss in using ethnic language among younger generation though they have ability to understand it.

Theoretical Perspectives on Language Contact, Change, and Language Obsolescence

Every normal human being learns at least one language⁶. Learning a second language is learned either simultaneously or later in life, which duplicates in many ways the functions of the former. When the bilingual is not able to keep the two languages apart, there is linguistic interference, defined as “deviations from the norm of either language which occur in the speech of bilinguals as a result of their familiarity with more than one language”⁷. The linguists’ task is to identify and describe all cases of interference and tabulate their frequency. This can be done from small samples of bilinguals’ speech. The linguist is also concerned with the problem of whether some language structures are more resistant to interference than others. Sarah G. Thomason and T. Kaufman, in attempting to provide a framework for contact-induced language change, say, “The starting point for our theory of linguistic interference is this: it is the socio-linguistic history of the speakers, and not the structures of their languages, that is the primary determinant of the linguistic outcome of language contact.”⁸ Purely linguistic considerations are relevant but strictly secondary overall. The intensity of contact in a borrowing situation

⁶ N.P. Pongsapan, and A.A. Patak, “Improving Content, Organization, Vocabulary, Language Use, and Mechanics Using Movie Trailer Media”. *International Journal of Evaluation and Research in Education*, Vol.10, No. 2, 2021, 728-737.

⁷ Ibid, p. 23.

⁸ S.G. Thomason, and T. Kaufman. *Language contact, creolization, and genetic linguistics*. Univ of California Press, 1992, p. 89.

crucially involves factors of time and levels of bilingualism. Most inhabitants of Makassar city are bilingual speakers of their native language and the national language *Bahasa Indonesia*. If there is extensive bilingualism on the part of the borrowing language speakers and if this bilingualism persists over a long period of time, then sustainable structural borrowing is a probability.

In a comparably intense borrowing situation, whole sub-systems or even entire grammars may be borrowed along with a large number of words; or alternatively, the phenomenon known as language death might occur. Furthermore, cultural pressure so intense that all the pressured speakers must learn the dominant language of the community usually leads to one of three linguistic outcomes. First, a subordinate population may shift fairly rapidly to the dominant language, abandoning its native language so that the abandoned language (at least as spoken by that group) dies a sudden death. Second, a shift may take place over many generations, in which case the language of the shifting population may (as long as it is maintained) undergo the slow attrition known as language death. The third possibility is that, for reasons of stubborn language and cultural loyalty, the pressured group may borrow such large portions of the dominant language's grammar that they replace all, or at least a sizeable portion of the original grammar. Interference in literature is defined as deviations from the norms of either language that occur in the speech of bilinguals as a result of their familiarity with more than one language. Interference can be found at all levels: phonetics, phonology, morphology, syntax, semantics, and lexis⁹. The problem of phonic interference concerns the manner in which a speaker perceives and reproduces the sounds of one language, which might be designated secondary in terms of another to be called primary. Interference happens when a bilingual person confuses a phoneme in the secondary system with a phoneme in the primary system and then uses the phonetic rules of the primary language to say the phoneme in the secondary system. Andersen (1982) proposes three hypotheses for language-contact situations¹⁰:

1. A bilingual speaker of a threatened language will make fewer phonological distinctions in his or her language.

2. He or she will, however, keep distinctions that are shared by his or her language and the threatened language, while making fewer distinctions that are unique to the threatened language.

⁹ M.J. Ball, "The rhaeadr effect in clinical phonology." *Clinical linguistics & phonetics*, 28.7-8 (2014): 453-462.

¹⁰ P. Muysken. "Language contact outcomes as the result of bilingual optimization strategies." *Bilingualism: Language and cognition* 16.4 (2013): 709-730.

3. Distinctions with a functional load that is high (in terms of phonology and morphology) will survive longer in the speaker's use of his/her weaker language than distinctions that have a low functional load.

Interference takes place when elements of language B enter language A and are gradually grammatically integrated, or when a speaker of language A starts to speak language B and carries over elements of A into B. Given the contact of two languages, A and B, the following types of grammatical interference of A with B are to be expected:

1. Making use of A-morphemes in a spoken (or written) language
2. The application of a grammatical relationship from language A to B-morphemes in B or the omission of a relation from B that has no prototype in A.
3. A change (extension, reduction) in the functions of the B morphemes on the grammar model of language A by associating a specific B-morpheme with a specific A-morpheme.

Languages are seldom learned in a vacuum. They are learned along with other cultural factors and are constantly intertwined with them. External factors cited as significant in various studies of language maintenance, shift, and death include: numerical strength of the group in comparison to other minorities and majorities; social class; religious and educational groups in comparison to other minorities and majorities; settlement patterns; ties with the homeland in the case of migrant communities; and degrees of similarity between the groups.

Bahasa Indonesia as a National Language: Contact, Influence and Shift

The Republic of Indonesia, the world's largest archipelago, is located between the South East Asian peninsula and Australia, between the Indian and Pacific Oceans¹¹. Indonesia borders Malaysia on the island of Borneo; Papua New Guinea on the island of New Guinea; and East Timor on the island of Timor. Under the influence of Buddhism, several kingdoms formed on the islands of Sumatra and Java from the 7th to the 14th. The arrival of Arab traders later brought Islam, which became the dominant religion.

When the Europeans came in the early 16th century, they found a multitude of small states. These were vulnerable to the Europeans, who were in pursuit of dominating the spice trade. In the 17th century, the Dutch emerged as the most powerful of the Europeans, ousting the British

¹¹ D.F. Anwar. "Indonesia and the ASEAN outlook on the Indo-Pacific." *International Affairs*, 96.1 (2020): 111-129.

and Portuguese (except for Timor). After the Dutch East India Company was liquidated, its possessions in Indonesia were taken over by the Dutch government. During World War II, Japan invaded and occupied most of the important islands¹². After the Japanese occupation ended in 1945, the Indonesians declared independence, led by Sukarno. The Indonesian population can be roughly divided into two groups. In the west of the country, the people are mostly Malay, while the people of the east are Papuan. However, the ethnic structure is rather diverse, with several traditional tribes still living in the inlands of Borneo and Irian Jaya. Islam is Indonesia's main religion, with almost 87% of the population adhering to it. The remainder of the population is Christian (9%), Buddhist (2%), and Hindu (1%), the latter mainly on the island of Bali¹³. The official language, Bahasa Indonesia (a dialect of Malay), is spoken by almost everybody, although local dialects are usually the primary language. Such is the diversity of tongues in Indonesia (200 indigenous speech forms, each with its own regional dialects) that often the inhabitants of the same island don't speak the same native language. On the tiny island of Alor, there are some 70 dialects. On the island of Sulawesi, 62 languages have been found, and Irian Jaya has an amazing 10% of the world's languages¹⁴.

One language, Bahasa Indonesia, is taught in all schools to all students from age five; it is estimated that about 70% of the population is literate in Bahasa Indonesia¹⁵. This language is the only cultural element unifying the entire geographically splintered population. It was first used as a political tool in 1927 with the cry "One Nation, One Country, One Language!" and it is the only language used in radio and TV broadcasting, in official and popular publications, in advertisements, and on traffic signs. Films shown in Indonesia are required by law to be dubbed in standardized, modern Indonesian. Bahasa Indonesia (literally, language of Indonesia), also called Indonesian, is a remarkable language in several ways. To begin with, only a tiny fraction of the inhabitants of Indonesia speak it as a mother tongue; for most people, it is a second language. It is, in some ways, very modern; it was officially established in 1945, and it is a dynamic language that is constantly absorbing new loanwords. Learning Indonesian can be a

¹² F. Nieuwenhof, "Japanese film propaganda in world war II: Indonesia and Australia." *Historical Journal of Film, Radio and Television* 4.2 (1984): 161-177.

¹³ L.F. Brakel, "Islam and local traditions: syncretic ideas and practices." *Indonesia and the Malay world* 32.92 (2004): 5-20.

¹⁴ J.C. Kuipers, *Language, identity, and marginality in Indonesia: The changing nature of ritual speech on the island of Sumba*. No. 18. Cambridge University Press, 1998.

¹⁵ I. Solikhah, and T. Budiharso, "Exploring cultural inclusion in the curriculum and practices for teaching bahasa indonesia to speakers of other languages." *Journal of Social Studies Education Research* 11.3 (2020): 177-197.

rewarding experience for a foreigner, as phonology and grammar are relatively simple.

Bahasa Indonesia is based on Malay, an Austronesian (or Malayo-Polynesian) language that has been used as a lingua franca in the Indonesian archipelago for centuries and was elevated to the status of official language with the declaration of independence by Indonesia in 1945. It is essentially the same language as Bahasa Malaysia, the official language of Malaysia. It is spoken as a mother tongue only by 7% of the population of Indonesia and 45% of the population of Malaysia, but all together, almost 200 million people speak it as a second language with varying degrees of proficiency; it is an essential means of communication in a region with more than 300 native languages, used for business and administrative purposes, at all levels of education, and in all mass media.

Modern Bahasa Indonesia began as a trader's language, used throughout the archipelago. The prototype of present-day Indonesian was spread by the 12th-century Sriwijaya Empire of Sumatra. This archaic language, called Old Melayu ('Malay'), is still spoken in almost pure form in the small Riau and Lingga archipelagos off eastern Sumatra¹⁶. During colonial times, the Dutch used Malay as the official language of administration. In the early part of the 20th century, Indonesian nationalists realised the need for a national language when they found themselves addressing their revolutionary meetings in Dutch. Because it features no feudalistic levels of speech and was not used by any major ethnic group. Bahasa Indonesia was adopted as the future national language at the Second Indonesian Youth Congress in 1928¹⁷. When the Japanese army occupied Indonesia in 1942-45, they banned Dutch but found it impossible to impose their own language. To disseminate propaganda, they encouraged the use of Bahasa Indonesia. When the war ended, the Proclamation of Independence was written and broadcast to the world in Indonesian. When Indonesia achieved nation-status in the 1950s, a modern version of the language was quickly developed and expanded to apply to all the higher requirements of a fully modernizing, developing country.

Bahasa Indonesia is perhaps humanity's most highly evolved pidgin language, devouring thousands of words from Indonesia's local languages, as well as Arabic, Chinese, Dutch, Portuguese, Sanskrit, Tamil, French, English, and American. Many words of Western origin found in Bahasa Indonesian have obvious roots: hotel, doctor, polisi, cigaret, musik, paspor, revolusi, subversif, demokrasi. Some 7,000 words in Indonesian

¹⁶ B. Dalton, *Indonesia handbook*. Bill Dalton, 1995.

¹⁷ F.A. Hamied, and B. Musthafa, "Policies on language education in Indonesia." *Indonesian Journal of Applied Linguistics* 9.2 (2019): 308-315.

can be traced to Dutch¹⁸. New words generally begin in colloquial usage or among intellectuals and scientists. Many newly adopted words come from sports, economics, military science, or some advanced technological field. Although Javanese and Sundanese, spoken by over 110 million people, have also had a significant impact on the development of the lingua franca of the country, Indonesian has become so important and sophisticated that regional languages have not been able to grow into modern languages, serving as vehicles of communication for complex contemporary issues. The Dutch colonization left an imprint on the language¹⁹ that can be seen in words such as polisi (police), kualitas (quality), telpon (telephone), bis (bus), kopi (coffee), rokok (smoke) or universitas (university). There are also some words derived from Portuguese {sabun, soap; jendela, window}, Chinese {pisau, knife or dagger; loteng, [upper] floor}, Hindi [meja, table; kaca, mirror) and from Arabic {khusus, special; maaf, sorry}, etc. Indonesian is written in Latin script and is phonetic, especially since the spelling reform of 1972, which changed spellings based on the Dutch language, such as ‘tj’ for the sound ‘ch’. Another spelling convention that goes back to the Dutch, the use of ‘oe’ for the sound ‘u’, had already been eliminated in 1947, but still survives in proper names, for example Soeharto.

Since Indonesian draws many of its words from foreign sources, there can be no doubt about the existence of many doublets. For example, Indonesian has three words for book, i.e., pustaka (from Sanskrit), kitab (from Arabic) and buku (from Dutch). Below are some words in Bahasa Indonesia with foreign origin.

Some foreign words in Bahasa Indonesian Language		
Words	Meaning	Origin
akal	Reason	Arabic
Akhir	End	Arabic
Akhlak	Moral	Arabic
Badan	Body	Arabic
Kitab	Book	Arabic
Waktu	Time	Arabic
langgar	Fencing	Dutch
Arde	Ground	Dutch
Ban	Tyre	Dutch

¹⁸ S. Paauw, “One land, one nation, one language: An analysis of Indonesia’s national language policy.” *University of Rochester Working Papers in the Language Sciences*, 5.1 (2009): 2-16.

¹⁹ C.L. Penders, *The West New Guinea Debacle: Dutch Decolonisation and Indonesia, 1945-1962*. Brill, 2021.

Baskom	Washbasin	Dutch
Bioskop	Cinema	Dutch
Tante	Aunt	Dutch
bakmie	Noodle	Chinese
Bakso	Meatball	Chinese
Dacin	Balance Scale	Chinese
Hoki	Luck, Lucky	Chinese
The	Tea	Chinese
Beranda	Veranda	Portuguese
Biola	Violin	Portuguese
gardu	To Guard, Watch Post	Portuguese
Gereja	Church	Portuguese
kemeja	Shirt	Portuguese

The phenomenon of foreign loan words is not generally known by many Indonesian speakers. To them, any one of those foreign words is just like any other common word. Sometimes, ethnic leaders use foreign loan words or speak foreign languages just to show that they are educated people.

Ethnicity in Makassar: Language Contact

Makassar, sometimes called Macassar or Makasar, is the capital of Indonesia's South Sulawesi province in Indonesia. In English and many other European languages, the name Makassar was long spelt Macassar, but the Portuguese named it Macáçar during their tenure in the 17th century. During their reign over the city as part of the Dutch East Indies, the Dutch spelt both Makasser and Makassar²⁰. On September 1, 1971 (until 1999), the city was renamed Ujung Pandang, a variation of the pre-colonial name of the city's Fort Rotterdam²¹. It runs along the southwestern half of Celebes' southwestern peninsula. The Makassarese, who make up the bulk of the population, are a Malay group closely connected to the Bugis. Makassar, which was already a bustling port when the Portuguese arrived in the 16th century, was later taken over by the Dutch, who established a trade post in 1607 and eventually ousted the Sultan in 1669. It was the capital of the Dutch-sponsored state of East Indonesia for a short while (1946–49)²². Makassar has long been an

²⁰ Z. Greksakova, *Tetun in Timor-Leste: The role of language contact in its development*. Diss. 00500: Universidade de Coimbra, 2018.

²¹ Y. Iwatsk, and A. I. Branddin. "Makassar (= Ujung Pandang), South Sulawesi, Indonesia." *Bulletin of the Faculty of Agriculture, Miyazaki University*, 47.1-2 (2000): 95-114.

²² A. Reid, "Sixteenth century Turkish influence in western Indonesia." *Journal of Southeast Asian History*, 10.3 (1969): 395-414.

important commercial port, serving as the center of the Gowa Sultanate and a Portuguese naval base until being conquered by the Dutch East India Company in the 17th century. It remained an important Dutch East Indies port, supplying the eastern Indonesian areas and sending Makassarese fishermen as far south as the Australian coast. After Indonesia became independent, Makassar was the capital of the State of East Indonesia for a short time.

Makassar is the largest city in Eastern Indonesia and the fifth-largest metropolitan area in Indonesia. The city is situated on the island of Sulawesi's southwest coast, overlooking the Makassar Strait. Makassar is not only the entrance to Eastern Indonesia but also the meeting point between West and East Indonesia, as well as Australia and Asia. The majority of its residents are Makassars, often known as "Makassarese."²³ Within Makassar City's fifteen administrative districts, the city has a population of roughly 1.424 million in 2020. Its formal metropolitan area, known as Mamminasata, has an area of and has a population of about 2,698,915 according to the 2020 Census, with the inclusion of thirty-three more districts from neighbouring regencies.

Mangkasara is the native *Makassarese* name for the city. It is written in the Lontara script, which has previously been used to write Makassarese and Buginese, both of which are extensively spoken in the city. This project will investigate Makassarese language interaction.

Ethnic Makassar and Makassarese Language

Makassarese is an Austronesian great family language spoken by the Makassar people of South Sulawesi²⁴. The Makassar people dwell in the southern half of the island of Sulawesi, with Makassar serving as the capital of South Sulawesi, as well as Gowa, Takalar, and Jeneponto. People from Maros, Pangkep, and Bantaeng also speak Makassarese. Makassar is usually used to describe the term that comes after it, for example, Makassar people, Makassar land, and Makassar Harbour Cicy²⁵. As a result, Polingomang adds that the Makassar are one of the ethnic groups that inhabit the southern and western regions of Sulawesi island. The Makassar people are found in the following locations in South Sulawesi:

²³ A. Abbas, and M. Hasyim. "The Organization of Personal Pronouns in Sentence Structure Construction of Makassarese Language." *Journal of Language Teaching and Research* 13.1 (2022): 161-171.

²⁴ K. Daeng, and S. Weda, "Contrastive Analysis of Makassarese, Indonesian, and English Syntax." *Asian EFL Journal*, 25.5.2 (2019): 111-129.

²⁵ Surya, Batara, et al. "Environmental pollution control and sustainability management of slum settlements in Makassar City, South Sulawesi, Indonesia." *Land* 9.9 (2020): 279.

Maros, Gowa, Galesong, Takalar, Topejawa, Laikang, Cikoang, Jeneponto, and Bangkala (Mattulada, 2011). The Makassar and Bugis people are descendants of the Toraja family and live on the south peninsula of Sulawesi island²⁶. Makassarese is now spoken by 2.130.000 people²⁷.

The Makassar language has served as a local identity and interacts with Bahasa Indonesia in formal and non-formal communication. Furthermore, Bahasa Indonesia developed from the Malay language embryo, which was elevated to the status of national language. Thus, cohabitation of the Makassar language and the Bahasa Indonesia language causes reciprocal impact, both phonologically, morphologically, and syntactically, as well as via vocabulary influence. The fact that the two languages influence one another demonstrates that they may alter each other and cause language loss. More often than not, the Makassar language serves as a method of expressing Makassar culture, as a sign of Makassar ethnic identity, as part of the cultural mosaic, as a bridge between generations, and as a supporter of the national language. Following the 1945 Constitution, Bahasa Indonesia has two positions: national language and state language. Furthermore, Bahasa Indonesia serves as a source of knowledge. Bahasa Indonesia is used in two forms in Makassar, namely casual and formal. In informal contexts, the existence of regional languages, particularly the Makassar language, might act as a messenger, although in formal situations, Bahasa Indonesia has been standardised as the foundation for standardising the Bahasa Indonesia language in informal communication. These two kinds compete in their respective niches.

It should be understood that in this age of globalisation, the Indonesian people are in a precarious position, particularly in terms of language. Language interaction is caused by the Makassar language, which coexists alongside Indonesian. Furthermore, any communication between Bahasa Indonesia and Makassarese will result in code-switching repercussions. Gardner-Chloros describes code-switching as a symptom of shifting language usage in response to changing circumstances²⁸. According to Moyer, interference will develop from a linguistic scenario like this, which is a mistake that happens as a consequence of bringing the speech patterns of the mother tongue or dialect into a second language or

²⁶ A. Razak, S. Sarpan, and R. Ramlan, "Effect of leadership style, motivation and work discipline on employee performance in PT. ABC Makassar." *International Review of Management and Marketing*, 8.6 (2018): 67.

²⁷ N. Natsir, "The Compliment Responses Used By Makassarese Native Speaker." *Journal of Advanced English Studies*, 3.2 (2020): 124-130.

²⁸ P. Gardner-Chloros, *Code-switching*. Cambridge university press, 2009.

dialect²⁹. Interference, according to Spolsky, is classified into two types: internal interference and external interference³⁰. Internal interference occurs when individuals speak Makassarese and Bahasa Indonesia at the same time, for example. External interference occurs when individuals speak both Indonesian and English.

Language Contact that Occurred in Ethnic Makassar

As a capital city, Makassar experienced a rapid growth of since the 1990s. Migration, in one way or another, is one of the cause of language contact phenomenon in Makassar. The ways of life of people in urban areas and easy access to jobs and money attract people in rural areas to migrate and try to seek a better life in big cities like Makassar. Migration relates to language contact of different ethnic groups, which finally results in two important language processes, namely language maintenance and language shift. Makassar, with its heterogeneous population, accelerates the process of language shift that creates the crisis of ethnic identity. Language and identity are strongly related. Identity may be at the level of the group or the individual, hence language is seen as an integral part of a group's identity and of the identity of the individuals within the group³¹. Loiskandl states that "if a group is to maintain its ethnic identity and social cohesion, it must retain its language." Once a group has lost its language, it will generally lose its separate identity and will, within a few generations, be indistinguishably assimilated into another, more dominant group³².

Maintaining an ethnic language to identify ethnicity will result in code switching and code mixing, especially in situations where multiple ethnic groups come into contact. Code switching and code mixing will not happen if ethnic groups start shifting to a common lingua franca, as experienced by the younger and middle-aged generations in Makassar who started using Bahasa Indonesia in all domains. There are two possible processes in order to maintain ethnic identity in urban areas. First, migration to urban areas will create a heterogeneous society. Therefore, an acceptable means of communication is needed in order to enable all members of society with different ethnic language backgrounds to communicate. The diversity of Indonesian society's socio-cultural background is not only a valuable

²⁹ A. Moyer, *Foreign accent: The phenomenon of non-native speech*. Cambridge University Press, 2013.

³⁰ K. Sithampanathan, and A. Giorgetti. *Cognitive radio techniques: spectrum sensing, interference mitigation, and localization*. Artech house, 2012.

³¹ M.I. Ali, et al., "Information Technology Literacy Impact on Research Results Publication". *International Journal on Advanced Science, Engineering and Information Technology*, Vol. 12, No. 1, 2022. 137-143.

³² H. Loiskandl, *Australia and Her Neighbours: Ethnic Relations and the Nation State*. Vol. 11. Anthropology Museum University of Queensland, 1984, p. 68.

heritage that should be preserved, but it is also a source of creating heterogeneous societies.

We can assume, then, that a heterogeneous society in Makassar is different in one way or another from other heterogeneous societies in other cities on the basis of several factors. Politically, an acceptable means of communication that is used to unite all ethnic groups has been achieved by officiating Bahasa Indonesia and by the establishment of Bahasa Indonesia communities. The second process is that, in urban areas, ethnic languages experience redefinition in functions and roles. Traditionally, ethnic languages are used in all aspects of life and are the only means that are suitable to articulate various ethnic expressions. But, in urban areas like Makassar, ethnic languages stand side by side and compete with Bahasa Indonesia in functions, roles, and domains. If ethnic languages are used exclusively in some domains and Bahasa Indonesia in other domains, we will have ethnic languages' maintenance. But, if Bahasa Indonesia replaces ethnic languages in all domains, a language shift will occur. Some problems should be overlooked as the results of a language shift.

1. Traditional values are shifting, and they are better expressed through ethnic language.
2. The rise of new values and norms are the consequences of using new language as a means of communication.
3. The disappearance of an ethnic language's functions and roles in its domains and.
4. New language varieties are emerging.

Ethnically, someone's status will be determined by his or her position in the group. But, nowadays in urban society, someone's status is determined by his/her social and economic achievements. Similarly, various ethnic kinship addresses are now being replaced by simple Bahasa Indonesian addresses, which lack the zest of meaning. In analysing language maintenance and language shift in Makassar, we need to add two other related processes: language spread and language loss. Language spread is a process where there is an increase, over time, in the proportion of a communication network that adopts a given language or language variety for a given communicative function³³. Most language spread probably takes place as a lingua franca, as a language of wider communication (LWC), and English is a good example. But languages also spread for purposes of within-nation communication, and when they do so, not as an additional language like English in Nigeria, but as a new mother tongue like Bahasa Indonesia, then language spread becomes a

³³ R.L. Cooper, *Language spread: Studies in diffusion and social change*. Indiana University Press, Bloomington, Ind., US, 1982.

case of language shift. When such language spreads through shifts that take place within groups, we have a case of language loss.

While the question of shift is mainly related to the group, the question of loss is basically one that relates to the individual. It is the individual losing the ability to use the language. As much as language loss within ethnic groups is discussed, this loss no longer refers to a change in norms characteristic of a group, but to an aggregate of losses that occur within each individual in the group. In its simplest form, loss occurs when an ethnic group member or future generations cannot do things with the ethnic language he was able to do earlier. For example, they used to discuss things with their friends or read ethnic literature without the aid of a dictionary, but now they encounter some form of difficulty doing these things. Some of the proficiency they used to have is no longer accessible. This phenomenon is now being experienced by many ethnic group members in Makassar.

Schmidt (1990) noted that recognition of language loss is often delayed; that is, speakers feel that their language is healthy enough within the in-group network until the remaining fluent speakers are all old, even if younger people are all semi-speakers, passive understanders, or have no knowledge of the traditional language, and normal transmission stopped long ago³⁴. By the time a community becomes aware of impending language loss, it may be very difficult to reverse. Another kind of problem often confronts communities in which the younger speakers of the language speak something radically different from what is spoken by fluent elders. If the younger people's speech is regarded by the elderly as inadequate because of puristic attitudes, the younger people may be discouraged from continuing to speak. Conversely, if the semi-spoken version of the language is accepted within the community, even by the elders, the changed version may persist or rapid change may continue.

The problem of maintaining an ethnic language in one language nation relates to nationality and ethnicity. Fishman (1968) has argued for a distinction between nationalism and nationalism in his "Nationality-Nationalism and Nation-Nationism", where he attempted to sort out some of the terminological confusion accompanying nationalism³⁵. He suggested that "the transformation... of tradition-bound ethnicity to a unifying and ideologized nationality... be called nationalism"³⁶. An ethnic group is a reference group invoked by people who share a common historical style (which may be only assumed) based on overt features and values and who,

³⁴ R.L., Annette, *The loss of Australia's Aboriginal language heritage*. Aboriginal Studies Press, 1990.

³⁵ J.A. Fishman, "Nationality-nationalism and nation-nationism." Wiley, 1968.

³⁶ *Ibid*, p. 41.

through the process of interaction with others, identify themselves as sharing that style. Ethnic identity is the sum total of feelings on the part of group members about those values, symbols, and common histories that identify them as a distinct group. Ethnicity is simply ethnic-based action³⁷.

The resurgence of ethnic awareness in one nation brings into question the goal of complete assimilation for all ethnic groups. Ethnic identity has often been seen as a problem that must be overcome. Social scientists have often considered religious and ethnic groups as “vestiges of a primitive past that are destined to disappear”. But the writers of New Pluralism have argued that racial, religious, and ethnic groups are basic components of our social structure that affect our institutions and are at times more powerful than economic forces in their influence. The major difference between ethnicity and ethnic movement is that ethnicity as an unconscious source of identity turns into a conscious strategy, usually in competition for scarce resources. An ethnic movement is ethnicity turned militant, consisting of ethnic discontents who perceive the world as against them, an adversity along ethnic boundaries. While ethnicity stresses the content of the culture, ethnic movements will be concerned with boundary maintenance. Ethnic movements, by themselves, are unlikely to sustain a language, but they will influence the rate of shift, making it much slower and spanning many more generations. Fortunately, ethnic movements in the sense of militancy did not occur in Makassar.

Apart from the extent of linguistic assimilation, intergenerational differences can also be seen in terms of language choice, i.e., the functional reallocation of languages in everyday interaction. The younger generations of Batak Karo and Chinese preserve their ethnic languages, while for the younger generations of Makassar, Bahasa Indonesia is increasingly replacing ethnic languages in all domains. The argument that ethnic languages are part of the nation’s resources appeals to the notion of preservation of the national treasure and to the idea that languages are resources like minerals, technical skills, or numbers of workers. In other words, ethnic languages should be regarded as national treasures, part of our national heritage and so deserving of protection.

Fishman (1972) points out that a nation’s political and cultural foundations are weakened when large parts of the population do not feel encouraged to express behavioural patterns that are traditionally meaningful to them³⁸. The wealth of knowledge that is there in ethnic languages cannot be conveyed if ethnic languages are not maintained. This

³⁷ T.H. Eriksen, “Ethnic identity, national identity, and intergroup conflict.” *Social identity, intergroup conflict, and conflict reduction* 3 (2001): 42-68.

³⁸ J.A. Fishman, *Reversing language shift: Theoretical and empirical foundations of assistance to threatened languages*. Vol. 76. Multilingual matters, 1991.

knowledge is usually made accessible through language maintenance work, both to descendants of members of the speech community and to the nation.

Conclusion

Language behaviour of social groups is generally determined by societal socio-cultural and linguistic norms. In a society where a number of ethnic languages come into contact, the forces which contribute to language maintenance, bilingualism, language shift, and linguistic consequences, i.e., ethnicity and nationalism, will vary depending on the focus of social mobilization. A major problem in the accurate prediction of such linguistic consequences lies in identifying the salient factors which contribute to language maintenance or shift, i.e., answering the question “under what condition”³⁹. One can even argue that the most important factor influencing the language choice of ethnic groups is economic, specifically one of access to jobs⁴⁰. Migration is one major cause of language contact and language shift. The ways of life of people in urban areas and easy access to jobs and money attract people in rural areas to migrate and try to seek a better life in big cities like Makassar. Migration relates to language contact of different ethnic groups, which finally results in two important language processes, namely language maintenance and language shift. Makassar, with its heterogeneous population, accelerates the process of language shift that creates the crisis of ethnic identity. Language and identity are strongly related. Identity may be at the level of the group or the individual, hence language is seen as an integral part of a group’s identity and of the identity of the individuals within the group.

Dixon says that a group must keep its language if it wants to keep its ethnic identity and stay together as a group. Once a group has lost its language, it will generally lose its separate identity and will, within a few generations, be indistinguishably assimilated into another, more dominant group⁴¹. Identifying ethnicity by maintaining an ethnic language will result in code switching and code mixing, especially in a situation where a number of ethnic groups come into contact. Code switching and code mixing will not happen if ethnic groups start shifting to a common lingua franca, as experienced by the younger and middle-aged generations in Makassar who started using Bahasa Indonesia in all domains.

³⁹³⁹ J. Eisenstein, *Introduction to natural language processing*. MIT press, 2019.

⁴⁰⁴⁰ R. Ruiz, “Orientations in language planning.” *NABE journal* 8.2 (1984): 15-34.

⁴¹ R. Dixon, *The Languages of Australia*. Cambridge: CUP, 1980.

References

- Abbas, A., & Hasyim, M., (2022), The Organization of Personal Pronouns in Sentence Structure Construction of Makassarese Language. *Journal of Language Teaching and Research*, 13(1), 161-171.
- Alfred, T., & Corntassel, J., (2005), Being Indigenous: Resurgences against contemporary colonialism. *Government and opposition*, 40(4), 597-614.
- Ali, M.I., Patak, A.A., Rauf, B., Abduh, A., Tahir, M., Yasdin, Y., ... & Basalama, N., (2022), Information Technology Literacy Impact on Research Results Publication. *International Journal on Advanced Science, Engineering and Information Technology*, 12(1), 137-143.
- Alisjahbana, S.T., (1984), The problem of minority languages in the overall linguistic problems of our time. *Linguistic Minorities and Literacy (Trends in Linguistics: Studies and Monographs 26)*. Berlin: Mouton, 47-55.
- Anwar, D.F., (2020), Indonesia and the ASEAN outlook on the Indo-Pacific. *International Affairs*, 96(1), 111-129.
- Ball, M.J., (2014), The rhaeadr effect in clinical phonology. *Clinical linguistics & phonetics*, 28(7-8), 453-462.
- Brakel, L.F., (2004), Islam and local traditions: syncretic ideas and practices. *Indonesia and the Malay world*, 32(92), 5-20.
- Cooper, R.L., (1982). *Language spread: Studies in diffusion and social change*. Indiana University Press, Bloomington, Ind., US.
- Daeng, K., & Weda, S., (2019), Contrastive Analysis of Makassarese, Indonesian, and English Syntax. *Asian EFL Journal*, 25(5.2), 111-129.
- Dalton, B., (1995). *Indonesia handbook*. Bill Dalton.
- Dixon, R.M.W., (1980), *The Languages of Australia*. Cambridge: CUP.
- Eisenstein, J., (2019), *Introduction to natural language processing*. MIT press.
- Eriksen, T. H. (2001). Ethnic identity, national identity, and intergroup conflict. *Social identity, intergroup conflict, and conflict reduction*, 3, 42-68.
- Fishman, J.A., (1968), *Nationality-nationalism and nation-nationism*. Wiley.
- Fishman, J.A., (1991), *Reversing language shift: Theoretical and empirical foundations of assistance to threatened languages* (Vol. 76). Multilingual matters.
- Gardner-Chloros, P., (2009). *Code-switching*. Cambridge university press.

Greksakova, Z., (2018). *Tetun in Timor-Leste: The role of language contact in its development* (Doctoral dissertation, 00500:: Universidade de Coimbra).

Hamied, F.A., & Musthafa, B., (2019), Policies on language education in Indonesia. *Indonesian Journal of Applied Linguistics*, 9(2), 308-315.

Hill, J. H., Mistry, P.J., & Campbell, L. (Eds.). (2011). *The life of language: Papers in linguistics in honor of William Bright* (Vol. 108). Walter de Gruyter, p. 211.

IwATsk, Y., & BRANDDIN, A.I., (2000), Makassar (= Ujung Pandang), South Sulawesi, Indonesia. *Bulletin of the Faculty of Agriculture, Miyazaki University*, 47(1-2), 95-114.

Kuipers, J.C., (1998), *Language, identity, and marginality in Indonesia: The changing nature of ritual speech on the island of Sumba* (No. 18). Cambridge University Press.

Loiskandl, H. H., (Ed.). (1984), *Australia and Her Neighbours: Ethnic Relations and the Nation State*, (Vol. 11). Anthropology Museum University of Queensland.

Moyer, A., (2013), *Foreign accent: The phenomenon of non-native speech*. Cambridge University Press.

Muysken, P., (2013), Language contact outcomes as the result of bilingual optimization strategies. *Bilingualism: Language and cognition*, 16(4), 709-730.

Nababan, P.W.J., (1985), Bilingualism in Indonesia: Ethnic language maintenance and the spread of the national language. *Southeast Asian Journal of Social Science*, 1-18.

Natsir, N., (2020), The Compliment Responses Used By Makassarese Native Speaker. *Journal of Advanced English Studies*, 3(2), 124-130.

Nieuwenhof, F., (1984), Japanese film propaganda in world war II: Indonesia and Australia. *Historical Journal of Film, Radio and Television*, 4(2), 161-177.

Nwobu, E.N., (2019), Ludwig Wittgenstein: Language and Culture. *GNOSI: An Interdisciplinary Journal of Human Theory and Praxis*, 2(1), 104-119. Retrieved from

<http://gnosijournal.com/index.php/gnosi/article/view/102>

Paauw, S., (2009), One land, one nation, one language: An analysis of Indonesia's national language policy. *University of Rochester Working Papers in the Language Sciences*, 5(1), 2-16.

Penders, C.L.M., (2021), *The West New Guinea Debacle: Dutch Decolonisation and Indonesia, 1945-1962*. Brill.

Pongsapan, N.P., & Patak, A.A., (2021), Improving Content, Organization, Vocabulary, Language Use, and Mechanics Using Movie

Trailer Media. *International Journal of Evaluation and Research in Education*, 10(2), 728-737.

Razak, A., Sarpan, S., & Ramlan, R., (2018), Effect of leadership style, motivation and work discipline on employee performance in PT. ABC Makassar. *International Review of Management and Marketing*, 8(6), 67.

Reid, A., (1969), Sixteenth century Turkish influence in western Indonesia. *Journal of Southeast Asian History*, 10(3), 395-414.

Ruiz, R., (1984), Orientations in language planning. *NABE journal*, 8(2), 15-34.

Schmidt, A., & Schmidt, A., (1990), *The loss of Australia's Aboriginal language heritage*. Aboriginal Studies Press.

Siong, H.B., (2000), Sukarno-Hatta versus the pemuda in the first months after the surrender of Japan (August-November 1945). *Bijdragen tot de Taal-, Land-en Volkenkunde*, 156(2), 233-273.

Sithamparanathan, K., & Giorgetti, A., (2012), *Cognitive radio techniques: spectrum sensing, interference mitigation, and localization*. Artech house.

Solikhah, I., & Budiharso, T., (2020), Exploring cultural inclusion in the curriculum and practices for teaching bahasa indonesia to speakers of other languages. *Journal of Social Studies Education Research*, 11(3), 177-197.

Surya, B., Saleh, H., Suriani, S., Sakti, H. H., Hadijah, H., & Idris, M., (2020), Environmental pollution control and sustainability management of slum settlements in Makassar City, South Sulawesi, Indonesia. *Land*, 9(9), 279.

Thomason, S.G., (2000), Linguistic areas and language history. In *Languages in contact*. Brill.

Thomason, S.G., & Kaufman, T., (1992), *Language contact, creolization, and genetic linguistics*. Univ of California Press.

STRATEGIES OF EXPLICIT AND IMPLICIT REALIZATION OF MODALITY IN INTERSEMIOTIC TRANSLATION

Nataliia Holubenko*

n.irgovtsiy@gmail.com

Abstract: *The article considers the multifaceted and complex phenomenon of modality in terms of the cognitive-discursive and semiotic paradigm of its expression in the process of translation. The aim of the research is to study and analyze the basic principles of the cognitive-discursive and semiotic approaches to the actualization of the category of modality in the context of intersemiotic translation. In the modern scientific paradigm, the category of modality is considered as a functional-semantic, semantic-pragmatic, semantic-syntactic, grammatical or logical category. In the broadest sense, modality can be defined as the attitude of the speaker to the content of the statement, and the attitude of the content of the statement to reality. Within the cognitive-discursive approach, the essence and functions of modality are related to verbalized thinking of the individual. Accordingly, this approach is closely related to culturological, individual, and ethnocultural features of the conceptual systems of the author, speaker, and translator. Intersemiotic translation means the recording of the original text by means of another sign (semiotic) system. Thus, the notion of multimodality is described in the research paper where the text is considered as a complex structure that combines a set of linguistic and paralinguistic features inherent in different semiotic systems.*

Keywords: *category of modality, translation, intersemiotic translation, translation strategy.*

Introduction

The growing interest of linguists and translators of the modern generation in visual information and the rapid development of semiotics has led scholars to turn to multimodal texts, which consist of two heterogeneous parts: verbal and nonverbal (belonging to other sign systems). Modern linguists seek to overcome the narrow linguistic approach to the study of the text and show considerable interest in multimodal texts that combine features of different semiotic systems. In today far-reaching world, more and more investigations are devoted to

* **PhD. in Philology, Associate Professor, Korunets Department of English Philology and Translation, Kyiv National Linguistic University, Kyiv, Ukraine.**

multimodal texts, as one of the most popular, occupying most of the media space in postmodern society. The desire of linguists to study the relationship between the components of multimodal texts, the use of paths and intertextual connections seems reasonable.

Despite the intensity of these studies, it should be noted that in terms of multimodality, which is the result of intersemiotic translation, the trend towards a comprehensive study of the modality of the original text through the prism of its intersemiotic reading is of great importance. Modality is usually understood as a textual category that expresses the speaker's attitude to what is being reported, and his/her assessment of the content of the message. The expanded interpretation of modality as a category that includes different types of qualifications is of great importance: subjective (emotional, positive, negative, etc.) and objective (logical, intellectual, etc.) assessment of the content of the statement, where personal, individual appreciation prevails, especially in artistic, advertising, and political texts.

Among the issues related to such a phenomenon as translation, the problem of strategy and tactics of translation is relevant to this investigation. The notion of translation strategy can be defined as the art of conducting interlingual communication by an intermediary communicator known as translator/interpreter; it is a general plan, concept, idea of translation (transition from the source text to the translated text while maintaining the communicative content), based on modelling the prediction, analysis, and synthesis of content on a correlative basis, i.e. by identifying and superimposing functionally equivalent interrelated models of different units of the source language and the target language. The tactics of translation can be defined as the technology of making a translation decision within the identified models, filling the meaning-forming, frame models with content that is correlative in essence and communicative in function.

Translation, in the broadest sense of this word, means the ability to interpret signs of one semiotic system into another. "Translation always involves operating with certain sign systems, having a symbolic, semiotic nature"¹. The problem of translation was first described in its broad and general semiotic sense by Roman Jakobson². The linguist distinguished three ways of interpreting a verbal sign: it can be translated into other signs of the same language, into another language, or into another non-verbal symbol system, thus differentiating three types of translation:

¹ N.K. Garbovsky, *Teoriya perevoda. Uchebnik. M.: Izd-vo Mosk. un-ta (Translation theory. Textbook. M.: Publishing House of Moscow University), 2004. 544 p.*

² R. Jakobson, *On Linguistic Aspects of Translation. On Translation, a cura di R. Brower. Cambridge (Mass.). Harvard University Press, 1959.*

1) intralingual translation, or renaming, that is the interpretation of verbal signs using other means of the same language;

2) interlingual translation, or proper translation, that is the interpretation of verbal signs into any other language;

3) intersemiotic translation, or transmutation, is the interpretation of verbal signs through non-verbal sign systems³. These thoughts of Jakobson formed the basis of the definition of translation given by O. Akhmanova in the Dictionary of Linguistic Terms, where intersemiotic translation is interpreted as the transmission of this content not by means of the same or another natural (“verbal”) language, but by means of some non-verbal semiotic system such as choreography, music, etc., on the one hand, and information-logical languages, on the other hand⁴. Intersemiotic text consisting of verbal and non-verbal units, like any text has its own structure, i.e. presents organized in a certain way a single whole, the stylistic analysis of which involves, in particular, the identification of the principles underlying this organization as structural and stylistic dominants of the text. Although the usual definition of the text comes from its verbal character defined by Torop “Text (from lat. textus – fabric, interlacing, connection) as a combined semantic connection is a sequence of symbolic units, the main properties of which are connectedness, coherence and integrity”⁵.

Jakobson’s⁶ remark about the existence of a kind of translation that is not so much linguistic as intersemiotic undoubtedly paved the way for the multimodal revolution that we are seeing in our times, and which is particularly applied in texts of belles-letter discourse.

The purpose of the investigation is to study the basic cognitive-discursive and semiotic principles in considering modality in terms of intersemiotic translation. To achieve the main aim, the following questions are to be discussed:

1) to analyze the cognitive-discursive features of the functioning of lexical and lexical-grammatical means of modality;

2) to identify semiotic factors that determine the adequacy of the transfer of expressive means of modality;

³ Ibid.

⁴ O. Akhmanova, Slovar lingvisticheskikh terminov. 2-ye izd., ster. M: URSS: Yeditorial URSS (Dictionary of linguistic terms. 2nd ed., erased. M: URSS: Editorial URSS. 2004. 571 p.

⁵ P. Torop, Total’nyj perevod (Total translation). Tartu: Tartu University Press, 1995. P. 16.

⁶ R. Jakobson, Ibid.

3) to determine the translation strategies applied in conveying the means of modality in intersemiotic translation, the result of which are multimodal texts.

Materials and methods of investigation

The theoretical insight into the research analysis to the problematics of identifying and determining the reasons to explicit and implicit realizations of modality in multimodal texts due to intersemiotic translation requires the appliance of general scientific methods, among which are synthesis, analysis, theoretical observation, which allow deepening multimodal systemic functional approach to intersemiotic translation focusing on embedding visuals with texts. Besides, the contrastive analysis is used to reveal the ideological and cultural distortions imposed in the translated texts.

The empirical data in this article embraces two sources: the written novel by Den Brown 'Inferno' and its screen version in Ukrainian adaptation. In order to achieve the above-mentioned goals, the following linguistic methods were used in the study: 1) associative experiment allowed to reveal the connection between separate objects and the corresponding phenomena of reality presented in a literary written text and its screen adaptation; 2) methods of definitive and etymological analysis were used to arrange all the concepts to the definition of the notions of "intersemiotic translation", "category of modality", and "multimodal texts"; 3) descriptive method was applied to identify due to the analyzed material the translation strategies applied in the process of rendering explicit and implicit realizations of modality in intersemiotic translation, or more precisely, from literary text to its screen adaptation. Thus, the comparative analysis helps to penetrate into the deep content into the writers' creativity which is to be presented by variability in expression of modality in intersemiotic and interlingual translation. 4) The method of quantitative calculations and elements of statistical analysis facilitated the process of processing the collected empirical material.

Literature review

Speaking about the modality of multimodal texts, it should be noted that there is a lack of generally accepted interpretation of this concept and the uncertainty of its boundaries in linguistic and translation literature in particular, which requires a detailed description and consideration of intersemiotic translation in today's multicultural world. The task of intersemiotic translation is recoding, translation of images created in one sign system into images of another system. If the units of interlingual translation are words, phrases, sentences and texts, then the units of

intersemiotic translation are signs, images, audiovisual series and texts of secondary modeling systems. Accordingly, both verbal and nonverbal sign systems are the basis of intersemiotic translation. The structure of semiosis (sign process) is considered in terms of three components: sign, meaning, interpreter. According to the fixed components, the following relationships can be considered:

- the relationship between the unit and other signs associated with it;
- the relationship between the sign and its meaning;
- the relationship between the sign and its interpreter. These three types of relationships between the components of the sign process capture, respectively, its three dimensions:
 - syntactic – a dimension that captures the relationship between signs in the structure of the sign process;
 - semantic – is a dimension that captures the relationship between the sign and its meaning in the structure of the sign process;
 - pragmatic – is a dimension that captures the relationship between the sign and its interpreter in the structure of the sign process.

The issue of intersemiotic translation that has been previously studied by such linguists as Aguiar and Queiroz⁷, Bennett⁸, Campbell and Vidal⁹, Mossop¹⁰, Pârlog¹¹, Vitucci¹² and other worldwide researchers need to be further explored paying special attention not only to various linguistic and cultural means but to preserving personal attitudes towards reality expressed in the use of modal meanings. Moreover, within the framework of intersemiotic translation, the text is considered as a complex structure that combines a set of linguistic and paralinguistic features inherent in different semantic systems.

The process of intersemiotic translation is to change the sign (semiotic) systems: for example, a few paragraphs of verbal text describing the inner attitude or thoughts of any character can be conveyed in one

⁷ D. Aguiar, & J. Queiroz, "Towards a Model of Intersemiotic Translation", *The International Journal of the Arts in Society*, 2009. 4(4), pp. 203-210.

⁸ K. Bennett, "Intersemiotic Translation and Multimodality". *Translation Matters*, 2009. Vol. 1 No.2.

⁹ M. Campbell, & R. Vidal, *Translating across sensory and linguistic borders: intersemiotic journeys between media*. Cham: Palgrave Macmillan, 2018.

¹⁰ B. Mossop, "Intersemiotic translating: time for a rethink?" *Translation and Interpreting Studies*, 2019. 14(1), pp. 75-94.

¹¹ A.-C. Pârlog, *Intersemiotic translation: literary and linguistic multimodality*. London: Palgrave Macmillan, 2019.

¹² F. Vitucci, The semiotic cohesion of audiovisual texts. Types of intersemiotic explications in the English subtitles of Japanese full-length films. *Studia Translatorica*, 2018. vol 8. 22 p.

image, and the viewer can understand the state of the character. Intralingual translation can mean not only transcoding text from one functional style to another, but also summarizing and adapting. It is complicated by the fact that there is a set of several processes, for example: adaptation of the text for a new target audience, a summary, the need for which is dictated by a set of lexical, grammatical and syntactic features of the recipient's language.

This largely explored category of modality that has been studied by linguists from the whole world such as Knežević and Brdar¹³, Moindjie¹⁴, Palmer¹⁵, Swanson¹⁶, and others has to be clarified from the standpoints of intersemiotic translation and application of translation strategies to retain the same or similar author's and speaker's attitudes in a text belonging to different semiotic systems. Researchers view modality as a linguistic universal that requires interdisciplinary study. It is important to view the category of modality as anthropocentric category that reflects various aspects of human life, its relationship with objects and phenomena of the external world. We are inclined here to emphasize that modality is an invariant component of the human lexicon, that is an integral part of cognitive processes occurring in human consciousness. From the standpoint of cognitive linguistics, modality is the category the essence and functions of which are related to the linguistic thinking of the individual, because in the aspect of cognitive linguistics, modality is the need of the speaker to "position" himself in relation to the linguistic world he creates.

In Western European linguistics, Bally's concept of modality is most widely used. In his opinion, in any statement one can single out the main content (dictum) and its modal part (modus), which expresses the intellectual, emotional or volitional judgment of the speaker in relation to the dictum. Modus and dictum complement each other. Modes are divided by Bally into explicit and implicit (by the implicit modality embedded in the message itself, he calls the modality expressed by the forms of inclination); at the same time, the main form of expressing the explicit mode is the main clause as part of a complex subordinate clause with an additional subordinate clause. Modality is interpreted as a syntactic category, in the expression of which modal verbs play a primary role. The dictum, according to Bally, is correlative to the idea perceived by the senses, memory or imagination, and the mode is the mental operation that

¹³ B. Knežević, & I. Brdar, Modals and modality in translation: A case study based approach. *Jezikoslovlje*, 2011. 12(2), 117-145.

¹⁴ M.A. Moindjie, The function of modality in translation. *International Journal of Comparative Literature and Translation Studies*, 2015. 3(2), 11-24.

¹⁵ F.R. Palmer, *Modality and the English Modals*. New-York: Routledge, 2013. 220 p.

¹⁶ E. Swanson, Modality in language. *Philosophy Compass*, 2008. vol.3 (6), pp. 1193-1207.

is performed by the thinking subject on this idea. Modus is thus an expression of modality¹⁷.

Texts that contain or may contain elements of other semiotic systems, as we noted earlier, are called creolized, or, in the terminology of linguists Theo van Leeuwen and Günther Kress¹⁸, multimodal texts. For the first time, the multimodal paradigm was substantiated in their joint work “Multimodal Discourse”, in which the multimodal approach is understood as a whole direction of research of polycode (multimodal) texts, implemented with the involvement of heterogeneous semantic resources. G. Kress interprets the concept of “mode” as a channel of communication that serves to transmit a “message” between two interlocutors¹⁹. In this regard, the film adaptation can be considered, first, as a text in the broadest sense, i.e. as an identified semiotic space²⁰, which involves all three types of translation: interlingual (translation of a literary work into another language), intralingual (screenwriting) and intersemiotic (filmmaking). In order to fully convey the explicit and implicit expressive means of modality the notion of translation strategy is to be taken into account.

Bergen²¹ quotes Chesterman’s²² (1997) list of some general characteristics of translation strategies:

- a) Translation strategies apply to a process;
- b) They involve text-manipulation;
- c) They are goal-oriented;
- d) They are problem-centered;
- e) They are applied consciously;
- f) They are inter-subjective.

Most theorists agree that strategies are used by translators when they encounter a problem and literal translation is not useful. Therefore, it is highly important to present various approaches to defining and

¹⁷ Sh. Bally, *General linguistics and questions of the French language*, Moscow, 1955.

¹⁸ G.R. Kress, T. van. Leeuwen, *Multimodal Discourse: The modes and media of contemporary communication*. L.: Edward Arnold, 2002. 152 p.

¹⁹ G.R. Kress, *Multimodality: A social semiotic approach to contemporary communication*. L.: Routledge, 2009. P. 14.

²⁰ P. Cattrysse, Film (adaptation) as translation: some methodological proposals. *Target*, 1992. 4:1. pp. 53-70.

²¹ D. Bergen, (n. d.). Translation strategies and the students of translation. *Jorma Tommola*, 1, 109-125. Retrieved July 21, 2010, from

<http://www.hum.utu.fi/oppiaineet/englantilailentilologia/exambergen.pdf> .

²² A. Chesterman, *Memes of Translation: The Spread of Ideas in Translation Theory*. Amsterdam: John Benjamins, 1997. pp. 87-116

categorizing the notion of translation strategies by different scholars, as presented in Table 1:

Table 1. Translation strategies by different scholars

	Aixelá (1996)	Davies (2006)	Venuti (1995)
1.	Repetition	Preservation	Foreignization
2.	Orthographic adaptation		
3.	Linguistic translation		
4.	Synonymy		
5.	Extra-textual Gloss	Addition	
6.	Intra-textual Gloss		
7.	Limited Universalization	Globalization	Domestication
8.	Absolute Universalization		
9.	Naturalization	Localization	
10.	Deletion	Omission	
11.	Autonomous Creation	Creation	

Results and discussion

Analyzing the relationship of various circumstances of communication, the listener generates certain hypotheses about the general meaning of the communicative act. By correlating this meaning with an explicit and implicit meaning, the addressee determines what, how and why is left outside the scope of the expressed. The starting point for identifying implicit meanings and activating the mental mechanisms of implication (inference), replenishment (restoration) and modeling (metaphorization) is the correlation of the explicit meaning with the intended content of the communicative act. Implicit meanings are the most important, extremely informative component of communication, complementing explicit meanings, with the help of these meanings, “immersion” takes place and the real world and human activity, since the information contained in speech is much richer than what is directly expressed in it.

The category of modality serves as an expression of the implicit meaning of the statement. As noted above, modality, in addition to expressing different types of relation of the utterance to reality, also carries a subjective assessment of what is being reported in a specific kind of a text. Hence, for the purposes of the present paper, I will adopt Gottlieb’s definition of text as “any combination of sensory signs carrying communicative intention”²³.

²³ H. Gottlieb, “Semiotics and translation”. In Kirsten Malmkjær (ed.), *The Routledge handbook of translation studies and linguistics*. Oxon & New York: Routledge. 2018. 45–63.

The analysis from the standpoint of semiotics involves the decipherment of symbols and signs, semantic structures of media culture, taking into account the social, political, and general cultural context. Deciphering hidden meanings and ideologies can be revealed by decoding of multi-genre texts. The process of learning the meanings and forms of texts takes place on several levels: syntactic, semantic and pragmatic. The first level involves the analysis and interpretation of the determinant, its forms and interactions. The second, through opposition, passes to the inner semantic plane of the object. And finally, the third level is pragmatic, aimed at the effects and use of signs. Moreover, semiotic analysis goes in the direction from the sign to the broad socio-cultural context.

In semiotic analysis, regardless of its scope, there are usually three levels of study of sign systems: 1) syntactics studies the combination of signs and ways of their communication; 2) semantics explores sign systems as a means of expressing content - its main subject is the interpretation of signs and messages; 3) pragmatics is related to the study of the relationship between sign systems and those who use and interpret the messages contained in them. Regarding structural linguistics, the structural relations of signs with each other are studied here. Based on these relations, a paradigmatic and, accordingly, syntagmatic analysis of the text has been developed, which is used not only in structural linguistics, but also in literary studies, anthropology and other areas of semiotic analysis. Due to these postulates Chesterman²⁴ classifies translation strategies into syntactic, semantic and pragmatic as presented in Table 2:

Table 2. Chesterman’s translation strategies

Syntactic strategies	Semantic Strategies	Pragmatic strategies
Literal Translation	Synonym[y]	Cultural Filtering
Loan, Calque	Antonym[y]	Explicitness Change
Transposition	Hyponymy	Information Change
Unit Shift	Converses	Interpersonal Change
Phrase Structure Change	Abstraction Change	Illocutionary Change
Clause Structure Change	Distribution Change	Coherence Change
Sentence Structure	Emphasis Change	Partial Translation
Change	Paraphrase	Visibility Change
Cohesion Change	Trope Change	Transediting
Level Shift	Other Semantic	Other Pragmatic Changes
Scheme Change	Changes	

The consequence of the multifaceted study of the category of modality is the formation of a broad semantic field, the boundaries of which are very

²⁴ A. Chesterman, Ibid.

vague, because this phenomenon is considered from different points of view. The first stems from the position of traditional notions of logical modality, the subject of which is the study of different types of judgments, and the second – from the communicative-pragmatic position, which postulates that modality is a comprehensive category that characterizes the speaker's attitude to the content. Due to the diversity of views in numerous linguistic works on the problem of defining the category of modality and the unlimited number of attempts to determine which attitudes to reality can be considered modal, consideration of this category from the standpoint of intersemiotic translation requires considerable attention.

From the point of view of R. Jakobson's²⁵ categorization, translation can be considered as a semiotic process, arguing that translation can take place on the intralinguistic, interlingual and inter (inter) semiotic levels. In addition to the concept of intersemiotic translation mentioned above, intralingual translation is defined as "reformulation" in one language code, and interlingual translation is understood as the actual translation between different languages. Although modern science tried to change, reformulate or supplement these categories established by R. Jakobson, his outlined differentiation of intralingual, interlingual and inter (semiotic) translation can still become a basic practical basis for translating a work of art, improving the process of creating meaning and emphasizing the specifics of the transfer of the modality of the artistic text.

Today, the concept of intersemiotic translation is understood more broadly: it can be said when the same form of content is "translated" into one or more other semiotic systems with different substances and substances²⁶. The idea of intersemiotic translation is based on the understanding of translatability as one of the fundamental characteristics of any semiotic system, and any translation, in turn, is preceded by an interpretation accompanied by transformation. From a philosophical point of view, translation is a means of understanding cultures, so understanding and interpreting a text of any semiotic nature is based on a reading grid based on the sociocultural picture of the world of the subject who chooses the facts to interpret the text. During the film adaptation of an artistic work, the written text is transformed into a film text that is a syncretic (consisting of elements of many heterogeneous semiotic systems) poly- or multisemiotic system²⁷, which combines different sign systems, semiotic means into one interconnected unity and codes.

²⁵ R. Jakobson, *Ibid.*

²⁶ N. Dusi, *Il cinema come traduzione. Da un medium all'altro: letteratura, cinema, pittura*. Torino: UTET, 2006. p. 9

²⁷ N. Dusi, *Ibid.*, p. 160.

Table 3. Correspondence of actions in multimodal texts

VISUAL	AUDIAL	KINESTHETIC	WRITTEN
see	hear	grab	detect, identify, observe, recognize
look	listen	touch	stare, view, glance
observe	sound	feel	notice, discover, distinguish
show	speak	move	present, expose, communicate, demonstrate
draw	express	address	proceed, take out, deduce, derive

In other words, if verbal, sound and visual remain in relation to elaboration, the degree of similarity of meanings between different semiotic texts will be high, because the same or similar meanings are repeated in the same or different way. On the other hand, if the relationship is an extension or enhancement, the degree of correlation of values will be lower, because in this case the values are added and supplemented²⁸. For example, the use of extension and reinforcement is the following excerpt from Dan Brown's book "Inferno" and its film adaptation, where the implicit modality in the written text is enhanced in its screened translation by adding modal verb *мушу* in Ukrainian applying the strategy of globalization (*I speak to the world – Я мушу промовляти до світу*) as presented in the following example:

1) *I am the Shade. Driven underground, I speak to the world from deep within the earth...*²⁹ – Я – Привид. Загнаний углиб, я **мушу** промовляти до світу з землі...³⁰

The strategy of globalization is clearly illustrated in the following excerpt, where the translator interpreted the implicit modality in Dan Brown's original literary text "Inferno" by translating the corresponding line in the translated screen version of the book adding lexical means of the category of modality in Ukrainian:

2) "*Was I responsible for a car accident?*" Langdon asked. "*Did I hurt someone?!*"³¹ – **Може**, я став винуватцем автомобільної пригоди? **Може**, я комусь заподіяв шкоду?³²

²⁸ R. Martinec, & A. Salway, A system for image-text relations in new (and old) media. *Visual Communication*, 2005. 4, 337–371.

²⁹ D. Brown, *Inferno*. Doubleday, 2013. P. 43.

³⁰ D. Brown, *Inferno*. Screen adaptation, 2016. 00:45:13.

³¹ D. Brown, *Ibid*, P. 46.

³² D. Brown, *Ibid*, 00:23:34

The duality of the linguistic sign leads to interlingual asymmetry and thus reveals the dialectical relationship between the need for translation and the interlingual discrepancies that arise, as well as the possibility of adequate translation. Obviously, the modal verb *can* in the Ukrainian language has the equivalents of *можти, можна*, but in the following communicative situation it is neutralized, which is reinforced by the use of the imperative form of the verb *припинити*, represented in the example below:

3) “Also, you **can** stop calling me Dr. Brooks—my name is Sienna”³³.
– А ще припиніть звертатися до мене “лікарко Брукс”, мене звуть Сієнна.³⁴

It is clear from the extract below how differences in the transmission of modality of the text are related to different semiotic systems. In the written text the author uses the modal particle in the interrogative sentence with the expression of uncertainty / doubt, and in the translated text the message is conveyed in the affirmative form, which is amplified by a gesture – nodding his head, expressing the modality of confidence, so the strategies of preservation and creation are used in the example below:

4) “Did you hear that sound?” Sienna whispered. The cap of a test tube, maybe?³⁵ – “Що то в біса було?” Ти чув той звук? (non-verbal means of communication). То, **мабуть**, заглушка пробірки.³⁶ (non-verbal means of communication)

The following passage clearly illustrates the antonymous translation, so the strategy of creation is used:

5) For twelve months I had been overseeing support services for the same client of the Consortium— an eccentric, green-eyed genius who wanted only to “disappear” for a while so **he could work** unmolested by his rivals and enemies.³⁷ – Дванадцять місяців я контролювала надання послуг і підтримки тому самому клієнту Консорціуму – ексцентричному зеленоокому генію, якому захотілося ненадовго “зникнути”, щоб **йому не заважали працювати** конкуренти й вороги.³⁸ (DB Inferno Movie, 00:55:24)

The process of intersemiotic translation is to change the sign (semiotic) systems: for example, a few paragraphs of verbal text describing the inner attitude or thoughts of any character can be conveyed in one image, and the viewer can understand the state of the character. Intralingual translation can mean not only transcoding text from one

³³ D. Brown, Ibid, P. 22.

³⁴ D. Brown, Ibid, 00:05:45

³⁵ D. Brown, Ibid, P. 156.

³⁶ D. Brown, Ibid, 01:05:20

³⁷ D. Brown, Ibid, P. 120.

³⁸ D. Brown, Ibid, 00:55:24

functional style to another, but also summarizing and adapting it. It is complicated by the fact that there is a set of several processes, for example: adaptation of the text for a new target audience, a summary, the need for which is dictated by a set of lexical, grammatical and syntactic features of the recipient's language.

Conclusion

The presented paper concerning the analysis of the translation strategies applied in realization of the explicit and implicit means of modality in multimodal texts which are viewed as a result of intersemiotic translation allowed answering the research questions as described in this investigation. The application of the methodology of identifying and determining the reasons to explicit and implicit expressing modality in multimodal texts which represents the idea of translation strategies tested on the material of Den Brown's 'Inferno' novel and its screen version in Ukrainian adaptation shows that intersemiotic translation is the basis of cross-cultural communication through which thought and reality are structured using a variety of semiotic resources. Modality is a complex linguistic category, which is associated with the norms of behavior, communicative culture and interpersonal relations of the communicants. Adequate transmission of modality plays a huge role in the accurate transmission of the attitude of the author of the statement to the phenomena or events described.

Thus, the analysis of Ukrainian translations indicates that the transfer of modality in the intersemiotic translation of a literary text to a movie often occurs using strategies of globalization and creation, which consist in reducing or enhancing the level of emotionality of the message. This most often applies to those cases when the author's position or assessment is most emotionally and vividly traced, which is not important for a foreign-language society. Modality in translation can be conveyed by the same means as it is expressed in the original, or by other means, or it may not find a formal expression at all. However, in the latter case, it cannot be considered that it is not expressed in any way. This means that the relation of the utterance to reality follows from the very content of the utterance without a special modal "pointer". In other words, in this sentence, the modality is not an explicit, but implicit expression of thoughts and ideas.

The translator within the framework of the modern anthropocentric paradigm of knowledge is an independent linguistic person who, choosing one or another way of transmitting the modal meanings, makes a certain internal choice, acting for/against the rules and prohibitions defined for the recipient linguistic/cultural community or social group. Thus, the specificity of translation strategies in conveying modality in intersemiotic

translation requires taking into account the factor of different semiotic resources and receiving culture, as well as the personality of the translator as an instance through which information passes before becoming a factor in cross-cultural communication.

References

- Akhmanova, O., (2004), *Slovar lingvisticheskikh terminov*. 2-ye izd., ster. M: URSS: Yeditorial URSS (Dictionary of linguistic terms. 2nd ed., erased. M: URSS: Editorial URSS. 571 p.
- Aguiar, D., & Queiroz, J., (2009), "Towards a Model of Intersemiotic Translation", *The International Journal of the Arts in Society*, 4(4), pp. 203-210.
- Bally, Sh., (1955), *General linguistics and questions of the French language*, Moscow.
- Bennett, K., (2019), Intersemiotic Translation and Multimodality. *Translation Matters Vol. 1 No. 2*
- Bergen, D., (2010), Translation strategies and the students of translation. *Jorma Tommola*, 1, 109-125. Retrieved from <http://www.hum.utu.fi/oppiaineet/englantilailentilologia/exambergen.pdf>.
- Brown, Dan, (2013), *Inferno*. Doubleday: 642 p.
- Brown, Dan, (2016), *Inferno*. Screen adaptation.
- Campbell, M. and Vidal, R. (ed.), (2018), *Translating across sensory and linguistic borders: intersemiotic journeys between media*. Cham: Palgrave Macmillan.
- Cattrysse, P., (1992), Film (adaptation) as translation: some methodological proposals. *Target*. 4:1.
- Chesterman, A., (1997), *Memes of Translation: The Spread of Ideas in Translation Theory*. Amsterdam: John Benjamins, pp. 87-116.
- Dusi, N., (2006), *Il cinema come traduzione. Da un medium all'altro: letteratura, cinema, pittura*. Torino: UTET.
- Garbovsky, N.K., (2004), *Teoriya perevoda*. Uchebnik. M.: Izd-vo Mosk. un-ta (Translation theory. Textbook. M.: Publishing House of Moscow University), 544 p.
- Gottlieb, H., (2018), "Semiotics and translation". In Kirsten Malmkjær (ed.), *The Routledge handbook of translation studies and linguistics*, 45-63. Oxon & New York: Routledge.
- Jacobson, R., (1959), *On Linguistic Aspects of Translation*. *On Translation, a cura di R. Brower*. Cambridge (Mass.): Harvard University Press.
- Knežević, B., & Brdar, I., (2011), Modals and modality in translation: A case study based approach. *Jezikoslovje*, 12(2), 117-145.

Kress, G.R., Leeuwen T. van., (2002), *Multimodal Discourse: The modes and media of contemporary communication*. L.: Edward Arnold, 152 p.

Kress, G.R., (2009), *Multimodality: A social semiotic approach to contemporary communication*. L.: Routledge, 232 p.

Martinec, R., & Salway, A., (2005), A system for image-text relations in new (and old) media. *Visual Communication*, 4, 337–371.

Moindjie, M.A., (2015), The function of modality in translation. *International Journal of Comparative Literature and Translation Studies*, 3(2), 11-24.

Mossop, B., (2019), 'Intersemiotic translating: time for a rethink?' *Translation and Interpreting Studies*, 14(1), pp. 75-94.

Palmer, F.R., (2013), *Modality and the English Modals*. New-York: Routledge, 220 p.

Pârlog, A.C., (2019), *Intersemiotic translation: literary and linguistic multimodality*. London: Palgrave Macmillan.

Swanson, E., (2008), Modality in language. *Philosophy Compass*, vol.3 (6), pp. 1193-1207.

Torop, P., (1995), *Total'nyj perevod (Total translation)*. Tartu: Tartu University Press. P. 16.

Torop, P., (2000), Intersemiosis and intersemiotic translation. *S: European Journal for Semiotic Studies*. 12(1): 71–100.

Vitucci, F., (2018), *The semiotic cohesion of audiovisual texts*. Types of intersemiotic explications in the English subtitles of Japanese full-length films. *Studia Translatorica*, vol. 8, 22 p.

THE AESTHETICS OF ETERNAL PARADOX: ENDLESS DIALOGUE BETWEEN ISLAMIC AND MINANGKABAU THOUGHT IN WISRAN HADI'S DRAMATURGY

Dede Pramayoza*

dedepramayoza.riset@gmail.com

Abstract: *Wisran Hadi, a prominent Indonesian playwright, was born in the cultural background of the Minangkabau ethnic group, one of the ethnic groups in Indonesia that have received the most attention from world researchers. There are two main reasons, which make this ethnicity get special attention in humanities studies. First, because the Minangkabau ethnic contributed many thinkers during the formation of the Indonesian nation-state, which is believed to have originated from its egalitarian and democratic culture; and secondly because the matrilineal system in its customs is strongly intertwined with Islam which tends to be patriarchal. In this endless paradox, many literary writers are born. Wisran Hadi was one of them and became the most prolific and strongest of his time. In his drama works, Wisran Hadi makes the eternal paradox between Islam and Minangkabau a dialogical force, from which aesthetic value emerges as the ability to negotiate and make appropriations. When staged, the dialogue between the two sources of paradox is presented in the form of visual games, which gives the impression that differences of mind for the Minangkabau ethnic are understood as a game of life, a source of wisdom, and even a philosophy of life that is useful for shaping humans and their humanity. This paper is intended to show that in the form of typical dramaturgical architecture, this endless paradox becomes the aesthetic experience that Wisran Hadi offers to his audience through his drama works.*

Keywords: *aesthetics, paradox, Islam, Minangkabau, Wisran Hadi, dramaturgy*

Introduction

Wisran Hadi (1945-2011), is one of the leading playwrights in Indonesia. He is even considered one of the most dominant writers on the literary map in Indonesia in the era of 1980 to 2000.¹ This is understandable, considering that Wisran Hadi is a 15-time winner of the

* **PhD., Lecturer of Theatre Arts Department, Faculty of Performing Arts, Indonesia Institute of The Art at Padangpanjang.**

¹ Lastry Monika, "Posisi Dan Pencapaian Wisran Hadi Dalam Arena Sastra Indonesia (Position and Achievements of Wisran Hadi in the Indonesian Literature Arena)," *Medan Makna: Jurnal Ilmu Kebahasaan Dan Kesastraan* 19, no. 2 (2021): 137, <https://doi.org/10.26499/mm.v19i2.3513>.

Drama Writing Competition, the Jakarta Arts Council, one of the most prestigious events in drama text writing in Indonesia. He was awarded the Best Indonesian Writer (1991, 2000), South East Asia Write Award (2000), Republic of Indonesia Art Award (2003), Exemplary Writer and Cultural Award (1976, 2005), and the Indonesian Theater Federation Award (2010). Until now, the drama script he wrote is one of the most widely performed drama scripts by Indonesian writers, especially by campus theaters.

Because of his position, Wisran Hadi also received a lot of attention in the world of literary studies. The study of his work spans aspects of intertextuality, sociology, elements of cultural anthropology, linguistic elements, to historical elements. Wisran Hadi is seen as one of the playwrights with the intertextuality method, two where the primary approach he uses is demystification.² With intertextuality, Wisran Hadi reworked various texts into drama texts, including literary texts and Minangkabau oral traditions, as well as historical texts. In this way, he indirectly demystifies, that is, strips away the mythical nature of various texts to make them more useful as lessons for today's audience and readers.

Unfortunately, not many articles have been written about dramaturgy and the aesthetic concept behind Wisran Hadi's drama works. Considering that fact, this article is an attempt to examine Wisran Hadi as *homo narans*, creatures who communicate through stories, in this case in the form of drama, as a way to build their socio-cultural world and, at the same time, create meaning of that world. Departing from this concept, Wisran Hadi can be seen as an example of *homo narans par excellence*, who cannot only tell his views on life in the form of drama, but also can create an 'enchanted' style in his texts. the drama script, even in its performance. The primary fascination technique in the drama texts is rhetoric, namely puns, which shows the height of language and the superiority of culture. Meanwhile, when staged, the drama works manifest in the form of 'visual games,'³ which a prominent Indonesian dramaturg and scenographer, Roedjito, calls "painting on the stage."⁴

This, the relationship between form and content of a play, and a way of putting the two together as a coherent structure, is understood in the

² Umar Junus, *Mitos Dan Komunikasi* (Jakarta: Sinar Harapan, 1981).

³ Sahrul Nazar, "Pamenan as an Aesthetic Concept of Creating a Wayang Padang Theatre," *Dance & Theatre Review* 1, no. 1 (2018): 22–35, <https://doi.org/10.24821/dtr.vii1.2248>.

⁴ Dede Pramayoza, *Melukis Di Atas Pentas: Selisik Penyutradaraan Teater Wisran Hadi* (Yogyakarta: Penerbit Deepublish, 2020).

aesthetic experience of drama and theatre as dramaturgy.⁵ Furthermore, the discussion about dramaturgy contains two things at once, namely the internal structure of the play text, as well as the composition of various external components in the performance, including the concept of staging, its political value, and a study of the audience who is the target of the play text.⁶ Thus, a play text in the theater is understood as an aesthetic entity and as a vehicle for ideology. Based on this understanding, in this article, we will express various debates of thought through characters in the play text of Wisran Hadi, which is believed to harbor a distinctive view of Wisran Hadi, or – borrowing the term of Synne K. Behrndt – typical dramaturgical thinking of Wisran Hadi.⁷

Dramaturgical Material: Islamic Shari'a and Minangkabau Customs

Wisran Hadi's cultural views, reflected in the drama scripts he wrote and subsequently became the primary material for his dramaturgy, cannot be separated from his socio-cultural background and personal history of life. Wisran Hadi was born as the son of a scholar. His father, Haji Darwis Idris (HaDI), from whom he got the surname Hadi, was a commentator and was the high priest at the Muhammadiyah Mosque in Padang City, West Sumatra. Wisran Hadi himself was initially directed by his father to take an education that could lead him to become a religious teacher. Following his father's advice, Wisran Hadi completed his high school education at PGA (Religious Teacher Education).

But then his life took a turn when he finally decided to continue his education at ASRI (Indonesian Fine Arts Academy) in Yogyakarta. At this art college, he met many people who later became his partners and rivals in the theater world in Indonesia. One of them is Putu Wijaya. Returning to West Sumatra after completing his studies at ASRI, Wisran Hadi taught at the SMSR (Secondary School of Fine Arts) in Padang. In this place, the seeds of his love for the world of art at large and finally for theater and drama began to grow. In his journey, the values of liberal arts and modernity, and Islamic values started to dialogue in his mind, which was reflected in his works.

The dialogue is complete when he later becomes the husband of Puti Reno Raudah Thaib, who is Puti (Princess) from Linduang Bulan Palace,

⁵ Cathy Turner and Synne K Behrndt, *Dramaturgy and Performance* (New York: Palgrave Macmillan, 2008), 25.

⁶ Mary Luckhurst, *Dramaturgy: A Revolution In Theatre* (New York: Cambridge University Press, 2005), 10-11.

⁷ Synne K. Behrndt, "Dance, Dramaturgy and Dramaturgical Thinking," *Contemporary Theatre Review* 20, no. 2 (2010): 185–96, <https://doi.org/10.1080/10486801003682393>.

Pagaruyung, in Tanah Datar Regency. Linduang Bulan Palace itself is seen as a symbol of the inheritors of Minangkabau customs. Although juridically-formally, people understand that the heirs of the Linduang Bulan Palace, Pagaruyung, are not rulers both administratively and culturally, various values and cultural heritage of Minangkabau customs are believed to be well preserved because of the participation of the Linduang Bulan Palace family, Pagaruyung as heir and final guardian.

These two family bases, which were united by marriage between Wisran Hadi and Puti Reno Raudha Thaib, later became a factor that cannot be underestimated in viewing Wisran Hadi's creative process. Through the union, Wisran Hadi had access to explore various intricacies of the family and the rules in the Pagaruyung kingdom, which is one of the crucial references for understanding Minangkabau customs broadly. Meanwhile, from his father's education and his formal education, Wisran Hadi also has sufficient insight to understand Islam and its complicated relationship with Minangkabau customs. Finally, we can say that one of the cultural capitals of Wisran Hadi is his position as: "Son of a *Buya*, Husband of a *Puti*," as also expressed by other writers.⁸

Wisran Hadi was not only born and raised but also spent his age and even breathed his last in Padang, West Sumatra, one of the provinces on the island of Sumatra, Indonesia. West Sumatra is a province with a majority ethnic Minangkabau population. West Sumatra attracts the attention of many foreign researchers, who are often referred to as Indonesianists because of some of their uniqueness. The main factor is that this ethnic group gave birth to many intellectuals during the struggle for Indonesian independence. In contrast, other ethnic groups besides Javanese did not produce many scholars, and therefore played an essential role in the fight for independence. In addition, the Minangkabau ethnic group applies matrilineal culture in its customs and at the same time, paradoxically applies *syara'* or Islamic religious teachings that tend to be patrilineal.⁹

Realizing that he lives in an ethnic society with a distinctive character, Wisran Hadi builds his artistic tradition by combining the richness of traditional literature and oral traditions with modern literary and drama

⁸ Dedi Arsa, "Representasi Atas Padri & Suara-Suara Muslim Moderat: Telaah Atas Empat Naskah Sandiwara (Representation of The Padri & Moderate Muslim Voices : A Study of Four Plays)," *Jentera: Jurnal Kajian Sastrra* 10, no. 1 (2021): 73–93, <https://doi.org/10.26499/jentera.v10i1.2613>.

⁹ Jeffrey Hadler, *Sengketa Tiada Putus: Matriarkat, Reformisme Agama, Dan Kolonialisme Di Minangkabau* (Jakarta: Freedom Institute, 2010); Tsuyoshi Kato, *Adat Minangkabau Dan Merantau; Dalam Perspektif Sejarah.*, ed. Terj., Gusti Asnan, and Akiko Iwata (Jakarta: Balai Pustaka, 2005).

tools so that his works can be viewed as hybrid works created by eclectic method.¹⁰ He said such things himself when he exposed the concept of dramaturgy. For Wisran Hadi, a theater tradition must be built on awareness of the audience, history, and theater traditions in the area concerned. Departing from that, he straightforwardly said that the form of theater he developed was a combination of the conditions in the *randai* (Traditional Minangkabau Theatre) with modern theater meanwhile traditional Minangkabau stories (commonly referred to as *Kaba*), he added elements of logic into it.¹¹ The spectator community, who has the *randai* and *kaba*, is none other than the Minangkabau ethnic community, who simultaneously apply their customary matrilineal system, with patriarchal Islamic teachings.¹²

Upon closer inspection, the differences between these two value systems become even more apparent. The first thing is about the source of knowledge. Minangkabau adat tends to apply materialism and empiricism, which can be seen in several adages in adat. The most famous phrase and the title of the book written by A. A Navis, one of the leading Minangkabau culturalists, is studying nature, mentioned in the adage: “*Alam takambang jadi guru*” (nature expands make as a teacher).

In the adage, it is clear that for the Minangkabau people, the main source of truth that guides their life is the laws of nature, which of course have materialism and empiricism at the same time. Various value systems in Minangkabau customs are sourced from learning about the natural surroundings. For example, the Minangkabau people accept various changes in their lives because they believe that every era will bring about change. This is also reflected in their traditional adage which says: “*Sakali ayia gadang sekali tapian berubah*” (once a great stream, once the edges move).

While on the other hand, it is easily understood that Islamic Sharia, or in the language of the Minangkabau community is *Syara'* which tends to apply idealism, where the only source of truth is the Quran and Hadith. Although Islam also recognizes the existence of *Ijtima* or the decisions of the scholars, which can be taken through dialogue, basically the tendency of idealism or holding fast to lessons that come down from the sky is the main thing in taking knowledge and truth in Islam.

¹⁰ Pramayoza, *Melukis Di Atas Pentas: Selisik Penyutradaraan Teater Wisran Hadi*.

¹¹ Wisran Hadi, “Sebuah Konsep Kerja Teater: Dari Apa Yang Telah Ada,” in *Pertemuan Teater 80*, ed. Wahyu Sihombing, Slamet Sukirnantono, and Ikraneegara (Jakarta: Dewan Kesenian Jakarta, 1980), 125–29.

¹² Sidik Tono et al., “The Harmonious Relationship between Minangkabau Custom and Islam in the Distribution of Inheritance,” *Al-Shajarah* 2019, no. Special Issue Sharia and Law (2019): 39–55.

The logical consequence of these two ways of thinking will also show the contrasting differences between the two in terms of seeing the human position. Departing from its materialism, Minangkabau customs say that all people stand equal before history, which is reflected in their proverbs: “*Duduk samo randah tagak samo tinggi*” (Sit the same low, stand the same height), which means that all humans can stand on equal footing, equally and with the same taste. Meanwhile, Islam, although it does not introduce a hierarchical system, basically puts humans in a hierarchy based on, at least, their closeness to the Highest Essence, namely the Great Creator, Allah.

The egalitarian nature of Minangkabau customs then encourages a government system that tends to be more democratic, which is directly proportional to the hierarchical nature taught by Islam, which then gives birth to a government that tends to be autocratic. This is also reflected in the implementation of legislation and government of the *Nagari* system, in which the *Wali Nagari* is democratically elected by the entire *Nagari* community, and between one *Nagari* and another are standing parallel, and can form a system known as *Luhak*, which is a form of a federation of *Nagari*. that. Their union is mainly on defense and security alone, while the day-to-day running of the *nagari* is left to the style and agreement of each. This is of course different from how Islam teaches about the caliphate, where there is a leader who is the center of the state leadership called the caliph, which is later misinterpreted as a form of the sultanate in history of Islamic civilization.

Based on this, it is very clear that between Minangkabau customs and Islamic law there are so many differences based on the epistemology of each of these philosophical systems. While Minangkabau’s traditional philosophy comes from learning about nature which is very materialistic, philosophy in Islam comes from teachings sourced from the Qur’an and Hadith, which are idealistic. Therefore, it is pretty natural that researchers have seen the Minangkabau people live in various dichotomies and ‘eternal paradoxes’ throughout its history.

Why not, the main paradigm used in the process of self-identification and the world by the Minangkabau people is the *adat* (customs) that they imagine persisting, across generations, as expressed in the adage: “*Adat nan indak lakang dek paneh, indak lapuak dek hujan.*” (A custom that doesn’t fade because of the heat, doesn’t rot because of the rain). However, in practice today, Minangkabau *adat* is interpreted as a result of synthesis with and *syara’* (Islamic teachings). It is understood as inseparable from one another, as seen in the discourse. “*Adat Basandi Syara’, Syara’*

Basandi Kitabullah” (Customs based on Islamic teachings, Islamic teachings based on the Qur’an).¹³

The main source and at the same time, the main medium of the endless encounter and dialogue between these two value systems is the Padri War (1803-1838), which started as a ‘civil war’ between the adat and the clergy, known as the Padri, and later turned into an anti-colonial war when the two camps united to fight Dutch. Dutch colonial researchers themselves saw that social jealousy was the trigger for this conflict, in which the *Ulama* (religious leader), who were also teachers, slowly became an important social class in Minangkabau society, competing with the *Penghulu* (traditional leader). The latter were culturally an important social class before. Meanwhile, contemporary researchers from outside tend to see that economic factors, in which there is a conflict of interest between 3 parties, namely the Padri, the *Penghulu*, and the Colonial, are the driving factors for this war.¹⁴

Despite these various versions, the Padri war was the beginning of a central paradox in the life of the Minangkabau people, which one expert later called an ‘endless dispute.’ The peace between the adat community and the religious community confirms (again) what is known as the “Bukik Marapalam Charter,” which is an agreement to carry out both customs and Islam simultaneously. Both, as has been shown, contain contradictory ideas. The result is an ambivalence towards the two paths of their cultural heritage, which is summarized in a formula that is seen as a golden rule, namely the Bukik Marapalam Charter, in which adat and religious people make a peace agreement, which is then enshrined in the statement: “*Adat Basandi Syara’, Syara’ Basandi Kitabullah*” (Customs based on Islamic teachings, Islamic teachings based on the Qur’an).

As a further result, the researchers saw that psychologically the Minangkabau people seemed to be plagued by the masochism syndrome, namely feeling pleasure by hurting themselves. The reason is that there are not many ethnic groups that are ambivalent and masochistic like this towards their ethnic group or hometown.¹⁵ This ambivalent attitude has an impact on various sectors of their lives. Migrants, for example, who are

¹³ Dede Pramayoza, *Dramaturgi Sandiwara: Potret Teater Populer Dalam Masyarakat Poskolonial* (Yogyakarta: Penerbit Ombak, 2013), 60-61.

¹⁴ Christine Dobbin, *Gejolak Ekonomi Kebangkitan Islam Dan Gerakan Padri: Minangkabau 1784-1847 (Islamic Revivalism in a Changing Peasant Economy, Central Sumatra 1784-1847)* (Jakarta: Komunitas Bambu, 2008).

¹⁵ Rika Valentina Tengku and Roni Ekha Putera, “Posisi Perempuan Etnis Minangkabau Dalam Dunia Patriarki Di Sumatera Barat Dalam Perspektif Agama, Keluarga Dan Budaya (The Position of Ethnic Minangkabau Women in the Patriarchal World in West Sumatra in the Perspective of Religion, Family and Culture),” *Demokrasi* VI, no. 2 (2007): 1-19.

seen as one of the good consequences of matrilineal culture in Minangkabau, want to bring new things to their hometown, but at the same time, like the adat in the village to persist.¹⁶

Dramaturgical Architecture: The *Padri* and The *Penghulu* in Drama

Aesthetic concept behind a drama work can be understood through the architecture of the drama itself, namely the characters, plots, and themes that are raised and stored behind the genre and style of the drama work itself. When dealing with a drama text, one is faced with several elements that build drama, which can be used to investigate further the views and concepts promoted by the playwright. Based on that theory, Wisran Hadi's drama scripts can also be used to review dramaturgy and, finally its aesthetic vision, taking into account the characters, plots, and themes of the drama scripts he wrote.

Wisran Hadi chose four characters in the history of the Padri war, each of which he put in a text as the main character or central character. He described four Padri figures in four play scripts compiled in the book *Empat Episode Perang Padri (Four Padri War Plays)* (2002). They were Tuanku Koto Tuo in *Perguruan (The College)*; Tuanku Nan Renceh in *Perburuan (The Hunt)*; Tuanku Imam Bonjol in *Pengakuan (The Confession)*; and Sultan Abdul Jalil in *Penyeberangan (The Crossing)*.¹⁷ The four characters are four figures originating from the history of the Padri War in West Sumatra, from which the endless dialogue between Islamic *syara'* and Minangkabau customs began. Thus, from the selection of characters who are then processed into characters in the text of his drama, it appears that Wisran Hadi is directly targeting the epicenter of the thought debate that has built the present structure of Minangkabau culture itself, namely a long dynamic and at the same time an endless negotiation between the two value systems. in the culture of the Minangkabau ethnic community.

Although Wisran Hadi presents the four characters as protagonists or central characters who are the center of storytelling in his texts, Wisran Hadi does not place them as protagonists, as tragedy and realism put them. This means, even though at first glance it appears that these characters are similar to Aristotle's tragedy commonly referred to as a 'tragic hero', the way Wisran Hadi tells the characters is not like the 'tragic

¹⁶ Abdullah Taufik, "Studi Tentang Minangkabau," in *Dialektika Minangkabau; Dalam Kemelut Sosial Dan Politik*, ed. A.A. Navis (Padang: Genta Singgalang Press, 1983), 155–69.

¹⁷ Hadi Wisran, *Empat Lakon Perang Paderi* (Bandung: Angkasa, 2002).

rhythm' tell the characters. The reason is that not all events in the text are centered on the thoughts and feelings of the main character or protagonist.

In *Perguruan (The College)*, for example, where Tuanku Koto Tuo is the protagonist, readers and viewers will find a character who, although he looks 'manly' and very human, is filled with love and anger that makes him hesitate to take a stand. towards his students, himself but the plot does not completely flow based on the thoughts and feelings of my Lord Koto Tuo alone. *Perguruan (The College)* also includes comments from the students as well as from other followers of Tuanku Koto Tuo. At first glance, the way that Wisran Hadi presents his comments on Tuanku Koto Tuo through dialogue from the students and followers is similar to the way that Bertholt Brecht hoped to create an Epic character, namely a character who is not dealing with psychological developments or the development of his own destiny, but a character who is dealing alone with history.

The mode of characterization of the main character is also very thick in the script of *Pengakuan (The Confession)* where Tuanku Imam Bonjol, one who was appointed a National Hero of the Republic of Indonesia, becomes the central character or protagonist. In the text, Wisran Hadi even shows that the decisions taken by the character are mostly based on debates and comments from his followers in Bonjol, as well as people who came to ask for his help at Fort Bonjol, instead of showing psychological developments, or the development of the soul in search of answers, as in an Aristotelian tragedy. In *Pengakuan (The Confession)*, Wisran Hadi shows that a historical figure, a hero like Tuanku Imam Bonjol, can be in a situation of hesitation not because he follows what he thinks and feels himself, but because he tries to puts himself as a public figure, where the complaints and pains of the people are the source of the political decisions he takes, which are not always correct.

These two figures, Tuanku Koto Tuo and Tuanku Imam Bonjol, have very different positions in Indonesia's formal history. While Tuanku Imam Bonjol became one of the national heroes of the Republic of Indonesia, and considered as the leader of the Padri War, Tuanku Koto Tuo, who was actually Tuanku Imam Bonjol's teacher, was someone who was rarely talked about if not at all. In this regard, Wisran Hadi expresses his concept, that for him the task of literature is to point out things that are weaknesses in terms of historical writing.

For Wisran Hadi, the figures who later became national heroes in this Republic were those who were actually conquered or captured by the Dutch colonials. Based on that, according to Wisran Hadi, the characterization of several people in history is an indirect form of hegemony from the Dutch colonial to the indigenous Indonesian people. And unfortunately, this method was continued by the newly established

government, the Republic of Indonesia. Therefore, according to Wisran Hadi, that is where the main task of literature is, to show the other side of the history of a nation.¹⁸

Furthermore, Wisran Hadi shows by his characterization in his play, that all historical figures are basically ordinary people. They can be in doubt, and not always have certainty and firmness in deciding various things which are later recorded as history or considered as important moments in history. In *Perguruan (The College)*, Wisran Hadi shows how hesitant Tuanku Koto Tuo, when he has to choose between the hard-line Islam brought by his students, including Tuanku Nan Renceh, and the other side, traditional Islam which tends to be more lenient and accommodating, which He has developed over the years. Tuanku Koto Tuo (in the play referred as GURU) is also hesitant to support his followers taking up arms against people who are considered to be carrying out heresy or customs outside of religious teachings, namely the *adat*, or should instead fight them, because the heretics are their own relatives, while the Padri are the ones to blame for the death of his wife and two children.

GURU:

Which one should we choose? And we definitely won't choose one. Because we cannot combine these two tools. I've always said, stand up for the truth. Straighten up. It should. But don't let the truth be a tool to separate us. What's the truth about fighting for? To destroy life? No, isn't it? If you knew how my heart broke because of my wife and two children being killed, maybe you wouldn't be as hard at pushing me to choose. For others, it may be what causes him to become wild, or vicious, or seek revenge. But for me, it's the wound that matters. I don't hate those of you who uphold the truth, I don't hate those in power. Both are presented to us, for comparison...¹⁹

This technique of characterizing the characters in the text of the play then influences the plot or storyline written by Wisran Hadi in his play scripts. In *Perguruan (The College)*, the story is not bound to a 24-hour period as suggested by the realism convention in theater but takes place over a relatively long period of time, a matter of weeks, months, and even years. Because of that, the technique of staging or the unity of events in

¹⁸ Hadi Wisran, *Anak Dipangku Kemenakan Di BIM: Sagarobak Tulak Buah Tangan*, ed. Darman Moenir (Padang: Lembaga Kebudayaan Ranah, 2013).

¹⁹ Hadi, *Empat Lakon Perang Paderi*, 84.

Wisran Hadi's script cannot be seen as a linear plot but rather a storytelling pattern that resembles an epic, in which events take place in diachronic time and sometimes simultaneously.

What readers and spectators can catch from the story is a 'rhetorical rhythm' in which the debates escalate. There is a debate between the thought of purification of *syara'* brought by those who had just studied in Mecca and brought Wahhabi teachings to Minangkabau, and the traditional view, which wanted to maintain traditional habits through the legitimacy of Minangkabau customs. Likewise, in *Pengakuan (The Confession)*, event after event focuses on one debated idea, should Bonjol give up the peace and prosperity they have achieved to join the war to defend the Padri and defend the *syara'*; or they must maintain peace, prosperity and tranquility in their own country, where *adat* and *syara'* are carried out side by side.

Judging from his play scripts' characterization techniques and plot construction techniques, Wisran Hadi does not seem close to Greek tragedy or realism in the West. A general theme emerges from the play texts, which is about humanity because all the play texts are centered on a complete picture of the characters in history as human beings who are filled with doubt, love, and hatred, which makes it difficult to decide and overwhelmed with anger and feelings of fear of loss and so on. Thus, thematically it can be said that the play script contains about humans and their humanity as the adage often said by Wisran Hadi about the purpose of theater and writing drama, namely "humanizing humans," which means putting humans back in their nature as humans, beings who are always in a liminal situation, always in a situation of conflict and crisis, where they must always choose and their choices are not always right.

In *Perburuan (The Hunt)*, Wisran Hadi presents a loud dialogue, how *syara'* which shakes customs, can become a blanket from greed and lust. In a conversation, Tuanku Koto Tuo (Teacher), who in the play is named as LELAKI II, argues loudly with Tuanku Nan Renceh (Student), who in the play is named PEMUDA I. LELAKI II comes to confirm the news that PEMUDA I has kills his mother's sister, because he thinks she is committing heresy, by continuing the tradition or custom. But then news spread that PEMUDA I married the son of his mother's sister, who, in the view of matrilineal Minangkabau customs, could not be married because they were brothers and sisters. PEMUDA I accused LELAKI II of having been caught in rumors or hoaxes. According to him, what is more important is the purification of *syara'*. On that basis he burned the college of Tuanku Koto Tuo, even though it was the place where he had studied.

However, Wisran Hadi still managed to show in *Perburuan (The Hunt)*, that PEMUDA I (Tuanku Nan Renceh) was still an ordinary human

being. The figure who by the Dutch historian is considered the most fierce and courageous character, is that humans still have doubts in their attitudes, even tend to regret what they have done. PEMUDA I (Tuanku Nan Renceh) clearly saw that his attitude was an attitude that emerged from a blurred view, in meetings, clashes, as well as the struggle between Islamic *syara'* and Minangkabau customs.

PEMUDA I:
Dear Allah...
My teacher, teacher.
My eyes light up because of your knowledge
Calm my mind in your faith
But in the confluence of two circles
Between religion and customs
Between belief and trust
Thousands of bats marched to the South
Blackened vision and life...²⁰

Wisran Hadi presents Tuanku Imam Bonjol in the third play, *Pengakuan (The Confession)*. The play was filled with debate between two parties, the *adat* party, and the *padri* party. At the end of the story, Tuanku Imam Bonjol, the hero in the version of national history, which departs from colonial records, is manifested by Wisran Hadi as a tragic hero, the defeated, unable to withstand the burden of the division of his people, where the *adat* party and the *padri* party continue to fight. He, refuses to be called by the name “*Imam*,” (leader) because he feels like a failure. At the end of the play, Wisran Hadi describes Tuanku Imam Bonjol (who in the text is called TOKOH I) leaving his people, which of course is easy to relate to the incident of the capture of Tuanku Imam Bonjol by the Dutch Colonial in history. A figure who in history is called a hero, was embodied by Wisran Hadi as an ordinary human being, who also has limits. A boundary that arises from the fight, which always asks him to choose between *syara'* and *adat*.

TOKOH I:
Don't call me by that big name, while I can't prevent the
division between us. Gentlemen, building and maintaining
Bonjol is not difficult. But maintaining unity, I was hurt by it.

...

²⁰ Hadi, *Empat Lakon Perang Paderi.*, 152.

That big name has magnified my failure. Peto Syarif, my name is, just call it. Hmm...! Imam Bonjol. The man who failed across the equator.²¹

The dialogue between Minangkabau customs and Islam as a source of searching for the meaning of life appears more clearly in the last play text, namely *Penyeberangan (The Crossing)*, where Sultan Abdul Jalil is the protagonist. In the play, Wisran Hadi creates two characters who are brothers, but stand on opposite sides. DEMANG, who is supposed to be the personification of Sutan Alam Bagagarsyah, the last king of Pagaruyung, is a representative of the traditional figure, who holds such a great grudge against the *Padri*, because of what *Padri* has done to the royal family, his people.

DEMANG:

Yes. The recent war has separated us and left us with choices. Since our *Rumah Gadang* was burned by the *Padri*, my grudge has never been extinguished. In various ways I tried to get revenge. Mr. Commander appointed me Demang, I accepted. Bearing the title *Sutan* which should be an heirloom title for you at the urging of the Commander, I also accept it. I was swept away by a grudge and no one caught up with me or freed me from the rising tide. And *Wan* himself, my brother, never rebuked me. As if holding a grudge against me because of the heirloom title that I took away. Since then we crossed paths.²²

While on the other hand, there is IMAM (Sultan Abdul Jalil), who tries to find a middle way, between the choice of supporting the *padri* with purification of *syara'* or defending his people, which means the royal family and their *adat*. IMAM, in his hesitation chose the third path, which means not choosing both. He left both sides, isolated himself, tried to build a new civilization, which reconciled *adat* and *syara'*. A choice that at that time might have been wise, but it would become the source of the 'eternal paradox' of the Minangkabau ethnic community in West Sumatra.

IMAM:

Religion is more reassuring to my soul, *Yung*. If *Padri* burns our house, it's not religion to me that burns it. But people who take cover behind religious struggles to vent the jealousy of history on us. I don't side with them, but I have to

²¹ Hadi, *Empat Lakon Perang Paderi*, 251

²² Hadi, *Empat Lakon Perang Paderi*, 319

defend my religion. Should! Without religion this country will be swept away by Batang Karan river to estuary, to the sea, until we are no longer in the record of this life.²³

While in these four plays Wisran Hadi criticizes the 'eternal paradox' through the *padri* figures, which means from the *syara*' side, He also criticizes Minangkabau *adat* in a fairly harsh way, in the form of plays that depart from oral historical stories about the establishment of Minangkabau customs as a source of value systems. This can be seen in at least two plays in a collection of play texts entitled *Empat Sandiwara Orang Melayu (Four Plays of the Malays)* (2020), in the play entitled *Dara Jingga* and *Cinduo Mato*. In *Dara Jingga*, Wisran Hadi raised one of the stories that historically referred to as the impact of the Pamalayu Expedition, by presenting two figures who are seen as the founders of Minangkabau customs, namely Datuak Perpatiah (in the play PERPATIH) and Datuak Katumanggungan (in the play TUMANGGUNG).

TUMANGGUNG:

In the end, things got messy and upside down! Religion, ordinances, customs, even history will be shaken.

PERPATIH:

It is precisely by overturning something that we find everything. The obscured and the obscured can be easily distinguished.

TUMANGGUNG:

The truth that is found is also the overturned truth.

PERPATIH :

The true truth, everyone understands.²⁴

Meanwhile, in *Cinduo Mato*, which depicts one of the greatest epics in the oral tradition of the Minangkabau people, Wisran Hadi presents unexpected intrigues behind the founding of the Pagaruyung kingdom, which is believed to be a symbol of Minangkabau customs. The figures that are glorified in mythology are embodied by Wisran Hadi as characters full of cunning, hatred and at the same time doubts and fears.

²³ Hadi, *Empat Lakon Perang Paderi*, 319

²⁴ Hadi Wisran, *Empat Sandiwara Orang Melayu* (Bandung: Angkasa, 2000), 130.

CINDUO MATO:

No one has been able to name this baby. And no one he would call father! Oh, Puti Bungsu. You sent this innocent baby without your love for him. Are you willing to part with your own child rather than you being separated from my brother Dang Tuanku.

...
Why are you running away with a king who is afraid to die! A king who dares not look at today's reality! Youngest Puti. Give affection, love and surrender to your child, not for a man who is afraid to see his reality.²⁵

Similar to the four characters in the Padri war, the characters in *Dara Jingga* and *Cinduo Mato*, are characters from the *kaba* and oral history are presented as humans, not flawless heroes. They hesitate in choosing, take a stance in the dark, and are therefore tragic, because the choice is irreversible, as are the consequences. One of the implicit consequences, is that in the development of customs, religion, and even the history of the Minangkabau ethnicity itself is equally shaky, and as a result always have a fear of seeing oneself in the face of today's reality.

Wisran Hadi's Dramaturgy: The Eternal Paradox as Aesthetics Source

However, it would be a bit too hasty, if we conclude that Wisran Hadi's style of drama, which is seen from the way he builds characters, constructs the plot, and the themes he chooses is close to the way of storytelling or style of Bertolt Brecht's epic theater. Because this kind of storytelling is embedded in the oral literature of the Minangkabau community itself, called *kaba*. The way of telling stories from the *kaba* also seems to be centered on a character, so usually, the stories are titled with the name of the character, but tell other things outside the character itself, also tell other characters in detail and proportional. So characters who seem to be the center of the story are often just a way to trigger a story where other characters are also brought up with their thoughts and feelings.

Of course, this also affects the plot of *kaba*, which, like an epic, the story moves from place to time so easily. A *kaba* narrator is very good at transferring the events in his story to a different time and place as if to say that what they are conveying is mere *kaba*, is a game. So that the main impression of the *kaba*, is a game of logic or just a tool to convey something much bigger than the *kaba* itself, namely lessons about life, and lessons about being human. That lesson, according to Umar Junus, was

²⁵ Hadi, *Empat Sandiwara Orang Melayu.*, 314.

obtained through the *kaba* because of criticism of the Minangkabau social system itself.²⁶

This understanding is important to explore Wisran Hadi's drama in terms of play genre, namely the main effect it has on the audience. Wisman Hadi's dramas do not aim to create a sense of 'fear and pity' like tragedy or cure 'anger and envy' like comedy. Wisran Hadi's plays are more accurately seen as a parody, a way of creating critical power for the audience, by comparing two texts that look similar, but are also different at the same time, whereas the second text, the play, is a form of ridicule and scorn for the first text, whether it be an oral tradition or even historical text.²⁷

Some authors have indicated this parody in the works of Wisran Hadi,²⁸ but it is still missed to see that parody is an important strategy in postcolonial drama, which aims to raise awareness about the history, as well as dismantle colonial hegemony and its legacies.²⁹ Furthermore, by developing parody as his drama genre, Wisran Hadi presents a juxtaposition to the audience and readers, which is closely related to the fact that throughout its history, researchers have seen Minangkabau society live in various dichotomies and 'eternal paradoxes'. Not only between *syara*' and *adat*, but also between modernism and traditionalism.

But in that way, Wisran Hadi recommends an aesthetic concept, namely "Aesthetics that comes from Truth." Both Islamic teachings, as well as Minangkabau culture, are always looking for sources of philosophy of beauty by various thinkers. However, Wisran Hadi shows well that the beauty in *syara*' is the beauty of the *akliah* (mind), displayed by works of art that can stimulate the mind and reflection to seek the truth. Meanwhile, in terms of customs, Wisran Hadi shows the importance of language for the Minangkabau community, which comes from a philosophical value described in the Minangkabau adage, "*Nan kuriak kundi, nan merah sago. Nan baiak budi, nan endah bahaso.*" (the striated ones are seeds, the red ones are saga, the good ones are wisdom, the

²⁶ Umar Junus, *Kaba Dan Sistem Sosial Minangkabau: Suatu Problema Sosiologi Sastra* (Jakarta: Balai Pustaka, 1984).

²⁷ Linda Hutcheon, *A Theory of Parody* (New York: Methuen, Inc., 1985).

²⁸ Rusyda Ulva, "Dara Jingga, Wisran Hadi: Parodi Terhadap Kekuasaan (Dara Jingga, Wisran Hadi: A Power Parody)," *Salingka: Majalah Ilmiah Bahasa Dan Sastra* 12, no. 1 (2015): 51–63, <https://doi.org/10.26499/salingka.v12i01.33>; Syafril, "Idiom-Idiom Estetik Pastiche, Parodi, Kitsch, Camp, Dan Skizofrenia Dalam Karya Teater Postmodern Indonesia Jalan Lurus (Aesthetic Idioms of Pastiche, Parody, Kitsch, Camp, and Schizophrenia in Indonesian Postmodern Theater Works, Jalan Lurus)," *Komposisi: Jurnal Pendidikan Bahasa, Sastra, Dan Seni* 9, no. 2 (2008): 132–42, <https://doi.org/10.24036/komposisi.v9i2.97>.

²⁹ Helen Gilbert and Joanne Tomkins, *Postcolonial Drama: Theory, Practice, Politics* (New York: Routledge, 2006).

beautiful ones are language). Through his scripts, Wisran shows that adage is not just an abstract concept, but can be operated in practice.³⁰

For Wisran Hadi Himself, Islam and Minangkabau customs are something that must be addressed differently. Regarding Minangkabau customs, Wisran Hadi recommends the use of *raso* (filling) rather than *pareso* (thinking) in addressing and interpreting customs. He invites people to temporarily leave rationality, which is learned from Western philosophy, and replace it with 'love.'³¹ As for Islamic *syara'*, Wisran sees it as a guide for *akhlaq* (morality), in terms of living life as a human being, and in becoming a human being.³²

Keindahan bahasa dan pencarian akan kebenaran itulah yang oleh Wisran Hadi diwujudkan dalam permainan kata dan dalam pertunjukan berubah menjadi permainan benda-benda. Sesuatu yang bersumber dari penggaliannya atas *randai*, teater tradisional masyarakat Minangkabau yang memiliki fungsi pendidikan simbolis dalam mempersiapkan orang-orang muda Minangkabau pergi merantau. Fungsi tersebut ditunjukkan oleh *silek* dan *mancak* (seni bela diri lokal) yang merupakan prototipe *randai*, dan *buah kato* (kata-kata). Permainan *randai* adalah wahana untuk berlatih mempertahankan diri, baik dengan tubuh maupun kata-kata. Di dalamnya ada pendidikan karakter dalam bentuk aforisme tentang paradoks abadi, yakni mempraktikkan Islam dengan baik, dan memenuhi kewajiban filial, terutama pada ibu, sebagai bagian dari matrilineal Minangkabau. Justru dengan cara ini, *randai* dan merantau secara tradisional saling memperkuat tempat masing-masing dalam masyarakat Minangkabau.

The beauty of language and the search for truth is what Wisran Hadi embodies in word games and performance, it turns into a game of objects. Something that stems from his excavations of the *randai*, the traditional theater of the Minangkabau community for preparing young people to *merantau* (wander). This function is demonstrated by *silek* (local martial arts) which are the prototypes of *randai*, and *kato* (words). *Randai* is a vehicle for practicing self-defense, both with body and words. In it, there is character education in the form of aphorisms about the eternal paradox, namely practicing Islam well, and fulfilling filial obligations, especially to mothers, as part of the Minangkabau matrilineal. Precisely in this way,

³⁰ Dede Pramayoza, *Melukis Di Atas Pentas: Selisik Penyutradaraan Teater Wisran Hadi* (Yogyakarta: Penerbit Deepublish, 2020), 218.

³¹ Hadi, *Anak Dipangku Kemenakan Di BIM: Sagarobak Tulak Buah Tangan..*, 11.

³² Hadi, *Anak Dipangku Kemenakan Di BIM: Sagarobak Tulak Buah Tangan..*,

randai and *merantau* traditionally reinforce each other's place in Minangkabau society³³

By floating the eternal paradox as an aesthetic source, Wisran Hadi writes historical figures as a new form of historicization, which is also a form of 'resistance' against the authoritarian rule of the New Order-Soeharto in Indonesia, which indirectly is a way of opening the faucets of democracy.³⁴ With an aesthetic that stems from that timeless paradox, Wisran Hadi's involvement in the Indonesian theater scene is part of the decentralization movement, a way to fight the patriarchal power (especially synonymous with Javanese culture) that is ruling the country under Suharto's leadership, which in many ways resembles with Dutch colonialism.³⁵

In short, the aesthetic of the eternal paradox in Wisran Hadi's dramaturgy shows the uniqueness of Minangkabau society, where conflicts of thought are not only recognized but institutionalized within the social system itself. The eternal paradox aesthetic automatically affirms the fact that for the Minangkabau community, conflict is seen dialectically, as essential to achieving community integration.³⁶ Nowadays, the aesthetic of the eternal paradox needs to be offered more and more, as the conflict of ideas about Minangkabau local culture intensifies. This is because various traditions which of course become the main capital, are once again faced with those who want to purify the implementation of *syara'*, who tend to view various cultural or customary practices as a practice filled with *bid'ah* (not by religious teachings). Those with different opinions can learn from Wisran Hadi's eternal paradox aesthetic, where diametrical differences become a 'dramaturgical material', a treasure trove of ideas that became the source of the creation of his plays.

Conclusion

Instead of seeing the antagonistic difference between Islamic *syara'* values and Minangkabau *adat* values as a destructive force, Wisran Hadi instead shows in his drama texts that these two value systems are a major force in the search for meaning. The dialogue between the two is a source of wisdom and a source of ideas for progress for the Minangkabau community. Moreover, Wisran Hadi also points out that basically, it is through the endless dialogue between these two value systems that

³³ Craig Latrell, "Widening the Circle: The Refiguring of West Sumatran Randai," *Asian Theatre Journal* 16, no. 2 (1999): 248–59.

³⁴ Michael H Bodden, *Resistance on the National Stage: Modern Theatre and Politics in Late New Order Indonesia* (Athens: Ohio University Press, 2010), 18.

³⁵ Evan Darwin Winet, *Indonesian Postcolonial Theatre: Spectral Genealogies and Absent Faces* (New York: Palgrave Macmillan, 2010), 92.

³⁶ Abdullah, "Studi Tentang Minangkabau."

Minangkabau society will continually learn to adapt to the various advances presented by modernity, a postcolonial reality that will constantly have to be thought, explored, and examined by the Minangkabau community. In addition to adaptability, the dialogue between these two value systems is a trigger for the ability of appropriation, to absorb and then accept the various advances and sophistication offered by modernity, to adapt them to the daily realities of the Minangkabau people.

Based on all that, it can be seen that the experience of beauty that is offered in the dramas written by Wisran Hadi to the readers and the audience is an endless dialogical experience. An experience where they can see that the clashes, differences, and even struggles between the values of Islamic *syara'* and Minangkabau *adat*, which they live and feel every day, are one of the most valuable sources in their efforts to continuously renew their way of life or live, their *weltanschauung*. Throughout the drama scripts, he writes and throughout the theatrical performances he directs, Wisran Hadi encourages readers and audiences to always be in a situation as a subject who must constantly judge, not only good or bad but also appropriate and incompatible with various views that are born from the meeting. at the same time the struggle and negotiation between the two value systems, Islamic *syara'* on the one hand and Minangkabau *adat* on the other.

And because this dialogue will always exist in the life of the Minangkabau people in West Sumatra, as a dialogue that will never end, it can be said that Wisran Hadi through his drama scripts and performances, offers the audience a form of dramaturgy with the aim of the primary experience of the eternal paradox. An experience that presents a juxtaposition between two value systems that tend to be contradictory. Based on its epistemology, this form of dramaturgy can be called the Eternal Paradox Aesthetic. This aesthetic experience emerges from an endless paradox between two value systems, Islamic *syara'* and Minangkabau *adat*, which has brought the Minangkabau community in West Sumatra to the reality of their present.

References

Abdullah, Taufik, (1983), "Studi Tentang Minangkabau." In *Dialektika Minangkabau; Dalam Kemelut Sosial Dan Politik*, edited by A.A. Navis, 155–69. Padang: Genta Singgalang Press.

Arsa, Dedi, (2021), "Representasi Atas Padri & Suara-Suara Muslim Moderat: Telaah Atas Empat Naskah Sandiwara (Representation of The Padri & Moderate Muslim Voices : A Study of Four Plays)." *Jentera: Jurnal Kajian Sastrra* 10, no. 1: 73–93.

<https://doi.org/10.26499/jentera.v10i1.2613>.

Behrndt, Synne K., (2010), "Dance, Dramaturgy and Dramaturgical Thinking." *Contemporary Theatre Review* 20, no. 2: 185–96. <https://doi.org/10.1080/10486801003682393>.

Bodden, Michael H., (2010), *Resistance on the National Stage: Modern Theatre and Politics in Late New Order Indonesia*. Athens: Ohio University Press.

Dobbin, Christine, (2008), *Gejolak Ekonomi Kebangkitan Islam Dan Gerakan Padri: Minangkabau 1784-1847 (Islamic Revivalism in a Changing Peasant Economy, Central Sumatra 1784-1847)*. Jakarta: Komunitas Bambu.

Gilbert, Helen, and Joanne Tomkins, (2006), *Postcolonial Drama: Theory, Practice, Politics*. New York: Routledge.

Graves, Elizabeth E., (2007), *Asal-Usul Elite Minangkabau Modern: Respons Terhadap Kolonial Belanda Abad XIX/XX*. Jakarta: Yayasan Obor Indonesia.

Hadi, Wisran, *Anak Dipangku Kemenakan Di BIM: Sagarobak Tulak Buah Tangan*. Edited by Darman Moenir. Padang: Lembaga Kebudayaan Ranah, 2013.

———. *Empat Lakon Perang Paderi*. Bandung: Angkasa, 2002.

———. *Empat Sandiwarra Orang Melayu*. Bandung: Angkasa, 2000.

———. "Sebuah Konsep Kerja Teater: Dari Apa Yang Telah Ada." In *Pertemuan Teater 80*, edited by Wahyu Sihombing, Slamet Sukirnantono, and Ikranegara, 125–29. Jakarta: Dewan Kesenian Jakarta, 1980.

Hadler, Jeffrey, (2010), *Sengketa Tiada Putus: Matriarkat, Reformisme Agama, Dan Kolonialisme Di Minangkabau*. Jakarta: Freedom Institute.

Hidayat, Herry Nur, (2010), "Malin Kundang" Karya Wisran Hadi: Sebuah Perbandingan ('Malin Kundang' by Wisran Hadi: A Comparison)." *Jurnal Elektronik Wacana Etnik* 1, no. 1: 13–24. <https://doi.org/10.25077/we.v1.i1.2>.

Hutcheon, Linda, (1985), *A Theory of Parody*. New York: Methuen, Inc..

Junus, Umar, (1984), *Kaba Dan Sistem Sosial Minangkabau: Suatu Problema Sosiologi Sastra*. Jakarta: Balai Pustaka.

———. *Mitos Dan Komunikasi*. Jakarta: Sinar Harapan, 1981.

Kahin, Audrey. *Dari Pemberontakan Ke Integrasi; Sumatera Barat Dan Politik Indonesia 1926-1998. Edisi Kedua*. Jakarta: Yayasan Obor Indonesia, 2008.

Kato, Tsuyoshi, (2005), *Adat Minangkabau Dan Merantau; Dalam Perspektif Sejarah*. Edited by Terj., Gusti Asnan, and Akiko Iwata. Jakarta: Balai Pustaka.

Latrell, Craig, (1999), "Widening the Circle: The Refiguring of West

Sumatran Randai.” *Asian Theatre Journal* 16, no. 2: 248–59.

Luckhurst, Mary, (2005), *Dramaturgy: A Revolution In Theatre*. New York: Cambridge University Press.

Monika, Lastry, (2021), “Posisi Dan Pencapaian Wisran Hadi Dalam Arena Sastra Indonesia (Position and Achievements of Wisran Hadi in the Indonesian Literature Arena).” *Medan Makna: Jurnal Ilmu Kebahasaan Dan Kesastraan* 19, no. 2: 137. <https://doi.org/10.26499/mm.v19i2.3513>.

Navis, A.A., (1985), *Alam Berkembang Jadi Guru: Adat Dan Kebudayaan Minangkabau*. Jakarta: Grafiti Pers.

Nazar, Sahrul, (2018), “Pamenan as an Aesthetic Concept of Creating a Wayang Padang Theatre.” *Dance & Theatre Review* 1, no. 1: 22–35. <https://doi.org/10.24821/dtr.v1i1.2248>.

Pramayoza, Dede, (2013), *Dramaturgi Sandiwara: Potret Teater Populer Dalam Masyarakat Poskolonial*. Yogyakarta: Penerbit Ombak.

———. *Melukis Di Atas Pentas: Selisik Penyutradaraan Teater Wisran Hadi*. Yogyakarta: Penerbit Deepublish, 2020.

Schrieke, B.J.O., (1973), *Pergolakan Agama Di Sumatera Barat Sebuah Sumbangan Bibliografi*. Jakarta: Bhratara.

Syafril, “Idiom-Idiom Estetik Pastiche, Parodi, Kitsch, Camp, Dan Skizofrenia Dalam Karya Teater Postmodern Indonesia Jalan Lurus (Aesthetic Idioms of Pastiche, Parody, Kitsch, Camp, and Schizophrenia in Indonesian Postmodern Theater Works, Jalan Lurus).” *Komposisi: Jurnal Pendidikan Bahasa, Sastra, Dan Seni* 9, no. 2 (2008): 132–42. <https://doi.org/10.24036/komposisi.v9i2.97>.

Tono, Sidik, M. Roem Syibly, Amir Mu'allim, Ahmad Nurozi, and Muhammad Roy Purwanto, (2019), “The Harmonious Relationship between Minangkabau Custom and Islam in the Distribution of Inheritance.” *Al-Shajarah* 2019, no. Special Issue Sharia and Law: 39–55.

Turner, Cathy, and Synne K Behrndt, (2008), *Dramaturgy and Performance*. New York: Palgrave Macmillan.

Ulva, Rusyda, (2015), “Dara Jingga, Wisran Hadi: Parodi Terhadap Kekuasaan (Dara Jingga, Wisran Hadi: A Power Parody).” *Salingka: Majalah Ilmiah Bahasa Dan Sastra* 12, no. 1: 51–63. <https://doi.org/10.26499/salingka.v12i01.33>.

Valentina, Tengku Rika, and Roni Ekha Putera, (2007), “Posisi Perempuan Etnis Minangkabau Dalam Dunia Patriarki Di Sumatera Barat Dalam Perspektif Agama, Keluarga Dan Budaya (The Position of Ethnic Minangkabau Women in the Patriarchal World in West Sumatra in the Perspective of Religion, Family and Culture).” *Demokrasi* VI, no. 2: 1–19.

Winet, Evan Darwin, (2010), *Indonesian Postcolonial Theatre: Spectral Genealogies and Absent Faces*. New York: Palgrave Macmillan.

BUN'YABUSHI A LESS KNOWN FORM OF JAPANESE PUPPET ENTERTAINMENT AND ITS IMPLICATIONS FOR THEATE

Rosa Isabella Furnari*

mifuya1@hotmail.com

Abstract: *The bunraku, the Japanese puppet theater, is internationally known for the almost perfect movements of its puppets which are handled by three puppeteers at the same time. Furthermore, the bunraku has a very elegant and complex choreography. Numerous European and American authors have studied it; however, in Japan there is an ancestor of bunraku that is little known in the West but which is essential to examine in order to better understand the history of Japanese theater and its deep links with literary production. This research is about a particular type of ancient puppet theater, called bun'yabushi, which remained linked to peripheral local realities, far from the major cultural and political administrative centers. We have tried to understand the history, peculiarities and importance of bun'yabushi, also proposing a comparative analysis with what is known about jōruri.*

Keywords: *Japanese puppet theater, bunraku, bun'yabushi, jōruri, librettos.*

Introduction

The interpretative key of our investigation is placed in the context of the history of the theater which, together with poetry and prose, is a section of literature. It is believed that the theater has its own literary production since it is linked to representation, the fact remains that prose and theater decline something common in a different way, that is the human predilection in telling stories.

It was essential for our approach to carry out a field-research accompanying the analysis, interpretation, and possibly explanation of the data collected. For a field survey, the local *bun'ya ningyō jōruri* conservation associations have done their utmost to provide us with unpublished material that we have used for the development of our research. We considered it of utmost importance to carry out an investigation of the evolution and development of the *bun'yabushi* theater that exists among the various prefectures of Japan.

* PhD. student at the University of Trier, Germany.

Evolution and diffusion of *bun'yabushi* in Japan

The puppets of the *bunraku* are accompanied by a declamation called *gidayūbushi* 義太夫節, inaugurated by the narrator Takemoto Gidayū 竹本義太夫 (1651-1714). However, the *bunraku* has not always been as we see it today, but it has had its own evolution¹.

In five outlying areas of rural Japan, an ancient form of declamation called *bun'yabushi* 文彌節 still survives today, which accompanies a puppet theater which, compared to *bunraku*, appears crude, not very refined and coarse. In fact, the puppets of the *bun'yabushi* do not have the fluid movements of the puppets of the *bunraku*, nor those mechanisms that allow them to move their eyes and mouth as in the *bunraku*. In addition, the puppets of the *bunraku* are moved by three puppeteers (*ningyōtsukai*), while in the *bun'yabushi* there is only one puppeteer.

The *bun'yabushi*, discovered by Japanese scholars on the island of Sado (1911), had been absent for about 150 years in the main urban areas, a reason for which it was defined as an ancient or primitive form of *bunraku*. It still survives in distant offshoots of Japan albeit in an isolated form and in locations distant from each other, and is represented by local companies and no longer by wandering companies that performed, in the past, on the occasion of fortuitous events.

The term *bunraku* was born with Uemura Bunrakuken 植村文楽軒 (1751-1811), a theatrical impresario who, in the early 1800s, in Ōsaka, opened a hall to relaunch the puppet theater which was going through a period of low popularity. The theater was called Bunraku-za. The initiative was so popular that since then the term *bunraku* has been used to indicate the Japanese puppet opera instead of the previous *jōruri*². *Kojōruri* means an older *jōruri*. The *bun'yabushi* is part of the *kojōruri*.

In examining the stylistic distances between *bun'yabushi* and *bunraku*, it appears evident that the latter has conquered a dominant position in the theaters of Ōsaka, Kyōto and Edo in the wake of the success of the *jōruri* of Takemoto Gidayū and Chikamatsu Monzaemon 近松門左衛門 (1653 -1724).

In this regard, the sociologist Paul Dimaggio argues that the ruling elites are inclined to separate the High Culture from the Popular one and this also considering that the artists of the former are professionals. Art is seen as the ineffable, thus belonging to those who are convinced that their status can allow them purer and more authentic experiences. Above all, between High Culture and Folk Culture there is also a diversity in the production and distribution systems.

¹ Benito Ortolani, *Il teatro giapponese: dal rituale sciamanico alla scena contemporanea*. Roma: Bulzoni, 1998, p. 248.

² Ortolani, *op. cit.*, p. 235.

To this day we can define *bunraku* as a refined product of professional urban artists of high culture, in an important cultural and urban center such as Ōsaka or Tōkyō, as opposed to the less refined *bun'yabushi* entrusted to the commitment and care of countryside amateurs. Let us now place the *bun'yabushi* in the areas where it has been handed down in its original integrity.

Why do these areas retain an obsolete and forgotten form of puppet theater? If so, would the suburbs be places of cultural backwardness?

As Enrico Castelnuovo and Carlo Ginzburg argue, there are cases in which we are faced with "artistic autarchy"³. That is, isolated areas that rework culture on their own: a culture that, starting from the center it branches off, travels and develops towards remote places.

The *hōgenshūkenron* 方言周圏論, (literally: dialect theory of the surrounding areas) or the linguistic theory of the center and the peripheries of the anthropologist Yanagita Kunio could be useful in explaining some particularities of the Japanese performing arts such as *kojōruri*. Yanagita states that the new words born in cultural centers move towards the peripheries like the undulatory movement of the waves. Over time, in cultural centers, the no longer new words will inexorably be replaced with others and gradually pushed outwards. They are the areas furthest from the cultural center that will possess only the oldest forms of a word. Yanagita's theory explains the existence of some words in the suburbs during various periods of history and the lack of such words in the centers where they were born, a bit like it happened in the European Romance languages⁴.

The political and geographical human consortium has always been divided into centers and peripheries which reflected distributions of power with varying degrees of significance. Centers and peripheries are repeated at all levels both historically, economically or culturally. However, their relationship is dynamic because, just as historic centers fall into disuse or change and redefine their concepts, so too suburbs are redefined and sometimes mixed with centers. It thus happens that once central concepts and forms of art have spread in the provinces and have been replaced by others in the centers, remaining preserved only in the suburbs⁵.

This is what happened to the puppet theater forms of Japan. Ancient forms of ritual puppets that once circulated throughout the country have become extinct elsewhere and have been preserved only in remote suburbs

³ Enrico Castelnuovo, Carlo Ginzburg, *Centro e Periferia nella storia dell' arte Italiana*, Milano: Officina Libraria, 2019, pp. 44-46.

⁴ Kunio Yanagita, *Kagyūkō* 蝸牛考 (On snails), Tōkyō: Iwanami Shoten, 1980.

⁵ *Enciclopedia delle scienze sociali*, (1991), [https://www.treccani.it/.../centro-e-periferia_\(Enciclopedia-delle-scienze-sociali\)](https://www.treccani.it/.../centro-e-periferia_(Enciclopedia-delle-scienze-sociali)) Retrieved 09. 20. 2019.

only to be rediscovered by the center of the ruling elite depository of High Culture.

In the following pages we will examine the puppet theater of the *kojōruri* type in four areas: Niigata Prefecture, Ishikawa Prefecture, Miyazaki Prefecture and Kagoshima Prefecture, and precisely in five locations: Sado Island, Higashifutakuchi, Fukaze, Fumoto and Onobuchi. These places are concrete evidence of the current presence of a primitive puppet theater.

The narration of the *ningyō jōruri* puppet theater, or puppets of the *jōruri*, in these five locations, is called *bun'yabushi* or *sekkyōbushi* 説経節. Scholars agree that these are essentially branches or variants of the *kakutayūbushi* 角太夫節. This would be proven by the fact that puppet theater arrived in these places through the books of *kakutayūbon*, that is, the librettos of the master declaimer Kakutayū active since the mid-1600s.

In 1685, in Ōsaka Dōtonbori, the collaboration between the master declaimer Takemoto Gidayū and the playwright Chikamatsu Monzaemon was consolidated. This collaboration marked the beginning of a new *ningyō jōruri* puppet theater. The *gidayūbushi ningyō jōruri*, or the Gidayū theater, in fact, gained supremacy in the three great cities of Kyōto, Ōsaka and Edo where all kinds of *kojōruri*, which until then had had some success, began to decline. This replacement of the old with the new was merciless but not immediate⁶.

The old *jōruri*, following the dominance of the new style, turned to remote regions. This process took place over a whole century, from the end of the 17th to the 18th⁷.

The *Chikuhō koji* (竹豊故事), published in 1756, gave a summary of the fortunes and misfortunes of these ancient schools. *Bun'yabushi* began in Kyōto, during the Tenna 天和 and Jōkyō 貞享 periods (1681-1688), but became especially popular in Ōsaka⁸.

The *bun'yabushi* is narrated by rather rudimentary puppets compared to the refined ones of the *bunraku*. The structure consists of a head placed on a wooden cross covered with a dress. The stage is just as simple and consists of a curtain that covers the puppets up to the waist, called *koshimaku*, of a size ranging from 90 cm to 150 cm, one-color or with drawings and another behind that acts as a background.

⁶ Akira Sato, *Chihō no kojōruri. Sado, Kaga, Minami Kyūshū*, in Muroki Yatarō et al. (eds.) *Iwanami kōza kabuki bunraku*, vol. 7, Tokyo: Iwanami Shoten, 1998, p. 262.

⁷ Ibidem, p. 266.

⁸ Ibidem.

The discovery of Takano Tatsuyuki

Around 1909-1910, Professor Takano Tatsuyuki, an accomplished academic, learned that in Sado four or five visually impaired narrators continued to declaim in a style that was defined by the islanders themselves as *bun'yabushi*. He described it thus: “*They say that in places where it is difficult to get to, archaic, unknown words are preserved, so I thought that, in the same way, an ancient form of bun'yabushi may have been preserved on this island.*”⁹

Subsequently, on the initiative of Takano himself, on June 17, 1911, at the Musical Academy of Tōkyō, a group of musicians from the island of Sado performed the so-called *bun'yabushi*, an ancient style of declamation, whose existence was known thanks to some chronicles and almanacs of the 1700s, in front of an audience of connoisseurs. Among the audience who attended that niche show were musicologists, art historians, writers and the famous novelist Nagai Kafū, 永井荷風, then a reporter for the *Yomiuri Shinbun* newspaper¹⁰. Kafū wrote an article and talked about this experience as *mijikayo* 『短夜』 or “a short night”: “*A few days ago, a musician from the island of Sado came and played the Bunya-bushi for us. This is an old kind of music, very mournful and pathetic. Nobody knew of this kind of music called Bunya, but the simple and pure melody, made us dream of something charming.* (この間にはるばる佐渡が島から渡って来た楽人が、吾々のために文弥節を語った。幾世紀昔の哀調を。

文弥という作曲家の生涯を知る者は一人もない。

けれども吾々は其の単純なる旋律に怪しげなる夢を見た。)”¹¹

Apart from Kafū’s article, another comment was made by Professor Takano Tatsuyuki 高野辰之氏, who was then lecturer of classical Japanese literature, in a magazine specializing in old music, *Kabu Ongyoku Kōsetsu* 『歌舞音曲考説』: “*The Bunya-bushi, which has been silently passed on, received attention for the first time from the whole country thanks to their arrival in Tōkyō.*”¹²

The oldest form of declamation, *jōruri*, had originated in the mid-Muromachi period but its popularity increased during the Genna 元和 period (1615-1624). In the big cities some storytellers became so

⁹ Tatsuyuki Takano, *Kabu ongyoku kōsetsu*, in Yamamoto Shūnosuke, *Sado no ningyōshibai*, Sado: Sadokyōdo Kenkyūkai, 1976, p. 228.

¹⁰ Kafū Nagai, pseudonym for Sōkichi Nagai (1879-1959)

¹¹ in Mizu Takusagawa, *Sado bun'yabushi no denshō ni kansuru ichikōsatsu-tsuki*, pp. 249-251, retrieved from <https://waseda.repo.nii.ac.jp/?action=repository>.

¹² Cf., Takano, *Kabu ongyoku kōsetsu*, in Yamamoto Shūnosuke, *Sado no ningyōshibai*, Sado: Sadokyōdo Kenkyūkai, 1976, p. 228.

popular that they were considered real stars of the *jōruri* declamation - until that moment, the storytellers were wandering artists who did not disdain begging. These entertainers created their own style and were the initiators of a school of which they declared themselves the founders. Among these we can name Yamamoto Kakutayū 山本角太夫 (?-1700) and his disciple-collaborator Okamoto Bun'ya 岡本文彌 (1633-1694) who created his own school of storytelling known precisely by the name of *bun'yabushi* and which prospered only for a short time. In *Nanshoku hyokudori* 男色比翼鳥, a novel (*ukiyo-zōshi*) of 1707, in a dialogue between the protagonists, it is said: *Even the bun'yabushi has become antiquated.*¹³ Furthermore, as Takano himself admits, since there was no updated news on *bun'yabushi*, it was considered extinct.¹⁴

After the 1911 show, some articles celebrated the event as a novelty; and probably the public reaction would have been similar to that of a group of archaeologists making a new important discovery by disproving some old beliefs now taken for granted and igniting the debates for the next twenty years.

What surprised the audience so much during the performance at the Tokyo University of the Arts?

In Sado, in particular, there were two styles of puppet theater: *bun'yabushi* and *sekkyōbushi*. Three musicians came from Sado: master Miyama Seiga, a 47-year-old visually impaired, accompanied by his able-bodied helpers: Sei Jirō e Matsumura Muraji, 32 and 33 years old respectively.

Listening to their performance, Professor Takano stated that: *It looks like an unfinished work of gidayūbushi*¹⁵ (...) *it should be further explored if the bun'ya we hear today is the same as the original school founded by Okamoto Bun'ya or if it is another kojōruri school operating under this name.*¹⁶

Fifty years later, around 1960, the scholar Sasaki Hachirō, listening to the performance of Sado master Nakagawa Kanraku, and resuming and endorsing Takano Tatsuyuki's research, declared that in the Hokuetsu region, the name *bun'ya* was used as general term for *kojōruri* (old *jōruri*), based on the fact that some *fushi* who told the story of *Genji Eboshiori* and *Shusse Kagekiyo* (*jōruri* by Chikamatsu or attributed to him) still present in Kanazawa and its surroundings, were also called *bun'yabushi* there.

¹³ 「文彌節もふるめかし」, quoted by Takano in *op. cit.*, p. 229.

¹⁴ *Ibidem*, p. 230.

¹⁵ 「義太夫の未成品といふ一語で評がつきる様である」。

¹⁶ *Ibidem* p. 233.

He concluded: *Whether Sado's jōruri is Okamoto Bun'ya's original bun'ya is not easy to establish. This is because there is nothing left that could be called the original bun'yabushi.*¹⁷

The so-called *bushi*, or storytelling style, is made up of a succession of fixed melodic fragments, flexible vocal groupings and spoken passages. Alison Tokita McQueen calls them "stereotyped melodies". They are used in music that is accompanied by some form of narration, somewhat similar to that of our storytellers, which is called *katarimono*. The term *katarimono* is in opposition to *utaimono*, or lyric music, and refers to a declamation with musical accompaniment. In particular, *katarimono* music includes the narration of the Heike monogatari and the *jōruri*. The declamation of the Heike monogatari (the epic poem of the Taira clan) began to spread from the thirteenth century on the initiative of blind monks or *biwa hōshi* who, accompanying themselves with the lute (or *biwa*), performed to get some alms. Around the 16th century, written versions of the work by sighted artists appeared, leading to a systematization of the music and verses of the narrative part into stereotypical units, about 200, which were called *heikyoku* or Heike music, and published in the *Heike Mabushi*, in 1776. At the same time, various notation systems were developed in the music for both the *shamisen* and the *koto*. These stereotypical musical units played a good role in the development of *bushi* as an accompaniment to *jōruri*¹⁸.

In 1911 Takano Tatsuyuki isolated thirteen types of *bushi* in Sado; they were: *ōroshi* 大オロシ, *ureibushi* ウレイブシ, *daisanjū* 大三重, *irotsunagi* イロツナギ, *kyome sanjū* キョメ三重, *okurisanjū* オクリ三重, *chūsanjū* 中三重, *hazumi* ハヅミ, *hariotoshi* ハリオトシ, *kan'otoshi* カンオトシ, *kandome* カンドメ, *okuri* オクリ, *otoshi* オトシ¹⁹. These are still masterfully played by Tayu Kubo Soka, 久保 宗 香, of the Tokiwaza theater company.

A certain historiographic tradition, speaking of the *jōruri* schools of narration, wanted to give the image that each of them had a single founder with his own original narration that stood out from the others. In reality, the various schools were not handed down in a linear way, but mixed with each other and the changes were shared²⁰.

¹⁷ Hachirō Sasaki et al., *Unraikyō*, Tōkyō: Seibundōinsatsu, 1979, p. 86-87.

¹⁸ Alison Tokita-McQueen, *The Nature of patterning in Japanese narrative music: Formulaic musical material in Heikyoku, Gidayū-bushi, and Kiyomoto-bushi*, in *Musicology Australia*, 23:1, 2000, pp. 99-101.

¹⁹ Takano, *op. cit.*, p. 232.

²⁰ Satō, *op. cit.*, p. 266.

Sato Akira argues that due to the divisions and fractures that developed between the various master chanters or *tayū*, and to a certain exposition of the facts that came from the screens proposed by the *Seikyoku Ruisan* 声曲類纂 (Saitō Geshin 齋藤月岑1847), it was customary to differentiate *kakutayūbushi* from *bun'yabushi*. However, there are practically no differences between *kakutayūbushi* and *bun'yabushi*, except for some nuances in their execution²¹.

The *sekkyō* 説経

The *sekkyō* is unanimously recognized as part of *shōdō* 唱道 literature or sermons literature, that is, a type of medieval religious narrative with a literary cliché known as *honji monogatari*, 本地物語 which can be summarized as a genre of tales about the origin of sacred places or myths, seen as individuals persecuted to a painful death of hardship or torture, who are saved by Bodhisattva or who will be reborn in the hereafter as Bodhisattvas themselves. According to the well-known definition of Muroki Yatarō, *sekkyō* means: "*Form of literature, folk tale, legend, folk song or proverb that is passed orally.*"²²

The origins of *sekkyō* could date back to the introduction of Buddhism in Japan. But the works of the *sekkyō* were written and published only starting from 1600, when they began to be represented in theaters. At that time the *sekkyō* was no longer a show that was transmitted orally by street performers, monks or beggars, but a theatrical performance staged by professional storytellers and puppeteers who needed a texts to draw on. The *sekkyō* and the *kojōruri* flourished in the city environment during the seventeenth century, but especially after the publication of the *shōhon* (authentic copies) or librettos for the use of theaters. However, before that, what connoted *sekkyō* was a form of entertainment performed outdoors by street performers.

The *sekkyō*, however, appeared in the cities later than the *jōruri*, or more properly in its sequel. Even the performers of the *sekkyō* began to accompany him with the shamisen and as had happened to the narration of the *jōruri*, the story was staged using puppets. At first the *sekkyō* had some success even if it could not get rid of its antiquated patina, and the city public, eager for novelty, soon abandoned it. It can therefore be said that *sekkyō* was a form of art that remained medieval²³.

²¹ Ibidem, p. 264.

²² Yatarō Muroki, *Sekkyōshū*. *Shinchō Nihon kotenshūsei dai 8-kai tankōbon*, Tōkyō: Shinchōsha, 1977, p. 393.

²³ Ibidem, p. 394.

Why did *bun'yabushi* remain in the rural suburbs of Japan among other schools of storytelling? We go back to the origins of *bunraku*, that is, when the *gidayūbushi* broke away from the others and reached supremacy over the other styles of storytelling.

The librettos of Kakutayū

As is known, in March 1685, Chikamatsu Monzaemon and Takemoto Gidayū, from Takemotoza performed the *Shusse Kagekiyo* 出世景清 in Ōsaka, in the Dōtonbori district. At the same time, the Ujiza 宇治座 troupe, originally from Kyōto, directed by Ugi Kaganojō 宇治 加賀の掾, staged the *Gaijin Yashima* 凱陣八島, written by Ihara Saikaku 井原 西鶴.

We also keep in mind that the master Gidayū, had detached himself from the Ujiza theater the previous year. The Dōtonbori neighborhood was animated by the competition between these two companies. Unfortunately, the Ujiza theater was devastated by a fire. Ugi Kaganojō was forced to close by returning to Kyōto. This was the beginning of the Takemoto Gidayū era.

The character of Akushichibyōe Kagekiyo 悪七兵衛卒景清 appeared for the first time in the *Heike monogatari*: he was one of the surviving warriors of the Taira clan and the events of Taira and Minamoto were already represented in the *nō* and *kojōruri*, including the character of Kagekiyo.

Shusse Kagekiyo's original libretto, composed by Chikamatsu, can be found in many locations. In the catalog of the locations of Gidayū's original texts, the *Gidayū nenpyō kinsei-hen* 義太夫年表近世篇, 22 places are listed where specimens of the work can be found. If the collections are then added, the number of texts still existing would reach thirty units. Returning to the golden age of *jōruri*, after the performance of Gidayū, *Shusse Kagekiyo* soon disappeared from the theaters of the three main cities. However, Shusse Kagekiyo's publications continued in the outlying areas. There are two lines of publications for *Shusse Kagekiyo*: a Gidayū version and a Kakutayū version. If we then consider the number of pages and the number of lines on a page, there would be four versions:

1. 47 sheets/8 lines per page, in the *gidayūbon* 義太夫本 version;
2. 32 sheets/10 lines per page, in the *gidayūbon* version.
3. 26 sheets/10 lines per page, in *kakutayūbon* 角太夫本 version.
4. 32 sheets/10 lines in Konhachiban edition version 近八版 *kakutayūbon*.

This is evident from the timbres and musical notations, or fushizuke 節付 for the narration, which are different between the *gidayūbon* version and the *kakutayūbon* version. The Konhachi edition of 32 sheets with 10 lines was published during the Bunkyū period (1861-64) and became

popular in more remote regions. The Konhachi edition refers to the Konhachirōemon Ban 近八郎 右衛門 版 edition of Kanazawa²⁴.

There are several historical traces of the cult of Kagekiyo in southern Kyūshū, where according to legend the hero Kagekiyo was exiled when he went blind. Those who run this cult are the blind monks of Chigami 地神 (the god of the earth). Their temple is located in Shimokitakamachi 下北方町, in the city of Miyazaki. The blind monks of Chigami, who are descended from the *biwahōshi*, recite the prayers using the biwa as an accompaniment tool and act as entertainers.

Until 1830-44, the tomb of Kagekiyo, about 60 cm high, was exposed outside. When the cult promoted by monks spread, people with visual impairments visited the tomb and grinded some dust from the tombstone because, according to a legend, it is said to cure eye diseases. This belief spread endemically from the mid-19th century. In the *Wakan sansai zue* 和漢三才図会 (Sino-Japanese Illustrated Encyclopedia), printed between 1711 and 1736, there is a quote relating to this tomb.²⁵

The *bun'yabushi* in Sado

In Sado, during its long history, the performing arts were introduced, on several occasions, by itinerant artists.

In the early years of the Keichō period (1596-1615), at the time of the exploitation of gold mines, heterogeneous groups of individuals, hoping for a profit, arrived in large numbers on an island which, in those years, saw the beginning of the gold rush. In a passage from the *Sado nendaiki* 佐渡年代記 (which collected the records of the office of the magistrate of Sado) dated 1612, it was mentioned:

*In these times the gold mines of Sado are thriving, the Kabuki actresses of Kyōto - Ōsaka attract crowds; gold prospectors and traders from different provinces are passionate about their shows, squandering their earnings because they cannot go home. Those who come to Sado must stay there for three years and then can return to their country of origin. We have learned that thinking of their possible disappearance in the period of their absence, they formally greet the family by saying goodbyes to their fathers, mothers, wives and children.*²⁶

Puppets in Sado became essential as entertainment during religious festivals in shrines or temples, but no one knows for sure the

²⁴ Sato, *op. cit.*, p. 262.

²⁵ Sato, *op. cit.*, p. 278.

²⁶ Sasaki, *op. cit.*, p. 10.

date of their entry. We can only identify 1771 as the certain date of their presence in Sado, as in the registers of the temples an entry was dedicated to the remuneration of the puppet companies.

A 1950 theory attributed to Professor Satō Seijirō, a scholar of art history, announces that precisely the early 1700s would have registered the arrival of the companies; this assumption was based on the examination of old puppet heads preserved in Sado dating back to the Kyōhō 享保 era (1716-1736)²⁷.

The two theaters in Ishikawa Prefecture: Higashifutakuchi 東二口 and Fukaze 深瀬

In the village of Ishikawa, the puppet theater is present in two places: Higashifutakuchi and Fukaze. In an old document (scroll) belonging to the Daishōya Omoteke family 大庄屋 表家, we read that: *in Higashifutakuchi the techniques of jōruri were introduced during the first year of the Meireki era (1655) by some masters from Ōsaka Dōtonbori*²⁸.

For Fukaze there are no written historical records but, according to a tradition, 300 years ago, in the second half of the 17th century, the Dekumawashi company arrived in Fukaze during a tour of the province. The troupe was blocked by the snow and, unable to feed themselves, asked the local people for help. When, around April, they managed to leave, to pay off their debts, they left behind a set of their puppets.

There is no *shamisen* accompaniment during the narration of the *Fukaze ningyō deikumawashi*. There is not even the flute. The melody in his narration sounds as if one were listening to the chanting of a sutra. There are only seven *fushi*: *ukibushi* うき-節 (憂き節), *mai* 舞, *dashi* だし, *kotobabushi* 言葉節, *michibiki* 道びき, *seme* 攻め, e *deku taijō* でく 退場²⁹.

The two puppet theaters of southern Kyushu: Fumoto 麓 and Onobuchi 斧淵

There are two places on the island of Kyūshū where the bun'ya puppet theater is perpetuated: Fumoto, Miyazaki prefecture, a fraction of the city of Yamanokuchi-chō, and Onobuchi, a fraction of the city of Tōgō-chō in Kagoshima prefecture. The city of Yamanokuchi-chō, since ancient times, has been one of the stops on the Saikaidō, the western sea route. In 1615, a government office was opened in Fumoto for the gōshi 郷士 or landowners.

²⁷ Ibidem, p. 8.

²⁸ Sato, *op. cit.*, p. 268.

²⁹ Sato, *op. cit.*, p. 268-269.

Puppet theater began within this type of social structure, and was called: *Fumoto no ningyō mawashi* 麓の人形まわし.

In Fumoto there are 6 handwritten copies of *Shusse Kagekiyo's* screenplay, all of 1826 (it was Bunsei, therefore prior to the Konhachi edition), except one undated, which, judging by the style and typeface, can be considered to belong to a previous period³⁰.

Even Onobuchi, during the Edo period, was endowed with an administrative structure of the *gōshi*. Locally, the theater was called *Onobuchi no ningyō odori* 斧淵の人形踊り and, according to tradition, was founded at the end of the 17th century. The *gōshi*, who participated in the *sankin kōtai*, attended performances of the *bun'ya ningyō* in Kyōto and Ōsaka and when they returned to their possessions they brought there, in tow, some theatrical troupes.

Onobuchi keeps 18 original antique booklets. The main representation they give is *Genji Eboshiori*. The Onobuchi Theater has about twenty puppets dating back to 1865, but what is noteworthy is that the male puppets are *hitori-dzukai* 一人遣い (a puppeteer for a puppet), but the female puppets are *futari-dzukai* 二人遣い (two puppeteers for a puppet)³¹.

Conclusions

The theaters of these five locations have been grouped by Uchiyama Mikiko as follows³²:

A. Those who are part of the *bun'yabushi* narrated by Okamoto Bun'ya: Sado, Higashifutakuchi, Fumoto, Onobuchi. (Fukaze is excluded)

B. Those that are somehow related to Kakutayū's *kakutayūbushi*: Sado, Higashifutakuchi, Fukaze, Fumoto, Onobuchi.

So all five places are connected to *kakutayūbushi*. Sado and Fukaze also have an older style of the *sekkyōbushi* genre³³.

During the performances of *bun'ya ningyō*, there are interludes of *kyōgen* (comic interludes) called, in Sado, *noroma ningyō*.

The above demonstrates that the center-periphery nexus cannot be seen only as a relationship between innovation and delay but it is a mobile relationship, subject to sudden accelerations and tensions linked to political and social changes as well as artistic ones.

³⁰ Ibidem, p. 270.

³¹ Sato, *op. cit.*, pp. 268-269.

³² Mikiko Uchiyama, *Jōrurishi no jūhasseiki*, Tokyo: Bensei Shuppan, 1999, pp. xi-xii.

³³ Ibidem, p. 277.

What arises in the center reaches the peripheries and progresses in various ways; but would it be correct to define the arts of the peripheries as backward models of the center?

It is possible to distinguish: A centuries-old delay, as in the case of the so-called “popular” artistic production, often elaborated by peasants for peasants. A multi-generational delay, as in the case of products made by professional artists but for a peasant clientele. A delay of a few years which, however, is perceived as traumatic because it coincides with moments and situations characterized by sudden changes in taste³⁴.

This tendency towards typological persistence that involves artists from the periphery has been called by the authors Castelnovo and Ginzburg “viscosity” and “artistic autarchy”³⁵. It can be said that viscosity represents the resistance of the periphery to the innovations of the center. We can conclude that, in a state of artistic autarchy, such as that of the small villages of Japan, there is no tendency to innovate, but rather to remain rooted in strong habits and customs that become tradition.

However, in addition to being a place of delay, the periphery could also be the site of alternative processing. “Different” and “alternative” are not synonymous because not all variations are definable as alternatives or as rejects.

Acknowledgements:

This research was supported by the valuable contribution of:

Mr. Nakamoto Shōshi from the Miyakonojō-shi City Promotion Committee.

Professor Matushita Omihito, coordinator of the safeguard committee of Higashifutakuchi bun’ya ningyō jōruri.

Mr. Konaka Kazuya and **Mrs. Michigami Yurika**, from the committee for the safeguard of the *Dekumawashi* theater in Fukaze.

An even more heartfelt thanks goes to **Mr. Uji Yoshinori** of the Cultural Foundation of Sado, with the precious contribution of **Tayū Kubo Sōka** of the Tokiwaza company,

Mr. Nokuo Tadashi, appointed by the committee for the protection of the *bun’yabushi* of the city of Onobuchi - Tōgō-chō and **Mr. Yokoyama** from Kagoshima Prefecture Tourism and Culture Sports Department.

³⁴ Castelnovo and Ginzburg, *op. cit.*, pp. 43-45.

³⁵ *ibidem*

References

- Araki, Shigeru; Yamamoto, Kichizō, (1973), *Sekkyō bushi - Sanshō dayū, Oguri Hangan, et. al.*, Tōkyō: Tōyōbunko [荒木 繁/ 山本吉左右, 説経節—山椒太夫・小栗判官他, 東洋文庫]
- Castelnuovo, Enrico, Ginzburg, Carlo, (2019), *Centro e Periferia nella storia dell' arte Italiana*, Milano: Officina Libraria.
- Dan, Yukiko, (2001), “Jōruri shiryō to shite no Sado no sekkyō jōruribon”, in *Philokalia* No. 18, Ōsaka: University Graduate School of Letters, Department of Arts and Art History [團夕紀子, 古浄瑠璃資料としての佐渡の説経浄瑠璃本, 『フィロカリア』, 大阪大学大学院文学研究科芸術学・芸術史講座]
- Dimaggio, Paul, (2009), *Organizzare la cultura*. Bologna: Il Mulino.
- ***Enciclopedia delle scienze sociali, (1991).
[https://www.treccani.it/.../centro-e-periferia_\(Enciclopedia-delle-scienze-sociali\)](https://www.treccani.it/.../centro-e-periferia_(Enciclopedia-delle-scienze-sociali)) Retrieved 09, 20, 2019.
- Komoda, Haruko, (1993), *Heike Biwa - Katari to Ongaku*, Tōkyō: Hitsuji shobō [薦田治子, 平家琵琶・語りと音楽, ひつじ書房]
- Muroki, Yatarō (1977), *Sekkyōshū. Shinchō Nihon kotenshūsei dai 8-kai tankōbon*, Tōkyō: Shinchōsha [室木弥太郎, 説経集.新潮日本古典集成第8回単行本, 新潮社.]
- McQueen-Tokita, Alison, (2000), *The Nature of patterning in Japanese narrative music: Formulaic musical material in Heikyoku, Gidayū-bushi, and Kiyomoto-bushi*, in *Musicology Australia*, 23:1, 99-122, DOI: 10.1080/08145857.2000.10415916
- Nagai, Akiko; Tokimatsu, Takafumi; Uchiyama, Mikiko; Wada, Osamu, (1993), *Yamanokuchi Fumoto bun'yabushi ningyō jōruri chōsa hōkoku-sho*, Yamanokuchi: Yamanokuchi-chō kyōiku iinkai [永井彰子, 時松孝文, 内山美樹子, 和田修, 山之口麓文弥節人形浄瑠璃調査報告書, 山之口町教育委員会]
- Nagata, Kōichi, (1969), *Nihon no ningyō shibai* Tōkyō: Kinseisha [永田衡吉, 日本の人形芝居, 錦正社]
- Ortolani, Benito, (1998), *Il teatro giapponese: dal rituale sciamanico alla scena contemporanea*, Roma: Bulzoni.
- Satō, Akira, (1998), *Chihō no kojōruri. Sado, Kaga, Minami Kyūshū*, in Muroki Yatarō *et.al*, *Iwanami kōza kabuki bunraku. Vol. 7*, Tōkyō: Iwanami Shoten [佐藤彰, 岩波講座 歌舞伎 文楽, 〈第7巻〉 岩波書店]
- Saitō, Seijirō, (1964), *Nihon no kashira*, Tōkyō: Iwasaki Bijutsusha [斎藤清二郎, 日本の首 (かしら) , 岩崎美術社]

Sasaki, Hachirō *et. al.* (1979), *Unraikyo*, Tōkyō: Seibundō insatsu [佐々木八郎, 雲来去, 精文堂印刷]

Sasaki, Yoshihisa, (1996), *Sado ga Shimaningyō Banashi*, Sado: Sadogashima ningyō-banashi kankō-kai, [佐々木義栄, 佐渡が島人形ばなし, 佐渡が島人形ばなし刊行会]

Shinoda, Junichi, (1963), *Kojōruri -shu: Kaku-dayu Shohon*, Tōkyō: Koten Bunko [信多純一, 古浄瑠璃集: 角太夫正本(一), 古典文庫]

Takusagawa, Mizuki, (2003), *Considerations concerning the tradition of Sado Bunya Bushi, Sado bun'yabushi no denshō ni kansuru ichikōsatsu*, at <https://waseda.repo.nii.ac.jp/?action=repository> [田草川みずき, 『佐渡文弥節の伝承に関する一考察』]

Uchiyama, Mikiko, (1999), *Jōrurishi no jūhasseiki*, Tokyo: Bensei Shuppan [内山美樹子, 浄瑠璃史の十八世紀, 勉誠出版]

Yamamoto, Shūnosuke, (1976), *Sado no Ningyō Shibai*, Sado: Sadokyōdo Kenkyūkai [山本修之助, 佐渡の人形芝居, 佐渡郷土研究会]

Yanagita, Kunio, (1980), *Kagyūkō (On snails)*, Tōkyō: Iwanami Shoten [柳田国男, 蝸牛考, 岩波書店]