



# JURNALOS

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## **ABOUT CONFERENCE**

Journalos is pleased to announce the Call for Papers for its first Annual Research Conference on the theme: Multidisciplinary Research and Innovation. The event will provide a global platform for practitioners, academics, policy makers, researchers and students, to share their work and experiences through the presentation and dissemination of high-quality research on topics relating to the transformation of the African sub-region and other neighboring regions. Typically eConferences consist of three or four keynote speakers who are streamed to us as we link electronically to the Broken Bay Institute. In between the presentations, we locally facilitate discussion and responses. We also provides food and hospitality to help make such a day an excellent and enriching experience. Cost is simply by optional donation for catering.

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Virtual Conferences will be held periodically to make it an ideal platform for people to share views and experiences. English is the official language of the conference. We welcome paper submissions.

Prospective authors are invited to submit their Paper (which is NOT submitted/published/under consideration anywhere e in other conferences/journal). We would like to highlight; this year edition of this conference is aimed especially for students and young researchers but not limited to novice researchers only. We invite all authors to prepare a short presentation (paper) on Global Scientific problems to deliver state-of-the-art analysis, inspiring visions and innovative research methods arising from interdisciplinary and genuine research.

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## KOHLBERG'S STAGES OF MORAL DEVELOPMENT AND CRITICISMS

*James Mark Baldwin*

Piaget studied many aspects of moral judgment, but most of his findings fit into a two-stage theory. Children younger than 10 or 11 years think about moral dilemmas one way; older children consider them differently. Younger children regard rules as fixed and absolute and believe rules are handed down by adults or by God and that they cannot change them. The older child's view is more relativistic. He or she understands that it is permissible to change rules if everyone agrees. Rules are not sacred and absolute but are devices that humans use to get along cooperatively.

At approximately the same time--10 or 11 years--children's moral thinking undergoes other shifts. In particular, younger children base their moral judgments more on consequences, whereas older children base their judgments on intentions. When, for example, the young child hears about one boy who broke 15 cups trying to help his mother and another boy who broke only one cup trying to steal cookies, the young child thinks that the first boy did worse. The child primarily considers the amount of damage--the consequences--whereas the older child is more likely to judge wrongness in terms of the

motives underlying the act (Piaget, 1932, p. 137). There are other aspects to Piaget's work on moral judgment, but he essentially found a series of changes that occur between the ages of 10 and 12, just when the child begins to enter the general stage of formal operations.

Kohlberg believed, and was able to demonstrate through studies, that people progressed in their moral reasoning (i.e., in their foundations for ethical behavior) through a series of six identifiable stages that could be more generally classified into three levels. Kohlberg's six stages might be viewed in this form:

**Level 1** (Pre-Conventional) (up to age 9)

1. Obedience and punishment orientation
2. Self-interest orientation

**Level 2** (Conventional) (10 years old to adolescence)

3. Interpersonal accord and conformity (a.k.a. The good boy/good girl attitude)
4. Authority and social-order maintaining orientation (a.k.a. Law and order morality)

**Level 3** (Post-Conventional)(adulthood)

5. Social contract orientation
6. Universal ethical principles

(a.k.a. Principled conscience)

The first level of moral thinking is that generally found at the elementary school level. In the first stage of this level, people behave according to socially acceptable norms because they are told to do so by some authority figure (e.g., parent or teacher). This obedience is compelled by the threat or application of punishment. The second stage of this level is characterized by a view that right behavior means acting in one's own best interests. The second level of moral thinking is that generally found in society, hence the name "conventional." The first stage of this level (stage 3) is characterized by an attitude which seeks to do what will gain the approval of others. The second stage is one oriented to abiding by the law and responding to the obligations of duty. The third level of moral thinking is one that Kohlberg felt is not reached by the majority of adults. Its first stage (stage 5) is an understanding of social mutuality and a genuine interest in the welfare of others. The last stage (stage 6) is based on respect for universal principle and the demands of individual conscience. While Kohlberg always believed in the existence of Stage 6 and had some nominees for it, he could never get enough subjects to define it, much less observe their longitudinal movement to it.

Between the Stage 4 ("law and order") and Stage 5, there is a transitional stage, maybe Stage 4.5. . Many college-age students in the 1960s and early 1970s, for example, saw conventional morality as relative and arbitrary,

but had not yet discovered universal ethical principles or their own adulthood and parenthood. This stage thus involved a hedonistic ethic of "do your own thing." This was observed in the hippie culture of the 1960s. Disrespect for conventional morality was especially infuriating to the Stage 4 mentality ("We will have law and order"), and indeed was calculated to be irritating to those over 30. Certainly this did not apply to all Baby Boomers in the 1960s but it did apply to many. Kohlberg believed progression through these stages was one stage at a time. That is, individuals could not skip stages. They could not, for example, move from an orientation of selfishness to the law and order stage without passing through the good boy/girl stage. They could only come to a comprehension of a moral rationale one stage above their own. Thus, according to Kohlberg, it was important to present them with moral dilemmas for discussion which would help them to see the reasonableness of a "higher stage" morality and encourage their development in that direction. The last comment refers to Kohlberg's moral discussion approach. He saw this as one of the ways in which moral development can be promoted through formal education. Note that Kohlberg believed, as did Piaget, that most moral development occurs through social interaction. The discussion approach is based on the insight that individuals develop as a result of cognitive conflicts at their current stage.

Another way to view the stages is as follows, taken primarily from Piaget (1932), Kohlberg (1975), and Rosen (1980):

**Stage 1: Respect for power and punishment.**

A young child (age 1-5) decides what to do--what is right--according to what he/she wants to do and can do without getting into trouble. To be right, you must be obedient to the people in power and, thus, avoid punishment. Motto: "Might makes right."

**Stage 2: Looking out for #1.**

Children (age 5-10) tend to be self-serving. They lack respect for the rights of others but may give to others on the assumption that they will get as much or more in return. It is more a matter of "you scratch my back and I'll scratch yours," instead of loyalty, gratitude, or justice. Motto: "What's in it for me?"

**Stage 3: Being a "Good Boy" or "Nice Girl."**

People at this stage (age 8-16) have shifted from pleasing themselves to pleasing important others, often parents, teachers, or friends. They seek approval and conform to someone else's expectations. When they are accused of doing something wrong, their behavior is likely to be justified by saying "everyone else is doing it" or "I didn't intend to hurt anyone." Motto: "I want to be nice."

**Stage 4: Law and order thinking.**

The majority of people 16 years old and older have internalized society's rules about how to behave. They feel obligated to conform, not any longer to just family and

friends, but also to society's laws and customs. They see it as important to do one's duty to maintain social order. Leaders are assumed to be right; individuals adopt social rules without considering the underlying ethical principles involved. Social control is, therefore, exercised through guilt associated with breaking a rule; the guilt in this case is an automatic emotional response, not a rational reaction of conscience based on moral principles (as in stage 6). People at this stage believe that anyone breaking the rules deserves to be punished and "pay their debt to society." Motto: "I'll do my duty."

**Stage 5: Justice through democracy.**

People at this stage recognize the underlying moral purposes that are supposed to be served by laws and social customs; thus, if a law ceases to serve a good purpose, they feel the people in a democracy should get active and change the law. Thought of in this way, democracy becomes a social contract whereby everyone tries continually to create a set of laws that best serves the most people, while protecting the basic rights of everyone. There is respect for the law and a sense of obligation to live by the rules, as long as they were established in a fair manner and fulfill an ethical purpose. Only about 20-25% of today's adults ever reach this stage and most of those that do supposedly only get there after their mid-twenties. Motto: "I'll live by the rules or try to change them."

**Stage 6: Deciding on basic moral principles by which you will live your life and relate to everyone fairly.**

These rather rare people have considered many values and have decided on a philosophy of life that truly guides their life. They do not automatically conform to tradition or others' beliefs or even to their own emotions, intuition, or impulsive notions about right and wrong. Stage 6 people carefully choose basic principles to follow, such as caring for and respecting every living thing, feeling that we are all equal and deserve equal opportunities, or, stated differently, the Golden Rule. They are strong enough to act on their values even if others may think they are odd or if their beliefs are against the law, such as refusing to fight in a war. Motto: "I'm true to my values."

**Example**

Kohlberg used moral dilemmas to determine which stage of moral reasoning a person uses. The dilemmas are short stories in which a person has to make a moral decision. The participant is asked what this person should do. A dilemma that Kohlberg used in his original research was the druggist's dilemma:

***Heinz steals the drug***

*In Europe, a woman was near death from a special kind of cancer. There was one drug that the doctors thought might save her. It was a form of radium that a druggist in the same town had recently discovered. The drug was expensive to make, but the druggist was*

*charging ten times what the drug cost him to make. He paid \$200 for the radium and charged \$2,000 for a small dose of the drug. The sick woman's husband, Heinz, went to everyone he knew to borrow the money, but he could only get together about \$ 1,000 which is half of what it cost. He told the druggist that his wife was dying and asked him to sell it cheaper or let him pay later. But the druggist said: "No, I discovered the drug and I'm going to make money from it." So Heinz got desperate and broke into the man's store to steal the drug-for his wife. (Kohlberg, 1963, p. 19)*

*Should Heinz break into the laboratory to steal the drug for his wife? Why or why not?*

From a theoretical point of view, it is not important what the participant thinks that Heinz should do. The point of interest is the justification the participant offers. Below are examples of possible arguments that belong to the six stages. It is important to keep in mind that these arguments are only examples. It is possible that a participant reaches a completely different conclusion using the same stage of reasoning:

Stage one (obedience): Heinz should not steal the medicine, because he will be put in jail.

Stage two (self-interest): Heinz should steal the medicine, because he will be much happier if he saves his wife, even if he will have to serve a prison sentence.

Stage three (conformity): Heinz should steal the medicine, because his wife expects it.

Stage four (law-and-order): Heinz should not steal the medicine, because the law prohibits stealing.

Stage five (human rights): Heinz should steal the medicine, because everyone has a right to live, regardless of the law. Or: Heinz should not steal the medicine, because the scientist has a right to fair compensation.

Stage six (universal human ethics): Heinz should steal the medicine, because saving a human life is a more fundamental value than the property rights of another person. OR: Heinz should not steal the medicine, because that violates the golden rule of honesty and respect. OR: (transcendental morality) Heinz should choose to spend more time with his wife in their remaining days, both acknowledging the cycle of life-and-death which is a part of the human condition.

### **General criticisms of Kohlberg's Stages**

Kohlberg's conception of moral development is based on thinking and logic, not on feelings for others. Surely feelings can not be neglected. Likewise, Kohlberg believed that morals were based on age and "wisdom," rather than real life experience and empathic identification with others. But 3- and 4-year-olds can and do empathize with others and try to help. Caring doesn't require a high level of education or advanced age. It requires feelings. Coles (1986) describes some impressively moral children and teenagers. Some children have stood up to mobs of unfair adults. Lastly, Kohlberg's focus is on the individual, not on

what makes for a moral community. Thus, he doesn't balance a self-orientation as opposed to a group-orientation. He doesn't ask, as the Greeks did, the question "what would accomplish the greatest good for the greatest number of people?" And, he doesn't question, as do the Quakers, the morality of settling issues by voting (resulting in as few as 51% imposing--often with glee--their preferences on the remaining 49%) rather than by consensus (everyone agreeing to a carefully considered compromise). Yet, these stages can be a useful way to begin assessing one's own morals.

A second critique of Kohlberg's work was made by Carol Gilligan in her popular book, "In a Different Voice: Psychological Theory and Women's Development" (1982). Kohlberg's theory, Gilligan said, emphasizes justice to the exclusion of other values. As a consequence of this, it may not adequately address the arguments of people who value other moral aspects of actions. Gilligan argued that Kohlberg's theory is overly androcentric because it was the result of empirical research using only male participants. Gilligan argued that Kohlberg's theory therefore did not adequately describe the concerns of women. She developed an alternative theory of moral reasoning that is based on the value of care. By listening to women's experiences, Gilligan suggested that a morality of care can serve in the place of the morality of justice and rights espoused by Kohlberg. In her view, the morality of caring and responsibility is premised in nonviolence, while the morality of justice and rights is based on equality. Another

way to look at these differences is to view these two moralities as providing two distinct injunctions - the injunction not to treat others unfairly (justice) and the injunction not to turn away from someone in need (care). She presents these moralities as distinct, although potentially connected. Gilligan argued that the morality of care emphasizes interconnectedness and presumably emerges to a greater degree in girls owing to their early connection in identity formation with their mothers. The morality of justice, on the other hand, emerges within the context of coordinating the interactions of autonomous individuals. A moral orientation based on justice was proposed as more prevalent among boys because their attachment relations with the mother, and subsequent masculine identity formation entailed that boys separate from that relationship and individuate from the mother. For boys, this separation also heightens their awareness of the difference in power relations between themselves and the adult, and hence engenders an intense set of concerns over inequalities. Girls, however, because of their continued attachment to their mothers, are not as keenly aware of such inequalities, and are, hence, less concerned with fairness as an issue.

Further research has suggested, however, that moral reasoning does not follow the distinct gender lines which Gilligan originally reported. The preponderance of evidence is that males and females reason based on both justice and care. While this gender debate is unsettled, Gilligan's work has contributed to an increased awareness that care is an integral component of moral reasoning.

Educational approaches based on Gilligan's work have emphasized efforts to foster empathy and care responses in students.

### **Kohlberg's Stages 5 & 6 specifically**

Kohlberg's evaluation of moral decisions was based on the quality of the reasoning behind a person's decision, rather than whether or not some specific behavioral decision was made. The thinking process used by some in stage 6 to decide what is fair and reasonable in a moral dilemma is called "second-order Golden Rule role taking" (Kohlberg, 1984). There are two steps: (1) Understanding how each person involved sees the situation and (2) imagining how each person would feel if placed in each other person's situation. The aim of this empathic process is to find a "reversible" solution, one that would be seen as equally just from each person's perspective and considered fair by a high percentage of rationally thinking people. Example: (1) Imagine the situation of a poor dying patient, her husband, and a druggist who wants \$1,000 profit (10 times its cost) for an effective drug and (2) imagine how each would feel in the other's shoes, e.g., how the patient would feel as the druggist, the druggist as the dying patient, the patient as the husband thinking about stealing the drug, etc. A solution that might result from this process would be for the druggist to give the patient the drug, and the couple, in turn, would agree to pay for it by working part-time for the druggist after the patient gets well. As we will see later, an 11-year-old girl in Gilligan's study (1982) arrived at a similar solution.



Current theorists believe it takes time for most people (40-50 years of age), experience with different cultures and values, emotional maturity, self-control and self-esteem, considerable thought about values, and/or moral development training to acquire this kind of moral reasoning. I suspect stages 5 and 6 will be achieved at age 12 or 14, when we know enough to provide the proper training and experience at that age. Good but extraordinary examples of stage 6 morality are Jesus Christ (he spoke cogently of universal principles but he died at age 33!), St. Francis of Assisi, Albert Schweitzer, Abraham Lincoln, Martin Luther King (he became a civil rights activist at age 26!), and Sister Teresa of Calcutta. Don't let this awesome list of saintly people scare you or discourage you. Try to become a stage 5 or 6 person by finding some good causes you are willing to argue for, decide what lifestyle you most value, and start doing it.

As you understand these stages better, you might understand more about why you have made certain moral decisions in the past. Also, you might realize you and others operate on several levels at the same time. For example, you might avoid shoplifting for the fear of punishment (stage 1), you might watch your little brother carefully to be sure he doesn't get more attention than you (stage 2), you might want to impress your parents or a teacher (stage 3), you might unthinkingly enforce school rules as a monitor (stage 4), and you might be active in the women's

movement or help support a child in India through CARE (stage 5 or 6). Furthermore, you might find your moral reasoning on one level and your behavior on another: 20% of the people at stage 6 of moral reasoning still conformed (stage 3 or 4) when asked by an authority to hurt another person (Kohlberg, 1984). Likewise, one's value system might say to share most of one's worldly possessions, but often one doesn't (partly because of what others might think or say).

#### Literature:

Psychological Self-Help Bibliography by Clay Tucker-Ladd (c2004)

Since the writing of this book has continued from the mid-sixties to now (2005), the references span 50 years or so. In fact, the heyday of self-help in the 1970s followed and was partly inspired by the revolutionary 1960s. Therefore, don't discount some of the older references cited here. The early self-help publications are the proud parents of our somewhat better science-based self-control techniques being developed today

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## THE CHANGING ROLE OF MARKETING IN THE CORPORATION

*Frederick E. Webster, Jr.*

For the past two decades, some subtle changes in the concept and practice of *marketing* have been fundamentally reshaping the field. Many of these changes have been initiated by industry, in the form of new organizational types, without explicit concern for their underlying theoretical explanation or justification. On the academic side, prophetic voices have been speaking (Arndt 1979, 1981, 1983; Thorelli 1986; Van de Ven 1976; Williamson 1975) but seldom heard because, representing several different disciplines, they did not sing as a chorus. More basically, perhaps, few listeners were ready to hear the message or to do the intellectual work necessary to pull the several themes together. Like the Peruvian Indians who thought the sails of the Spanish invaders on the horizon were some phenomenon of the weather and did nothing to prepare themselves for attack (Handy 1990), marketers may ignore some important information in their environment simply because it is not consistent with their past experience.

The purpose of this article is to outline both the intellectual and the pragmatic roots of changes that are occurring in *marketing*, especially *marketing* management, as a body of knowledge, theory, and practice and to

suggest the need for a new paradigm of the *marketing* function within the firm. First, the origins of the *marketing* management framework, the generally accepted paradigm of the *marketing* discipline for the past three decades, are considered. Then shifting managerial practice is examined, especially the dissolution of hierarchical bureaucratic structures in favor of networks of buyer-seller relationships and strategic alliances. Within those new forms of organization, the *changing role* of marketing is discussed and a reconceptualization of *marketing* as a field of study and practice is outlined.

### **Marketing as a Social and Economic Process**

It is sobering to recall that the study of *marketing* did not always have a managerial focus. The early roots of *marketing* as an area of academic study can be found, beginning around 1910, in Midwestern American land grant universities, where a strong involvement with the farm sector created a concern for agricultural markets and the processes by which products were brought to market and prices determined. The analysis was centered around commodities and the institutions

involved in moving them from farm, forest, sea, mine, and factory to industrial processors, users, and consumers. Within this tradition, three separate schools evolved that focused on the commodities themselves, on the *marketing* institutions through which products were brought to market, especially brokers, wholesalers, and retailers in their many forms and variations (Breyer 1934; Duddy and Revzan 1953), and finally on the functions performed by these institutions (McGarry 1950; Weld 1917). All of these approaches tended to be descriptive rather than normative, with the functional being the most analytical and leading to the development of a conceptual framework for the *marketing* discipline (Barbers 1962; Rathmell 1965).

These early approaches to the study of *marketing* are interesting because of the relative absence of a managerial orientation. Marketing was seen as a set of social and economic processes rather than as a set of managerial activities and responsibilities. The institutional and functional emphasis began to change in 1948, when the American *Marketing* Association (1948, p. 210) defined *marketing* as:

The performance of business activities directed toward, and incident to, the flow of goods and services from producer to consumer or user.

This definition, modified only very slightly in 1960, represented an important shift of emphasis. Though it grew out of the functional view, it defined *marketing* functions

as business activities rather than as social or economic processes. The managerial approach brought relevance and realism to the study of *marketing*, with an emphasis on problem solving, planning, implementation, and control in a competitive marketplace.

### **Marketing Management**

The managerial approach to the study of *marketing* evolved in the 1950s and 1960s. Several textbooks using a marketing management perspective appeared during this period (Alderson 1957; Davis 1961. Howard 1957; Kotler 1967; McCarthy 1960). These early managerial authors defined *marketing* management as a decision-making or problem-solving process and relied on analytical frameworks from economics, psychology, sociology, and statistics. The first *marketing* casebook, incorporating a managerial framework by definition, had emerged from of the Harvard Business School very early (Copeland 1920), but without any descriptive material or analytical framework to accompany the cases. *Marketing* management became a widely accepted business function, growing out of a more traditional sales management approach, with an emphasis on product planning and development, pricing, promotion, and distribution. *Marketing* research gained prominence in management practice as a vehicle for aligning the firm's productive capabilities with the needs of the marketplace. The articulation of the *marketing* concept in the mid to late 1950s posited that *marketing* was the principal function of the firm (along with innovation) because the main

purpose of any business was to create a satisfied customer (Drucker 1954; Levitt 1960; McKitterick 1957). Profit was not the objective; it was the reward for creating a satisfied customer.

The managerial focus was not readily accepted by everyone in academic circles, nor was the *marketing* concept completely adopted by industry (McNamara 1972; McGee and Spiro 1988; Webster 1988). In academia, the functionalists and institutionalists held their ground well into the 1960s, stressing the value of understanding *marketing* institutions and functions and viewing *marketing* from a broader economic and societal perspective. Over the previous 50 years, a substantial body of theory and empirical knowledge had been developed and mature *marketing* scholars felt compelled to defend and protect it. The argument against the managerial point of view centered on its inability to consider the broader social and economic functions and issues associated with *marketing*, beyond the level of the firm. For example, the Beckman and Davidson (1962) text, built around a functionalist perspective, and the most widely used text in the field at the time, was promoted as follows: "Balanced treatment of the development and the present status of our *marketing* system; Conveys a broad understanding of the complete *marketing* process, its essential economic functions, and the institutions performing them; Strengthens the social and economic coverage of *marketing* in all its significant implications; Proper emphasis accorded to the managerial

viewpoint" (advertisement, *Journal of Marketing*, April 1962, p. 130). It is the last phrase, "proper emphasis," that implies the criticism that the managerial approach, by itself, is incomplete.

The analytical frameworks of the new managerial approach were drawn from economics, behavioral science, and quantitative methods. The incorporation of the behavioral and quantitative sciences gave important legitimacy to *marketing* as a separate academic discipline. Such frameworks were consistent with the very strong thrust of the 1960s toward more rigorous approaches in management education, encouraged by two very influential foundation studies (Gordon and Howell 1959; Pierson 1959). These studies advocated education based on a rigorous, analytical approach to decision making as opposed to a descriptive, institutional approach which, it was argued, should be held to "an irreducible minimum" (Gordon and Howell 1959, p. 187). The managerial perspective became the dominant point of view in *marketing* texts and journals, supported by management science and the behavioral sciences.

### **Marketing as an Optimization Problem**

Scholars on the leading edge of *marketing* responded with enthusiasm to the call for greater analytical rigor. At the root of most of the new managerial texts and the evolving research literature of *marketing* science was the basic microeconomic paradigm, with its emphasis on profit maximization (Anderson

1982). The basic units of analysis were transactions in a competitive market and fully integrated firms controlling virtually all of the factors of production (Arndt 1979; Thorelli 1986). Market transactions connected the firm with its customers and with other firms (Johnston and Lawrence 1988).

Analysis for *marketing* management focused on demand (revenues), costs, and profitability and the use of traditional economic analysis to find the point at which marginal cost equals marginal revenue and profit is maximized. Behavioral science models were used primarily to structure problem definition, helping the market researcher to define the questions that are worth asking and to identify important variables and the relationships among them (Messy and Webster 1964). Statistical analysis was used to manipulate the data to test the strength of the hypothesized relationships or to look for relationships in the data that had not been hypothesized directly.

The application of formal, rigorous analytical techniques to *marketing* problems required specialists of various kinds. *Marketing* departments typically included functional specialists in sales, advertising and promotion, distribution, and *marketing* research, and perhaps managers of customer service, *marketing* personnel, and pricing. Early organizational pioneers of professional *marketing* departments included the consumer packaged goods companies with brand management systems, such as Procter &

Gamble, Colgate-Palmolive, General Foods, General Mills, and Gillette. In other companies, the *marketing* professionals were concentrated at the corporate staff level in departments of market research and operations research or management science. Examples of the latter include General Electric, IBM, and RCA. Large, full-service advertising agencies built strong research departments to support their national advertiser account relationships. Other large firms, such as Anheuser-Busch and General Electric, also entered into research partnerships with university-based consulting organizations.

Such specialized and sophisticated professional *marketing* expertise fit well into the strategy, structure, and culture of large, divisionalized, hierarchical organizations.

### **The Large, Bureaucratic, Hierarchical Organization**

When we think of *marketing* management, we think of large, divisionalized, functional organizations--the kind depicted by the boxes and lines of an organization chart. The large, bureaucratic, hierarchical organization, almost always a *corporation* in legal terms, was the engine of economic activity in this country for more than a century (Miles and Snow 1984). It was characterized by multiple layers of management, functional specialization, integrated operations, and clear distinctions between line and staff responsibilities. It had a pyramid shape with

increasingly fewer and more highly paid people from the bottom to the top.

The larger the firm, the more activities it could undertake by itself and the fewer it needed to obtain by contracting with firms and individuals outside the organization. The logic of economies of scale equated efficiency with size. The epitome of the fully integrated firm was the Ford Motor Company, and most notably its River Rouge plant, which produced a single, standardized product, the Model A. Ford-owned lake steamships docked at one end of the plant with coal and iron ore (from Ford's own mines) and complete automobiles and tractors came out at the other end. Molten iron from the blast furnaces was carried by ladles directly to molds for parts, bypassing the costly pig iron step. Waste gases from the blast furnaces became fuel for the power plant boilers, as did the sawdust and shavings from the body plant. Gases from the coking ovens provided process heat for heat-treatment and paint ovens (Ford 1922, p. 151-153). Elsewhere, Ford owned sheep farms for producing wool, a rubber plantation in Brazil, and its own railroad to connect its facilities in the Detroit region (Womack, Jones, and Roos 1991, p. 39). Integration required large size. Large size beget low cost.

Large, hierarchical, integrated corporate structures were the dominant organization form as the managerial approach to *marketing* developed in the 1950s and 1960s, and firms created *marketing* departments, often as extensions of the old sales department. Such large organizations moved deliberately, which is to say slowly, and only after careful analysis

of all available data and options for action. The standard microeconomic profit maximization paradigm of *marketing* management fit well in this analytical culture. Responsible *marketing* management called for careful problem definition, followed by the development and evaluation of multiple decision alternatives, from which a course of action would ultimately be chosen that had the highest probability, based on the analysis, of maximizing profitability.

When the world was *changing* more slowly than it is today, such caution was wise in terms of preserving valuable assets that had been committed to clearly defined tasks, especially when those assets were huge production facilities designed for maximum economies of scale in the manufacture of highly standardized products. The task of the *marketing* function was first to develop a thorough understanding of the marketplace to ensure that the firm was producing goods and services required and desired by the consumer. With an optimal product mix in place, the *marketing* function (through its sales, advertising, promotion, and distribution subfunctions) was responsible for generating demand for these standardized products, for creating consumer preference through mass and personal communications, and for managing the channel of distribution through which products flowed to the consumer. Sound *marketing* research and analysis provided support for conducting these activities most efficiently and effectively, for testing alternative courses of action in each and every area.



*Marketing* as a management function tended to be centralized at the corporate level well into the 1970s. *Marketing* organizations were often multitiered, with more experienced senior managers reviewing and coordinating the work of junior staff and relating *marketing* to other functions of the business, especially through the budgeting and financial reporting process. Corporate centralization allowed the development of specialized expertise and afforded economies of scale in the purchase of *marketing* services such as market research, advertising, and sales promotion. It also permitted tighter control of *marketing* efforts for individual brands and of sales efforts across the entire national market. This arrangement began to change in the late 1970s and into the 1980s as the concept of the strategic business unit (SBU) gained widespread favor and corporate managements pushed operating decisions, and profit and loss responsibility, out to the operating business units. Though *marketing* became a more decentralized function in many large companies, it is not clear that the result was always heightened *marketing* effectiveness.

The larger the organization, the larger the number of managers, analysts, and planners who were not directly involved in making or selling products. The burden of administrative costs, mostly in the form of salaries for these middle layers of management, became an increasing handicap in the competitive races that shaped up in the global marketplace of the 1970s and 1980s. More and more organizations found it necessary to downsize and delayer, some through their own initiative

and many more through threatened or actual acquisition and restructuring by new owners whose vision was not clouded by the continuity of experience. Global competition resulted in increasingly better product performance at lower cost to the customer. Rapid advances in telecommunications, transportation, and information processing broadened the choice set of both industrial buyers and consumers to the point that a product's country of origin was relatively unimportant and geographic distance was seldom a barrier, especially in areas where non-American producers had superior reputations for quality, service, and value. In most American industries, companies had little choice but to reduce costs through reorganization and restructuring of assets, as well as through technological improvements in products and manufacturing processes.

### **The Organizational Response**

During the 1980s, new forms of business organization became prominent features of the economic landscape. Even before the forces of global competition became clearly visible, there was a trend toward more flexible organization forms, forms that are difficult to capture with a traditional organization chart (Miles and Snow 1984, 1986; Powell 1990; Thorelli 1986). The new organizations emphasized partnerships between firms; multiple types of ownership and partnering within the organization (divisions, wholly owned subsidiaries, licensees, franchisees, joint ventures, etc.); teamwork among



members of the organization, often with team members from two or more cooperating firms; sharing of responsibility for developing converging and overlapping technologies; and often less emphasis on formal contracting and managerial reporting, evaluation, and control systems. The best visual image of these organizations may be a wheel instead of a pyramid, where the spokes are "knowledge links" between a core organization at the hub and strategic partners around the rim (Badaracco 1991). These forms were pioneered in such industries as heavy construction, fashion, weapon systems contracting, and computers, where markets often span geographic boundaries, technology is complex, products change quickly, and doing everything yourself is impossible. Such organizations today are found in businesses as diverse as glass, chemicals, hospital supplies, book publishing, and tourism.

These confederations of specialists are called by many names including "networks" (Miles and Snow 1986; Thorelli 1986), "value-adding partnerships" (Johnston and Lawrence 1988), "alliances" (Ohmae 1989), and "shamrocks" (Handy 1990). All are characterized by flexibility, specialization, and an emphasis on relationship management instead of market transactions. They depend on administrative processes but they are not hierarchies (Thorelli 1986); they engage in transactions within ongoing relationships and they depend on negotiation, rather than market-based processes, as a principal basis for conducting business and determining prices, though market forces almost always

influence and shape negotiation. The purpose of these new organization forms is to respond quickly and flexibly to accelerating change in technology, competition, and customer preferences.

### **Types of Relationships and Alliances**

There is no strong consensus at the present time about the terminology and typology for describing the new organization forms. However, some important distinctions among types of relationships and alliances are necessary before we can consider the *role* of *marketing* within them. We can think of a continuum from pure transactions at one end to fully integrated hierarchical firms at the other end (Figure 1). As we move along this continuum, we see that firms use more administrative and bureaucratic control and less market control in the pursuit of economic efficiency. One step away from pure transactions is repeated transactions between buyer and seller. The next step is a long-term relationship that is still adversarial and depends heavily on market control. Then comes a real partnership, in which each partner approaches total dependence on the other in a particular area of activity and mutual trust replaces the adversarial assumptions. Prices are now determined by negotiation, subject to some market pressures, rather than by the market itself. The next step is strategic alliances, which are defined by the formation of a new entity such as a product development team, a research project, or a manufacturing facility, to which both parties commit

resources and which serves clear strategic purposes for both. Joint ventures, resulting in the formation of a new firm, are the epitome of strategic alliances. Like their parents, joint ventures are fully integrated firms with their own capital structures, something that other forms of strategic alliance lack. Network organizations are the corporate structures that result from multiple relationships, partnerships, and strategic alliances.

We can now consider how the *role* of the *marketing* function changes in the focal firm as we move along the continuum from transactions to network organizations.

### **Markets and Transactions**

The starting point of this analysis is a transaction between two economic actors in the competitive marketplace. In a pure market form of economic organization, all activity is conducted as a set of discrete, market-based transactions and virtually all necessary information is contained in the price of the product that is exchanged. The *marketing* job is simply to find buyers.

In the traditional microeconomic profit-maximization paradigm, the firm engages in market transactions as necessary to secure the resources (labor, capital, raw materials, etc.) it requires for the production of the goods and services it sells in the competitive marketplace. Each transaction is essentially independent of all other transactions, guided solely by the price mechanism of the free,

competitive market as the firm seeks to buy at the lowest available price.

In addition to the costs associated with the price paid, however, there are costs associated with the transaction itself, what Coase (1937, p. 390) called the "cost of using the price mechanism." These costs include the costs of discovering what the relevant prices are, of negotiating and contracting, and of monitoring supplier performance, including quality and quantity of goods delivered. For Coase, the problem was to explain why, given these "*marketing* costs" (as he called them, p. 394, not "transactions costs," the phrase we use today), the firm did not internalize virtually all exchanges of value rather than depending on the competitive market. Coase proposed that the reason is that costs are also associated with internal performance of value-creation activities, including decreasing returns to the entrepreneurial function and misallocation of resources to activities in which the firm is incapable of creating value to the same extent as a specialist. It is worth noting that this suggestion, stated in an article published in 1937, is very similar to the notion of "distinctive competency" that appeared in the strategy literature more than 50 years later (Prahalad and Hamel 1990).

Pure transactions are rare, though they mark the beginning of the continuum for thinking about types of relationships and alliances and provide a useful starting point for theoretical analysis. In fact, throughout the 1970s, the *marketing* literature emphasized transactions as a central construct and the basic unit of analysis for the *marketing*

discipline (Bagozzi 1975). Some authors even advocated a definition of a transaction that included any exchange of value between two parties, thus broadening the concept of *marketing* to include virtually all human interaction (Kotler and Levy 1969). A pure transaction is a one-time exchange of value between two parties with no prior or subsequent interaction. Price, established in the competitive marketplace, contains all of the information necessary for both parties to conclude the exchange. In a pure transaction, there is no brand name, no recognition of the customer by the seller, no credit extension, no preference, no loyalty, and no differentiation of one producer's output from that of another.

Most transactions in fact take place in the context of ongoing relationships between marketers and customers. Nonetheless, there has been a long-standing and clear tendency for *marketing* practice and theory to focus on the sale, the single event of a transaction, as the objective of *marketing* activity and the dependent variable for analysis. This emphasis on single transactions fits well with the profit-maximization paradigm and the related analytical techniques of optimization. There is no need to consider people or social processes when the units of analysis are products, prices, costs, firms, and transactions.

### **Repeated Transactions -- The Precursors of a Relationship**

One step along the continuum from a pure transaction is the repeated, frequent purchase of branded consumer packaged goods and

some industrial components, maintenance, and operating supplies. In the *marketing* of such products, advertising and sales promotion are key activities and each brand spends aggressively to try to win the customer's preference, loyalty, and repeat purchase. *Marketing's role* is to guide product differentiation and to create preference and loyalty that will earn higher prices and profits. Direct contact between customers and the marketer is unlikely. The sale is the end result of the *marketing* process and, though repeat purchases are important to the economics of advertising and sales promotion activity, there is no meaningful, ongoing relationship between company and customer. Even here, however, the presence of brand loyalty and repeat purchase means we have moved beyond a pure transaction. The rudiments of trust and credibility are present, which can be the foundations of a relationship. Consumers simply find it easier and more convenient to shop in the same store and to buy a familiar brand, thus minimizing the time and effort needed to obtain and process information about different alternatives. Consumers can negotiate more favorable terms of sale from a vendor who is attracted to the possibility of future transactions with them. Relationships make transactions more cost efficient.

The importance of relationships in *marketing* is more clearly seen in industrial markets, though it is now also better understood in consumer markets as resellers have gained increased power and as information technology has put individual consumers in more direct contact with

resellers and manufacturers. Interactive databases are making relational *marketing* a reality for consumer goods. For products such as consumer durable goods, whose benefits are derived over a long period of time rather than being consumed in a single use and for which after-sale service is often required, there is an ongoing relationship with the customer, though responsibility for the relationship is often an issue and a source of conflict between customer, reseller, and manufacturer.

As an historical footnote, Henry Ford never had any doubt on this question. He wrote, "When one of my cars breaks down I know I am to blame" (Ford 1922, p. 67) and "A manufacturer is not through with his customer when a sale is completed. He has then only started with his customer. In the case of an automobile the sale of the machine is only something in the nature of an introduction" (p. 41). Likewise, L. L. Bean's original promise to his customers 80 years ago, what he called his Golden Rule, is now held up as a standard for others to follow:

Everything we sell is backed by a 100% guarantee. We do not want you to have anything from L. L. Bean that is not completely satisfactory. Return anything you buy from us at any time for any reason if it proves otherwise.

These quotations help to underscore the fact that relationship *marketing* is not new in management thinking. However, there appears to have been a fairly long period of time when it was not a top priority for most companies, and it was not part of the basic conceptual structure of the field as an academic discipline.

## Long-Term Relationships

In industrial markets, buyer-seller relationships have typically involved relatively long-term contractual commitments, but even here the relationship was often arm's-length and adversarial, pitting the customer against the vendor in a battle focused on low price. It was common practice for a buyer to maintain a list of qualified vendors who would be invited to submit bids for a particular procurement on a product with specifications drawn in a way to attract maximum competition (Corey 1978; Spekman 1988).

The importance of managing these buyer-seller relationships as strategic assets began to be recognized in the *marketing* literature of the 1980s (Jackson 1985; Webster 1984). Jackson proposed that industrial marketers characterize firms as either transaction or relationship customers and scale the commitment of resources accordingly. In these longer term buyer-seller relationships, prices are an outcome of a negotiation process based on mutual dependence, not determined solely by market forces, and quality, delivery, and technical support become more important. Competitive forces in the global marketplace of the 1980s forced many firms to move significantly along the continuum from arm's-length relationships with vendors and customers to much stronger partnerships characterized by much greater interdependence. In traditional manufacturing businesses such as those in the automobile industry, the world was *changing* so fast that

the standard ways of doing business were passé.

In the 1980s, the automobile industry became the bellwether for new forms of relationship with industrial suppliers (Womack, Jones, and Roos 1991), and it is instructive to look briefly at the auto business specifically. Ford's River Rouge plant was an exception to the way the industry organized production. Ford got into trouble soon after the plant was opened as Alfred Sloan's General Motors began to offer consumers a much wider range of models, colors, and features, and the Model A fell from favor with customers. GM depended heavily on other vendors, including its own wholly owned but independent subsidiaries such as Harrison Radiator, AC Spark Plug, and Saginaw Steering (Womack, Jones, and Roos 1991, p. 138-139), for almost 70% of the value of production. The automobile manufacturers for decades had depended on thousands of vendors, with many vendors for each item, in a system that was fundamentally and intentionally adversarial. Relationships were short-term. Suppliers were adversaries for their customers, competing for an "unfair" share of the economic value created by the use of their products in the customer's manufacturing process. They fought over price. Competition among vendors, through systems of competitive bidding around extremely tight product specifications, was the method by which vendor greed and opportunism were controlled. The largest share of the business usually went to the vendor with the lowest price, though several

others were given smaller shares to keep them involved, to keep pressure on the low price supplier, and to provide alternative sources of supply in the event of delivery or quality problems. Incoming inspection was the key step in quality control and reject rates tended to be high.

### **Mutual, Total-Dependence Buyer-Seller Partnerships**

Global competitors saw an opportunity in all of this. The Japanese manufacturers, in particular, striving to compete in the North American market thousands of miles from home, had learned a valuable lesson: quality does not just sell better, it also costs less. Designing products for manufacturability as well as performance and doing it right the first time costs less than detecting and removing defects later. Quality and low cost depend heavily on a system of strategic partnerships with a small number of vendors that are incorporated in the early stages of product development, a pattern of cooperation virtually unknown in the adversarial sourcing systems of the U.S. manufacturers (Womack, Jones, and Roos 1991). Japanese kanban or just-in-time systems provided a new model for American manufacturers: reliance on one or a few vendors for a particular part who promise to deliver 100% usable product, usually in quantities just sufficient for one eight-hour production shift, on an incredibly tight schedule whereby trucks must arrive within a very few minutes of the programmed time. Higher quality and lower inventory costs and

other related costs resulted from total reliance on a network of sole-source vendors in a system of total interdependence (Frazier, Spekman, and O'Neal 1988).

Firms in the American automobile industry studied their Japanese competitors and attempted to incorporate the lessons learned in their management of procurement and relationships with vendors. The rest of America began to learn from what was happening in the automobile industry, as well as in telecommunications, computers, office equipment, and other fields. American marketers began to see the necessity of moving away from a focus on the individual sale, the transaction as a conquest, and toward an understanding of the need to develop long-term, mutually supportive relationships with their customers. Many of America's premier industrial firms such as GE, IBM, DuPont, Monsanto, and Honeywell restructured themselves around the fundamental concept of strategic customer partnerships with customers such as American Airlines, Ford, Milliken, Procter & Gamble, and the federal government.

Another Japanese institution, the keiretsu, provides yet another model that is shaping the new American organizational landscape (Gerlach 1987). Kanban systems depend on the close relationship of suppliers and subcontractors within the keiretsu. In many respects, the keiretsu are the predecessors of the networks and alliances now emerging in the Western world (not to mention the obvious fact that many alliance partners are, in fact, Japanese firms). The keiretsu are complex

groupings of firms with interlinked ownership and trading relationships. They are neither formal organizations with clearly defined hierarchical structures nor impersonal, decentralized markets. They are bound together in long-term relationships based on reciprocity. The trading partners may hold small ownership positions in one another, but primarily to symbolize the long-term commitment of the relationship rather than strictly for financial gain. A key outcome of this arrangement is great stability in these long-term relationships. Such stability contributes to a sharing of information among the companies and promotes aggressive, long-term growth policies (Gerlach 1987). The experience of Japanese managers with keiretsu and similar forms of interfirm cooperation is a major reason for their greater skill and comfort level in the management of strategic alliances in comparison with American managers (Montgomery and Weiss 1991).

### **Strategic Alliances**

In some cases, the partnership between a supplier and its customer takes the form of an entirely new venture, a true strategic alliance. One of the essential features of a true strategic alliance is that it is intended to move each of the partners toward the achievement of some long-term, strategic, goal. This strategic objective is one distinguishing feature that separates strategic alliances from previous forms of interfirm cooperation. According to

Devlin and Bleakley (1988,p. 18), "Strategic alliances take place in the context of a company's long-term strategic plan and seek to improve or dramatically change a company's competitive position." This definition of strategic alliances, with its emphasis on improving a firm's competitive position, supports the notion that they are an important *marketing* phenomenon. Another important characteristic of strategic alliances is shared objectives and a commitment of resources by both parties.

There are multiple types of strategic alliances; virtually all are within the theoretical domain of *marketing* as they involve partnerships with customers or resellers or with real or potential competitors for the development of new technology, new products, and new markets. Some are new ventures formed between vendors and customers to ensure a smooth flow of raw materials, components, or services into the customers' manufacturing operations. Others are formed between potential competitors in order to cooperate in the development of related or convergent technologies, in the development of a new product or class of products, or in the development of a new market. Some alliances are formed between manufacturers and resellers. All strategic alliances are collaborations among partners involving the commitment of capital and management resources with the objective of enhancing the partners' competitive positions. Strategic alliances are much closer to the hierarchy end of the transactions (market)-

hierarchy continuum, but they stop short of internalizing the functions within the firm itself. Instead, they create a separate entity to be managed by bureaucratic and administrative controls.

### **Joint Ventures**

Joint ventures, as the term is used here, are only one kind of strategic alliance, though the terms are often used interchangeably. The unique feature of a joint venture is that a new firm is created, with its own capital structure, as well as the sharing of other resources. Joint ventures are typically established to exist in perpetuity, though the founding partners may subsequently change their ownership participation. Other types of strategic alliances, such as a product development project, have a finite life by definition. In fact, this finiteness with its inherent flexibility is one of the advantages of strategic alliances in comparison with more traditional organization forms. Interestingly, the joint venture soon faces all of the problems of its parent firms in terms of creating multiple partnerships and alliances and determining its core competence and its unique positioning in the value chain between vendors and customers.

### **Networks**

Networks are the complex, multifaceted organization structures that result from multiple strategic alliances, usually combined with other forms of organization including divisions, subsidiaries, and value-added



resellers. (Some authors have mistakenly used the terms "strategic alliances" and "networks" interchangeably.) The alliances are the individual agreements and collaborations between partners, such as Ford and Mazda in the creation of the new Escort and Explorer automobiles or General Motors and Toyota in the formation of the NUMMI joint venture. General Motors, though still a classic example of a traditional, hierarchical, bureaucratic, multidivisional organization and currently in the throes of a major downsizing (Taylor 1992), is evolving toward a network organization with multiple joint-venture partners including global competitors Toyota, Daewoo, Volvo, Suzuki, and Isuzu, as well as a host of strategic partnerships with vendors. Ford likewise has a large number of partnerships and alliances and is evolving into a network organization.

The basic characteristic of a network organization is confederation, a loose and flexible coalition guided from a hub where the key functions include development and management of the alliances themselves, coordination of financial resources and technology, definition and management of core competence and strategy, developing relationships with customers, and managing information resources that bind the network. In the context of the network organization, *marketing* is the function responsible for keeping all of the partners focused on the customer and informed about competitor product offerings and *changing* customer needs and expectations.

James Houghton, Chairman of Corning, Incorporated, for example, describes his company as a network with alliances as a key part of its structure (Houghton 1989). At the hub of the wheel (Figure 2) is a set of functional specialties such as contract negotiation, legal services, and financial coordination that provide the linkages that bind together technology, shared values, and shared resources. The center is also responsible for establishing priorities and managing the linkages that define the network; information management is a central strategic function and information technology has been a key facilitator of these new organizational forms. Another key responsibility of the center is to define, develop, and maintain the core competencies that are at the heart of the firm's ability to compete successfully in the global marketplace (Prahalad and Hamel 1990). In fact, one of the key core competencies of a network organization may be the ability to design, manage, and control strategic partnerships with customers, vendors, distributors, and others.

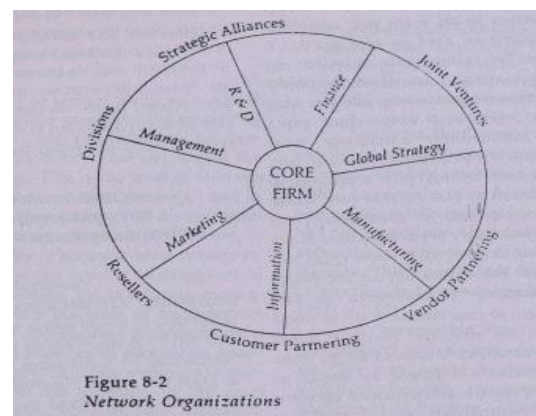


Figure 8-2  
Network Organizations



There is an interesting paradox here: in the move toward strategic alliances, even the largest firms become more focused and specialized in their core activities. They realize that there is an increasingly smaller set of activities that represent true distinctive competence on their part. The trick is to avoid trying to do everything, especially the things they cannot do well, and to find other firms that also need a partner that can do the things the large firm does best. Strategic alliances become a primary tool in developing the firm's core competence and competitive advantage.

To sum up, there is a clear evolution away from arm's-length transactions and traditional hierarchical, bureaucratic forms of organization toward more flexible types of partnerships, alliances, and networks. Within these new types of organizations, traditional ways of organizing the *marketing* function and of thinking about the purpose of *marketing* activity must be reexamined, with focus on long-term customer relationships, partnerships, and strategic alliances.

**At the Business (SBU) Level: Market Segmentation and Targeting, Positioning the Product, and Deciding When and How to Partner**

At the business unit or SBU level, the key strategy question is how to compete in the firm's chosen businesses. This level of competitive strategy is developed by managers in the individual business units. Business strategy is based on a more detailed and careful analysis of customers and competitors and of the firm's resources and skills for

competing in specific market segments (Day and Wensley 1988). The key outcomes of this planning process are market segmentation, market targeting, and positioning in the target segments. A trend of the last decade was to delegate more of the strategic planning process from corporate headquarters out to the individual business units, helping to clarify the distinction between corporate and business-level strategy. These planning activities were historically associated with *marketing* strategy at the corporate level in hierarchical organizations. Clearly, in network organizations, these responsibilities devolve to the business unit level. In fact, at the SBU level, the distinction between *marketing* and strategic planning can become blurred; in some firms these functions are likely to be performed by the same people.

In network organizations, *marketing* managers at the business unit level also have a new responsibility for deciding which *marketing* functions and activities are to be purchased in the market, which are to be performed by strategic partners, and which are to be performed internally. This responsibility applies to the whole range of professional services (*marketing* research, telemarketing, advertising, sales promotion, package design, etc.) as well as to suppliers of raw materials, components, and subassemblies and to resellers. When is a vendor merely a vendor and when is it a strategic partner committed to a mutually dependent long-term relationship in delivering solutions to customer problems? Similar questions must be asked about channel members. In a customer-oriented company,

committed to the *marketing* concept at the corporate level, *marketing* management at the business unit level has a critical *role* in guiding the analysis that leads to answers to these questions. In all cases, the answer will be that which enables the business to deliver superior value to customers in comparison with its competitors. It is the unique characteristic of network organizations that these questions are asked and that the organization form--transaction versus relationships versus hierarchy--remains flexible, depending on what the market requires. In this sense, network work organizations are by definition "market-driven" and represent a maturation of the *marketing* concept.

## **Conclusion**

*Marketing* is responsible for more than the sale, and its responsibilities differ depending on the level of organization and strategy. It is the management function responsible for making sure that every aspect of the business is focused on delivering superior value to customers in the competitive marketplace. The business is increasingly likely to be a network of strategic partnerships among designers, technology providers, manufacturers, distributors, and information specialists. The business will be defined by its customers, not its products or factories or offices. This is a critical point: in network organizations, it is the ongoing relationship with a set of customers that represents the most important business asset. *Marketing* as a

distinct management function will be responsible for being expert on the customer and keeping the rest of the network organization informed about the customer. At the corporate and business unit levels, *marketing* may merge with strategic planning or, more generally, the strategy development function, with shared responsibility for information management, environmental scanning, and coordination of the network activities.

There has been a shift from a transactions to a relationship focus. Customers become partners and the firm must make long-term commitments to maintaining those relationships with quality, service, and innovation (Anderson and Narus 1991). Given the increased importance of long-term, strategic relationships with both customers and vendors, organizations must place increased emphasis on relationship management skills. As these skills reside in people, rather than organization structures or *roles* or tasks, key *marketing* personnel who have these skills will become increasingly valuable as business assets (Thorelli 1986). These skills may define the core competence of some organizations as links between their vendors and customers in the value chain. This common focus on customer value and relationship management may result in much stronger coordination of the procurement, sales, and *marketing* functions in a manner analogous to the merchandising function in retailing firms. Such coordination would be consistent with the two major trends of elimination of boundaries between management functions

within organizations and a blurring of the boundaries between the firm and its market environment. In a world of strategic partnerships, it is not uncommon for a partner to be simultaneously customer, competitor, and vendor, as well as partner. Consequently, it is difficult to keep the traditional management functions distinct in dealing with strategic partners.

Impersonal, mass communications, especially media advertising, are becoming less effective, whereas personal, targeted, special purpose communications have become more important. This change is reflected in the decline of the traditional advertising business--independent advertising agencies developing ads and placing them in broadcast and print media. In their place have emerged global communication companies, international networks of specialists and integrated *marketing* communications mega-agencies working with their multinational clients on specific projects.

The implementation of market-driven strategy will require skills in designing, developing, managing, and controlling strategic alliances with partners of all kinds, and keeping them all focused on the ever-*changing* customer in the global marketplace. The core firm will be defined by its end-use markets and its knowledge base, as well as its technical competence, not by its factories and its office buildings. Customer focus, market segmentation, targeting, and positioning, assisted by information technology, will be the flexible bonds that hold the whole thing together.

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# THE STOCK MARKET AS A GAME: AN AGENT BASED APPROACH TO TRADING IN STOCKS

*Eric Engle*

“If ever there were a field in which machine intelligence seemed destined to replace human brainpower, the stock market would have to be it. Investing is the ultimate numbers game, after all, and when it comes to crunching numbers, silicon beats gray matter every time. Nevertheless, the world has yet to see anything like a Wall Street version of Deep Blue, the artificially intelligent machine that defeated chess grand master Gary Kasparov in 1997. Far from it, in fact: When artificial-intelligence-enhanced investment funds made their debut a decade or so ago, they generated plenty of media fanfare but only uneven results. Today those early adopters of AI, like Fidelity Investments and Batterymarch Financial, refuse to even talk about the technology...Data flows in not just from standard databases but from everywhere: CNN, hallway conversations, trips to the drugstore. ‘Unless you can put an emotional value on certain events and actions, you can't get the job done.’ Naturally, investors don't process this hodgepodge of inputs according to some set of explicit, easily transcribed rules. Instead, the mind matches the jumble against other jumbles stored in memory and looks for patterns, usually quite unconsciously. Often, great investors can't articulate the nature of

their talent. They're like pool players who make incredible trick shots on intuition. ‘Fine for them, but how do you code that?’<sup>1</sup>

## A Taxonomy of Games

A game can be defined as a set of rules (conditionals) with one or more goals (also conditionals) with an outcome of „win“ or „loss“ depending on whether the conditionals are fulfilled.<sup>2</sup> Games can either be positive sum, zero sum, or negative sum.<sup>3</sup> Positive sum games, such as trading goods, are games in which all parties to the game are, in absolute terms, better off as a result. Trading of goods is generally a positive sum game: each party has a good the other good use that it cannot. Both parties are both better off because of the trade. Negative sum games are games in which all parties, in absolute terms, are worse off.<sup>4</sup>

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<sup>1</sup>Carla Fried, „Can technology build a better Buffett?“, (February 2004)

<http://www.cnn.com/2004/TECH/ptech/02/12/bus2.feat.buffett.ai/index.html>

<sup>2</sup> Wikipedia, „Game“, (2004)

<http://en.wikipedia.org/wiki/Game>

<sup>3</sup> Wikipedia, „Non-Zero Sum“, (2004)

<http://en.wikipedia.org/wiki/Non-zero-sum>

<sup>4</sup> Brad Spangler, „Positive-Sum, Zero-Sum, and Negative-Sum Situations“ (2003)

<http://www.intractableconflict.org/m/sum.jsp>

War is an example of a negative sum game. All participants in a war suffer dead and maimed persons and waste riches in mutual destruction. War is often erroneously represented as a zero sum game. In a zero sum game any improvement of one participant's position results in a deterioration of the other participants position.

Just as war is sometimes fallaciously represented as a zero sum game – when in fact war is a negative sum game – stock market trading, a positive sum game over time, is often erroneously represented as a zero sum game. This is called the „zero sum fallacy“<sup>5</sup> – the erroneous belief that one trader in a stock market exchange can only improve their position provided some other trader's position deteriorates.<sup>6</sup> However, a positive sum game in absolute terms can be recast as a zero sum game in relative terms. Similarly it appears that negative sum games in absolute terms have been recast as zero sum games in relative terms: otherwise, why would zero sum games be used to represent situations of war? Such recasting may have heuristic or pedagogic interest but recasting must be clearly explicit or risks generating confusion.

#### Availability of Information

Games can also be classified according to how much information is available to players.

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<sup>5</sup> Wikipedia, „Zero-Sum Fallacy“, (2004)

[http://en.wikipedia.org/wiki/Zero-sum\\_fallacy](http://en.wikipedia.org/wiki/Zero-sum_fallacy)

<sup>6</sup>Wikipedia, „Non-Zero Sum“, (2004)

<http://en.wikipedia.org/wiki/Non-zero-sum>

In a game with perfect information all states are known to all players at all times. Chess or Go are examples of games with perfect information. In a game with imperfect information in contrast, at least some information is not known to some (possibly all) of the players at least some of the time. Card games generally are examples of games with imperfect information.<sup>7</sup> Information may be further distinguished into private knowledge (information known only to one player); public knowledge (information known to all players; share information (known by two or more players); completely unknown by any player.<sup>8</sup>

#### Determinicity

Games can also be classified depending on whether they are subject to random influences. Deterministic games, such as chess or go, have no random elements. Most card games in contrast have random aspects. Interestingly, games with random factors generally also include imperfect information, and deterministic games usually have perfect information. However examples of deterministic games with imperfect information such as Stratego can be found.

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<sup>7</sup> Brad Spangler, „Positive-Sum, Zero-Sum, and Negative-Sum Situations“ (2003)

<http://www.intractableconflict.org/m/sum.jsp>

<sup>8</sup> Wikipedia, „Zero-Sum Fallacy“, (2004)

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Similarly games with perfect information and random elements such as backgammon also exist.

### Opponent Modeling<sup>9</sup>

Opponent modelling is also very relevant to stock market analysis. It is clear that there are various investment strategies – bears, who are sceptical about market performance, bulls who are enthusiastic about market performance, blue chip investors, who seek steady certain gains, and speculators who are willing to take high risks in the hope of great rewards. Each of these strategies is in fact appropriate to a certain investor. Opponent modelling could be used to tell us how the market will behave – if we know the strategies of our opponents, which is not at all certain.

But even if we do not know what the strategies of individual market participants are we may be able to use opponent modelling to help predict how the market moves. Say we know one fourth of all market participants are blue-chip investors, buying only stocks based on their dividends, and we know the remainder of the market is equally divided between three types of investors: bears, bulls, and risk takers. This may be useful to help us to model the movement of the market and to determine

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<sup>9</sup> H. H. L. M. Donkers, J. W. H. M. Uiterwijk, H. J. van den Herik, „Admissibility in opponent-model search“ Information Sciences, Volume 154, Issue 3-4 (September 2003) [http://else.hebis.de/cgi-bin/sciserv.pl?collection=journals&journal=00200255&issue=v154i3-4&article=119\\_aios&form=pdf&file=file.pdf](http://else.hebis.de/cgi-bin/sciserv.pl?collection=journals&journal=00200255&issue=v154i3-4&article=119_aios&form=pdf&file=file.pdf)

whether to buy or sell a given stock at a given price.<sup>10</sup>

Interestingly, opponent modelling has been shown to be superior to MINIMAX if the opponent modelling algorithm has enough time to develop an accurate model of the opponent!<sup>11</sup>

### Agents

An agent is „A system that is embedded in an environment, and takes actions to change the state of the environment.“<sup>12</sup>

Agents have sensors to perceive environment states

and effectors to influence it. States are a representation of the history of a system which in turn determines the evolution of the system.<sup>13</sup>

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<sup>10</sup> University of Massachusetts, Amherst „Glossary of Terminology in Reinforcement Learning“ (2004)

<http://www-anw.cs.umass.edu/rlr/terms.html>

<sup>11</sup> Bo Qian „Research“,

<http://www.arches.uga.edu/~qianbo/Research.htm>

<sup>12</sup> For an agent based approach to market analysis which models the market as a set of agents see: Sérgio Luiz de Medeiros Rivero, Bernd Heinrich Storb, Raul Sidnei Wazlawick, „Economic Theory, Anticipatory Systems and Artificial Adaptive Agents“, Brazilian Electronic Journal of Economics Vol. 2 No. 2. Their model has numerous agents. Aggregate behavior emerges from individual behavior. The agents anticipate the future of the system. Thus the diverse agents are adaptive, autonomous and anticipatory.

<http://www.beje.decon.ufpe.br/rivero/rivero.htm>

<sup>13</sup> Shyam Sunder, "A computer simulation model for portfolio strategy formulation", Proceedings of the 10th conference on Winter simulation - Volume 2 (December 1978)



Agents can be combined with opponent modelling. For example we could create agents as opponents which implement a trading strategy. These agents could even have learning functions to allow them to change their trading strategy based on how they perform compared to the market, other agents or the human player.<sup>14</sup>

In an actor critic architecture one agent would execute trades while another determines whether the trade was a good one<sup>15</sup>

In addition to the „trading“ agents, executing „bearish“ or „bullish“ strategies a „critic“ agent could evaluate the results of other agents to try to determine the optimum trading strategy. This agent could then act as the critic to other agents in an actor-critic architecture.

### Stock Valuation Strategies

There are roughly speaking three tools for analysing the value of a stock.

Technical analysis (TA) looks not at the company, but at the market.<sup>16</sup>

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[http://portal.acm.org/ft\\_gateway.cfm?id=807627&type=pdf&coll=ACM&dl=ACM&CFID=34786322&CFTOKEN=50371462](http://portal.acm.org/ft_gateway.cfm?id=807627&type=pdf&coll=ACM&dl=ACM&CFID=34786322&CFTOKEN=50371462)

<sup>14</sup> Id. at p. 945.

Id. at p. 952.

Id. at p. 949

<sup>15</sup> Id. at p. 945.

Id. at p. 952.

Id. at p. 949

<sup>16</sup> For a listing of examples of AI in technical analysis – especially neural networks – see, Galatea corporation "Primers and Bibliographies" (2001)

Technical analysis evaluates the stock based on its sales prices in the past (opening price, closing price, high, low, trading volume). I think this is a good tool for analysing the value of a stock on a given day – unless exogenous factors such as war or other disaster intervene! The other main tool is fundamental analysis. Fundamental analysis (FA) is much more conservative but also more scientifically well founded. In FA we look at the „hard values“ of the company. How much has it sold? Were its sales profitable? What is the net value of the company? How much debt does the company have? What is the ration of the share price of the company to the book price of the company? What is the ratio of the price of the company to the earnings of the company? Fundamental analysis is much more exacting. It requires us to understand whether the company is on solid footing and why. Technical analysis alone cannot reveal when a company is undervalued or overvalued. Fundamental analysis can tell us when a company is undervalued (which we would then buy) or when it is overvalued (in which case we must not buy it, rather we should sell). Fundamental analysis is the basis of the investment strategy of Warren Buffett, one of the world's richest men and the world's best stock market trader.<sup>17</sup>

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<http://www.voicenet.com/~mitochon/linksource/ai00002.htm>

<sup>17</sup> „Intrinsic value is an all-important concept that offers the only logical approach to evaluating the relative attractiveness of investments and businesses.“ Warren Buffett, "An Owner's Manual" (1996)

<http://www.berkshirehathaway.com/2001ar/o>

A third approach, which seems very unwise to me, is the „efficient market hypothesis“ (EMH). EMH proposes that because stock market information is almost all publically available that the stock market is in a situation of perfect knowledge. Consequently, according to EMH all information is already contained in the current stock price. There are several problems with this. While stock market information is largely public it is not able to be digested by any one actor or even any one company. Thus though information is nearly perfect but there is a vast amount of hidden information. Further, information is not perfectly available.: there is plenty of imperfect information out there – false or misleading analysis, undisclosed large trading and insider trading for examples. Information is not instantaneous nor cost free. Finally, EMH does not provide us any algorithm to determine whether to buy or sell a stock. We would never buy or sell a stock if we took EMH seriously because the price of the stock could never be overvalued or undervalued. The fact that investors like Buffett and Soros consistently outperform the market refutes the random walk theory of the EMH.

#### Future Research

The advantage of a neural network is that it is able to be trained. Its algorithms do not have to be hard coded. Further, the neural network can easily learn and adapt to new

behaviors. However, a lot of the knowledge base in stock market investing can be hand coded.

Future research in agent based stock market trading should look at the following issues:

\*further developing agent trading algorithms such as the reverse strategy, bears, blue chips and conservatives to include:

a) technical analysis, i.e. how the market performance overall influences trading in a specific stock. Most existing research is only concentrating on technical analysis. Fundamentals analysis approaches should not ignore the points made by technical analysis. Fundamental and technical analysis need to complement each other.

b) learning procedures to allow the agents to i) learn about the market ii) learn about the other agents

c) opponent modeling in the stock market. For example, in bear markets the majority of agents may be acting like the bear agent I present. In bull markets the majority of agents may be acting like the fools agent I present. Opponent modeling could take this into account so that the eric agent knows that most other traders are now, say, conservative, and thus it will be a bad time to sell any security.

d) include a critic agent to evaluate the trading strategies of the various agents to try to develop a best trading strategy from the different strategies.

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Prochaska, J. O., Norcross, J. C. & DiClemente, C. C. (1994). Changing for good. New York: William Morrow & Co.

# WHAT IS GOOD PUBLIC DISCOURSE? AN ANNOTATED BIBLIOGRAPHY

*David M. Ryfe*

Abu-Lughod Lila & Catherine Lutz. (1990). "Introduction: emotion, discourse and the politics of everyday life," in Lutz & Abu-Lughod, eds., *Language and the Politics of Emotion*, Cambridge: Cambridge University Press, pp. 1-23. Reviews the history of anthropological study of the emotions in terms of four strategies: essentializing, relativizing, historicizing, & contextualizing. Contributions to the present volume consider emotions as part of particular social and cultural discourses. These discourses shape the performance & assessment of emotions & are inevitably entwined with political negotiations among classes, races & genders in the production of everyday life.

Aldrich, John. (1995). *Why Parties?: the origin and transformation of political parties*. Chicago: The University of Chicago Press. Traces the formation & disintegration of three American political parties from the founding to the civil war period drawing on an institutional analysis. It is argued that political actors form parties to solve problems that current institutional arrangements do not solve. Such problems include those of ambition & office seeking, making decisions for the polity and the problem of collective

action. This framework is applied to the dramatic transformation of political parties in the post-WWII period to explain the trend toward candidate-centered parties. Rather than a deterioration of party power, it is suggested that this transformation has revitalized parties & made them more effective governance institutions.

Ansolabehere, Stephen & Shanto Iyengar. (1995). *Going Negative: how attack ads shrink and polarize the electorate*. New York: The Free Press. The effect of negative advertisements on American politics is investigated drawing on results of several experimental studies. It is shown that politicians employ negative ads because they work; that is, they work to lower the favorability numbers of political opponents. This is particularly true in the case of Republican voters, who are more predisposed to take a jaundiced view of political institutions and politicians, and less true of independents.

Aristotle. (1958). *The Politics*. edited & translated by Ernest Baker. Oxford: Oxford University Press. A classical theory of politics that has been hugely influential in the Anglo-Saxon world, particularly on 17th & 18th

century British political theory. Perhaps its most influential aspect has been in the area of constitutionalism and its relationship to citizenship. According to Aristotle, a good polis was one explicitly erected by those who would come under its province; it in turn would moralize individuals by providing a space in which to become public (which for Aristotle meant truly human) individuals.

Aronovitch, Hilliard. (1997). "The Political Importance of Analogical Argument," *Political Studies*, 45: pp. 78-92. It is contended that analogical argumentation is especially suited for political life because it provides a basis for rational, non-relativist normative claims. Analogical reasoning is defined as reasoning from case to case, by example or paradigm instance. This form of reasoning puts people in a context without confining them to it, allowing for political imagination to work without sacrificing connections to concrete reality.

Arrow, Kenneth. (1963). *Social Choice and Individual Values*. 2nd ed. New York: Wiley. Examines whether or not a procedure can be put in place whereby the individual preferences can be translated into rational patterns of social decision-making within welfare states. It is shown that aggregating individual utilities into a social choice cannot lead to rational actions at the social level because a rational ordering of preferences is impossible. Instead, ordering of any two proposals must rely upon a value choice which is not contained within the aggregation of individual choices. Thus, the only methods for passing from individual preferences to social

preferences are through imposition or dictatorial decision-making. This is not to deny the necessity of making choices for the general welfare, only to stress that such choices are not instrumentally rational, but are the result of ethical judgments made in the context of democratic procedures.

Auletta, Ken. (1991). *Three Blind Mice: how the television networks lost their way*. New York: Random House. Traces the demise of network television news in the late 1980s drawing on ethnographic data. It is shown that this demise began when the networks were bought by larger corporations. These corporations demanded that the news become more profitable just as cable television began to whittle away at the networks' audience share. Between demands for profit and the need to garner a mass audience, the devotion of network news to the public interest was diminished. While in many ways the news has become more visually compelling and attractive, it has also become less useful for large-scale deliberations on pressing public issues.

Avey, Michael. (1989). *The Demobilization of American Voters: a comprehensive theory of voter turnout*. New York: Greenwood Press. Analyzes voter turnout in terms of segments of the voting age population & barriers & stimulants to participation confronted by these segments. Thus, nonvoting is explained less as a consequence of characteristics of nonvoters, such as their socio-economic status, than by the inability or unwillingness of politicians & the political system to reach out to

constituencies on the lower half of the socio-economic ladder. The implication of this theory is that voting rates can be increased without changing the socio-economic status of voters. Instead, actions can be taken at the institutional level to ensure that the system reaches out to under-represented constituencies.

Bagdikian, Ben. (1997). *The Media Monopoly*. 5th ed. Boston: Beacon Press. A major statement of the view that control of the mass media by a relatively few corporations ultimately ends in constraining public discourse. The growth of media monopolies is demonstrated. It is then shown in a variety of ways that public discourse is narrowed by this concentration of media power, so much so that in the end it has produced an enormous gap between ordinary people & their representatives.

Baumgartner, Frank & Jeffrey C. Talbert. (1995). "Interest Groups and Political Change." in Bryan Jones, ed. *The New American Politics: reflections on political change and the Clinton Administration*. Boulder: Westview Press, pp. 93-110. Examines the dynamics of interest group behavior that contribute to political change, focusing particularly on the situation facing President Clinton with that of some of his Democratic predecessors. It is shown that the interest group system has undergone significant changes in recent years. These changes especially have affected two policy areas: the environment & health care. In each of these cases, policy networks that feature a diversity of interests are now well-represented

in the Washington corridors of power. No longer confined to lobbying separately, these interests today form alliances which can change the dynamics of the political system in profound ways.

Beck, Ulrich, Anthony Giddens & Scott Lash. (1994). *Reflexive Modernization: politics, tradition and aesthetics in the modern social order*. Stanford: Stanford University Press. An edited volume that investigates the nature of the shift to a post-fordist, global economy and its implications for politics, culture, and society.

Beer, Francis. (1994). "Words of Reason," *Political Communication*, 11: pp. 185-201. Reviews the linguistic meaning of reason. It is argued that a core meaning of reason is attached to context-cues of behavioral & textual dimensions. Thus, the meaning of reason varies continuously. Thus, reason comes to function as an important rhetorical trope in political discourse, as its very plasticity evokes different images & responses in different settings. A notion of pluralistic reason is defended as one most likely to foster deliberative democracy.

Belenky, Mary Field, et. al. (1997). *Women's Ways of Knowing: the development of self, voice and the mind*, New York: Basic Books. Examines women's ways of knowing and describes five different perspectives from which women view reality and draw conclusions about truth, knowledge and authority, drawing on interview data. These five perspectives include silence, received knowledge, subjective knowledge, procedural

knowledge, constructed knowledge, & family life.

Bellah, Robert, et. al. (1985). *Habits of the Heart: individualism and commitment in American life*, Berkeley: UC Press. Investigates the consciousness, culture & daily practices of average middle-class Americans in four different communities drawing on extensive interviews. It is found that individualism lies at the core of American culture, but that other traditions compete for space in the American psyche, including Biblical & Republican traditions. It is questioned whether modern individualism can sustain an adequate public or private life. Individuals expressed much ambivalence about the loss of social ties caused by an individualism that they cherish. If overcoming deficiencies in individualism cannot mean going back to discriminatory tradition practices, then traditional institutions must reform themselves to speak to the sense of individualism Americans covet. In this way, individuals might begin to reconnect to the communities of memory from which they have sprung.

Benhabib, Seyla & Drucilla Cornell. (1987). *Feminism as Critique: on the politics of gender*, Minneapolis, MN: University of Minnesota Press. An edited volume containing 8 essays which elaborate feminist critiques of gender & politics. These critiques target theories of production, the differentiation between public & private, theories of the unencumbered self, & the constitution of the female subject & the deconstitution of gender identity. Of these themes, particular attention

is given to the relation between the public & the private, especially as it has been described in the work of Jurgen Habermas. A position is sought by the authors which agrees with Habermas' notion of communicative practice, yet avoids the universalizing & gendered aspects of his theory.

Bennett, Lance. (1996). *The Governing Crisis: media, money, and marketing in American elections*. 2nd ed. New York: St. Martin's Press. Traces the current crisis in American governance to several factors: the transformation of electoral campaigns into high-tech communication processes; the increased marketization of politicians & political causes; & the unprecedented flow of money into the political process. Within the dynamic interaction of these factors, citizens have been cut-off from governing institutions, and have developed a deep cynicism toward the political process.

Bennett, W. Lance & John D. Klockner. (1996). "The Psychology of Mass-Mediated Publics," in Ann Crigler, ed., *The Psychology of Political Communication*, Ann Arbor: The University of Michigan Press, pp. 89-110. It is argued that the voicing or silencing of public opinion in the news is constructed through a process based on an ecology of interests. Shared norms among journalists, elites & publics enable these diverse players to judge which voices should be included & excluded from news accounts. In an analysis of a broad spectrum of issues in the news, it is shown that public opinion is either excluded from or discredited in mass media news about foreign policy & macro-economic trends. In contrast,



numerous grass-roots voices are included without qualification in news reports of social, moral & pocketbook economic issues. The result is a dual-democracy, with strong mobilization of opinion in some areas & a much weaker civic culture in others.

Benson, Thomas, ed. (1997). *Rhetoric and Political Culture in Nineteenth-Century America*, East Lansing, MI: Michigan State University Press. A series of close textual readings of important 19th century public documents which inquires into the relation of the text to context, rhetorical forms & genres the intentions of the speaker, the response of the audience & the role of the critic.

Berkowitz, Peter. (1996). "The Debating Society." *The New Republic* 215(November 25): pp. 36-42. A critical review of Amy Guttmann and Dennis Thompson, *Democracy and Disagreement* (1996) which questions their political program for fostering better public debate. Guttmann and Thompson suggest that a set of basic moral principles must underlie public discourse, and in so doing prevent fundamental questions from being raised about them. Moreover, Guttmann and Thompson appear to advocate a form of public discourse in which power will naturally flow to elites like themselves who possess better deliberative skills. It is concluded that their vision of deliberative democracy ends in collapsing the virtues of freedom with the virtues of the classroom, and thus ignores many other qualities that are central to democracy deliberation.

Berman, Sheri. (1997). "Civil Society and Political Institutionalization," *American*

*Behavioral Scientist*, 40: pp. 562-574. Argues that the tendency of research scholarship to examine societal and cultural variables outside their broader context leaves fundamental questions unanswered and misinterprets important dynamics of political development. To know whether civil society activity will have positive or negative consequences for democratic development, one must marry an analysis of societal & cultural factors to the study of political institutions.

Bessette, Joseph. (1994). *The Mild Voice of Reason: deliberative democracy and American national government*, Chicago: The University of Chicago Press. Examines whether or not the modern American Congress over the last fifty years remains the kind of deliberative institution imagined by the framers when they constructed the national governmental framework. The framers believed that Congress ought to be the primary deliberative body in US politics, & would maintain their legitimacy by sharing basic values & goals of their constituents. They defined deliberative democracy as a system of popular government that fosters rule by the informed and reasoned judgments of the citizenry. This implies that aggregated opinions of the kind developed in polls are not conducive to informed judgment. Instead, informed opinions are more likely to be produced by the operation of representative institutions. The modern Congress is found lacking in its obligation to carry out this deliberative duty. It is suggested that legislators ought to make several changes to amend this situation: (1) they should spend



their time with the requirements of deliberation in mind; (2) they should not delegate their deliberative duties to aides; & (3) they should minimize artificial publicity & concentrate on holding meetings in public. Recommendations are also made for the bureaucracy & the executive to assist in the resuscitation of deliberation within the Congress.

Best, Stephen & Douglas Kellner. (1997). *The Postmodern Turn*. New York: Guilford Press. Develops a map of the defining moments in the turn toward postmodernity in various fields. The principle concepts, issues and problems associated with this turn are reviewed. The major sources of postmodern theory in 19th century thinkers such as Karl Marx & Frederick Nietzsche are outlined. Then, different trajectories of the postmodern are traced, including that of the French situationists, developments in postmodern literature, arts and science. It is suggested throughout that these various genealogies of the postmodern amount to a fundamental paradigm shift as Western societies move from modern to postmodern worlds.

Billig, Michael. (1991). *Ideology and Opinions: studies in rhetorical psychology*, London: Sage. Presents a series of studies which aim to develop a rhetorical approach to social psychology. According to this rhetorical approach, the holding of opinions and attitudes is essentially rhetorical and argumentative. This means that opinions and attitudes must be studied in a social context as forms of ideology. The expression of opinions is understood as strategic in that it is concerned

with arguing and persuading, criticizing and justifying, concealing and exposing. Common sense itself is a form of ideological opinion-formation, in that when speakers appeal to common sense they are making use of social stereotypes resonant in the moment. Several case studies are provided to demonstrate these points. Included in these case studies are analyses of the rhetoric of British Young Conservatives, arguments against Fascist propaganda, the case of the British Monarchy & the nature of strong opinions.

Billig, Michael. (1996). *Arguing and Thinking: a rhetorical approach to social psychology*, Cambridge: Cambridge University Press. Argues for the importance of argument in social psychology. The modern model of social psychology is taken to be that of persuasion. This model tends to venerate logical thinking to the neglect of the sort of rhetorical thought which composes imaginative styles of thinking. Further, it overlooks the way in which individual thinking itself is modeled on argumentative structures, & so mirrors public debate. The form of argument is taken to be contrastive: categories are developed & oppositional categories arise to contest these originals. This notion of thinking as argument is applied to the notion of attitudes, the concept of commonsense and the rhetorical flexibility by which individuals express their attitudes.

Black, Jay. ed. (1997). *Mixed News: the public/civic/communitarian journalism debate*. Mahwah, NJ: Lawrence Erlbaum. A collection of essays in which the practice of public journalism is debated. The linchpin of these

debates centers on the term community, how it is defined, what can be expected from it, and what individuals must do to sustain it. On the side of public journalism, it is generally argued that Americans require a common public space in which pressing issues may be addressed. Journalism has a special responsibility for cultivating that space. Critics of public journalism raise a number of dilemmas involving the first amendment, the traditional role of journalists, and the danger of collective thinking within journalism. It is also argued that while public journalism favors public debate, the industry from which it has spawned remains private, closed and unexamined. Rather than compassionate journalism, the critics argue that journalists would do better to return to their primary mission: informing the public of what it needs to know so that it can participate in self-governance.

Blakely, Edward & Mary G. Snyder. (1997). *Fortress America: gated communities in the United States*. Washington, D.C.: Brookings Institution Press. Traces the rapid increase in gated communities in the United States & locates this increase within broader social, cultural & political changes. Gated communities are a response to a felt need among the middle-classes for greater security & peace of mind. In many ways, such communities are simply the latest manifestation of the longstanding desire to create a suburban utopia in the US. However, these communities also divide neighborhoods, encourage privatization and send signals of exclusion. It is suggested that creating better

communities is the appropriate response to the challenge of the gated phenomenon.

Boggs, Carl. (1997). "The Great Retreat: decline of the public sphere in late twentieth-century America," *Theory and Society*, 26: pp. 741-780. Traces the demise of the public sphere in the face of several cultural currents: an anti-political rant against big government; localism, metaphysical politics; the urban revolt of poor inner-city residents; & the deep ecology movement. To reinvigorate the public sphere, there is a need for commonly-possessed information, but this need confronts the global media industries which prevents its satisfaction.

Bohman, James & William Rehg. eds. (1997). *Deliberative Democracy: essays on reason and politics*. Cambridge: MIT Press. An edited volume which brings together several of the most important statements on the theme of deliberative democracy. Writings from Jon Elster, Jurgen Habermas, Joshua Cohen & John Rawls are introduced as seminal statements of the need for deliberative democracy. Nine subsequent essays tackle various problems associated with the concept, especially those that arise as a consequence of the tension between reason and actual political engagement.

Bohman, James F. (1990). "Communication, Ideology, and Democratic Theory," *American Political Science Review*, 84: pp. 93-109. Draws upon Habermas to outline four necessary but not sufficient conditions for genuine democratic decision-making: that they be: (1) formally & procedurally correct; (2) cognitively adequate;

(3) concern issues over which consensus is possible; & (4) free of ideology. Communication that is free from ideology is one that is self-reflective and self-correcting. The result of these normative guidelines is a public sphere that is a space for social learning, criticism & autonomy.

Boorstin, Daniel. (1961). *The Image: a guide to pseudo-events in America*. New York: Atheneum. Argues that Americans have employed their technology and other resources to systematically distort direct experience and confuse clear thinking. This point is demonstrated in a survey of several domains, including the nature of news-making, celebrity in the mass culture, advertising and public relations, and tourism. Americans today prefer their illusions to reality largely because they have outsized expectations of what they can expect from the world. Since these expectations cannot be met in the real world, Americans turn to illusions to satisfy their hopes and dreams. It is suggested that discovering our illusions will not clear our vision, but it is a necessary first step to reclaiming reality.

Brady, Henry, Sidney Verba & Kay Lehman Schlozman. (1995). "Beyond SES: a resource model of political participation," *American Political Science Review*, 89: pp. 271-294. Develops a resource model of political participation. It is shown that time, money and skills are distributed differentially among groups defined by SES. Further, it is demonstrated that these resources have powerful effects on overall political activity, as measured by giving time and/or money to

politics, and voting. Each of the modes of participation: giving time, giving money and voting, is a different kind of activity requiring different configurations of resources.

Brooks, Clem & Jeff Manza. (1997). "The Social and Ideological Bases of Middle-Class Political Realignment in the United States, 1972-1992," *American Sociological Review*, 62: pp. 191-208. Investigates changes in voting behavior among managers and professionals in the US. It is found that among professions there has been a decisive shift away from Republican presidential candidates and toward Democratic candidates. It is suggested that increasingly liberal attitudes toward social issues explains this shift. Party identification and partisan affect are shown to substantially mediate the effects of social group membership, views of the welfare state and attitudes toward social issues.

Brooks, Clem and Jeff Manza. (1997). "Social Cleavages and Political Alignments: US presidential elections, 1960-1992," *American Sociological Review*, 62: pp. 937-946. It is argued that racial & gender social cleavages in the US have widened in recent years, while religious, and class cleavages have declined or remained stable. The net effect has been to create stable overall social cleavage in this period. This finding contradicts other scholarship, which has suggested that political cleavages arising out of social group memberships has declined since 1960.

Brown, Penelope & Stephen Levinson. (1987). *Politeness: some universals in language*, Cambridge: Cambridge University

Press. Makes an argument that politeness, construed in terms of E. Goffmann's notion of face, is a universal feature in human language interactions. This argument is pursued in terms of four points: (1) all model persons have positive face & negative face and are rational agents; (2) it is generally in the interest of two model persons to maintain each other's face; (3) some acts intrinsically threaten face; & (4) the more an act threatens a speaker's or addressee's face, the more the speaker will want to choose a higher-numbered strategy (according to the following tree of actions: on record face-threatening action; with/without redressive action; positive/negative politeness. This argument is pursued in the context of P. Grice's theory of maxims for conversational implicature.

Burnheim, John. (1985). *Is Democracy Possible? the alternative to electoral politics*, Cambridge: Polity Press. Argues that democracy as imagined by democratic theorists is impossible. In its place, it is proposed that most decisions that take place within multi-function agencies can be taken by autonomous specialized agencies that are coordinated by negotiations among themselves or by quasi-judicial arbitration. Participation in this process would be limited to those affected by the decisions in question to the degree in which they are affected. This would entail abandoning elections and referendums and replace them by choosing by lot who is to hold office. This form of government, termed demarchy, is defended as a reasonable proposal given the facts of modern democratic practice.

Burns, Nancy, Kay Lehman Schlozman & Sidney Verba. (1997). "The Public Consequences of Private Inequality: family life and citizen participation," *American Political Science Review*, 91(1997): pp. 373-389. Tests the proposition that because women are unequal at home, they cannot be equal in the polity drawing on survey data. It is found that for husbands, control over major financial decisions & autonomy in using small amounts of time enhance their ability to participate in politics beyond what would be expected on the basis of their other characteristics. In short, being boss at home is politically empowering to husbands. No significant relationship was found between presence/absence of free time at home & women's civic participation. Instead, beliefs about equality are most strongly associated with women's participation.

Burt, Shelley. (1990). "The Good Citizen's Psyche: on the psychology of civic virtue," *Polity*, 23(1990): pp. 23-38. It is suggested that there are three courses of civic virtue in the republican tradition: education of the passions, manipulation of interests and the compulsion to duty. It is suggested that self-interested motives can sustain civic virtue because any threat to the republic will be taken as a threat to private well-being. Thus, individuals will be compelled to take up their public duty through an education of the passions, which allows them to identify threats to their self-interest.

Burt, Shelley. (1993). "The Politics of Virtue Today: a critique and a proposal," *American Political Science Review*, 87(1993):

pp. 360-368. Argues for a distinction between a publicly-oriented and a privately oriented conception of civic virtue. Both liberal and republican notions of civic virtue are taken to be publicly oriented. Problems in their conceptualization are traced to this public orientation. The legitimacy and promise of a privately oriented virtue is shown in a reading of the work of Stephen Elkin and Bruce Ackerman. It is concluded that the challenge of modern politics is to link private virtue to political deliberation.

Calhoun, Craig. ed. (1992). *Habermas and the Public Sphere*. Cambridge: MIT Press. A major edited book which critically assesses the value of Jurgen Habermas' notion of the public sphere outlined in his *Structural Transformation of the Public Sphere* from a variety of angles. Included among the themes are philosophical discussions involving the appropriateness of Habermas' model of public space, historical discussions which situate Habermas' description of the 18th century French & English public spheres in a broader historical view, and communication discussions which touch upon his analysis of the mass media. Included as an appendix to this volume is an important response by Habermas himself.

Calhoun, Craig. ed. (1994). *Social Theory and the Politics of Identity*. Cambridge: Blackwell. An edited volume which takes seriously the notion that identity politics challenges social theory to put identity at the center of its activity. Contributors explore issues of identity from both macro and micro perspectives. The apparent conflict between

collective and personal identities is particularly addressed.

Canary, Daniel, Jeanette Brossmann, Brent Brossmann, & Harry Weger. (1995). "Toward a Theory of Minimally Rational Argument: analyses of episode specific effects of argument structures," *Communication Monographs*, 62: pp. 183-212. Investigates the argumentative structure of interpersonal settings in two experiments. It is found that conversational arguments are expected to change structure in light of issue importance. A scope condition of minimal rationality exists in which parties are expected to elaborate completely on reasons for their positions regarding important issues. Jointly constructed arguments appear to be most effective, leading to consensus & to a positive evaluation of communicators.

Cappella Joseph & Kathleen Hall Jamieson. (1997). *Spiral of Cynicism: the press and the public good*. New York: Oxford University Press. Explores the effects of strategy-driven, conflict-based press coverage on voters and citizens in both campaign and public policy environments. Drawing on analysis of news content frames & the effect of such frames on viewers, it is shown that the overwhelming effect of such coverage is to make the public more cynical about politics & the political process. When politicians, journalists and the public learn to expect less of each other, and of themselves, the result is a spiral of cynicism that ultimately leads to a degraded public discourse.

Cargile, Aaron Castelan & Howard Giles. (1997). "Understanding Language Attitudes:

exploring listener affect and identity," *Language & Communication*, 17: pp. 195-217. Investigates the affect of a speaker's non-standard accent, the fluency of his/her speech & the aggressiveness of his/her message on Anglo-American listeners' mood state and American identity. It is found that speakers experience less pleasure hearing any variety of Japanese accent than after hearing a speaker with a standard American accent.

Chaney, David C. (1994). *The Cultural Turn: scene-setting essays on contemporary cultural history*. London: Routledge. A collection of essays which interrogate various cultural forms of modernity in light of the recent cultural turn within the academy generally, & cultural studies specifically. Such forms as suburban enclaves, shopping malls, mass entertainment, & art & literature are included in the discussion. Although the essays are written to stand alone, all are at least broadly concerned with the difficulty of conducting social historical investigations within a postmodern period.

Charity, Arthur. (1995). *Doing Public Journalism*. New York: Guilford Press. A book on public journalism which grew out of Jay Rosen's Project on Public Life and the Press at New York University. It is specifically devoted to the practice rather than the theory of public journalism, and includes descriptions of the best public journalism projects undertaken across the country. Included in this discussion are segments on the Charlotte Observer ; Cape Cod Times; Dayton Daily News; Spokane Spokesman-review;

Wisconsin State Journal; Virginian-Pilot & the Huntington Herald-Dispatch.

Chen, Guo-Ming & William J. Starosta. (1996). "Intercultural Communication Competence: a synthesis," Brant R. Burleson, ed., *Communication Yearbook* 19: pp. 353-383. A three perspective model of intercultural competence is presented: (1) an affective perspective focused on positive self-concept, open-mindedness, non-judgmental attitudes, and social relaxation; (2) a cognitive perspective representing cultural awareness; & (3) a behavioral perspective representing intercultural adroitness based on message skills, appropriate self disclosure, behavioral flexibility, interaction management and social skills.

Cheney, George. (1991). *Rhetoric in an Organizational Society: managing multiple identities*, Columbia: University of South Carolina Press. Argues that organizational rhetoric is a process of the management of multiple identities drawing on the work of Kenneth Burke. This definition of organizational rhetoric is elaborated in a case study of the development of the US Catholic Bishops' 1983 pastoral letter, The Challenge of Peace. It is shown that organizations are principally involved in negotiating among a number of identities. To be heard within an organization, one must adopt an insider's identity which does not challenge the core identity of the organization as a whole. Organizations face the task of reaching outsiders who may not condone their core identity while not losing authority with insiders. To change their identity,



organizations must ground their arguments in the interests of at least some parts of their organization. This can be especially difficult in a multi-national organization with a diversity of cultural ethnic & national identities.

Cherwitz, Richard & James Hixson. (1986). *Communication and Knowledge: an investigation in rhetorical epistemology*, Columbia, SC: University of South Carolina Press. Develops a rhetorical epistemology in which rhetoric is defined as a description of reality through language. The interface between rhetoric and epistemology is language. Meaning in language is a function of a linguistic unit's embodiment of relations among rhetor, tacit audience and extra-linguistic phenomena. A rhetoric which serves to advance epistemology is one in which the relations among rhetors, extralinguistic phenomena and audience is made explicit; valid inferences are drawn between first-person epistemic judgments and derived knowledge; conclusions are derived through dialogue and preserved in a marketplace of ideas to establish their validity; and the perspective of the rhetor is made plain. Truth within this rhetorical epistemology, knowledge is understood in relational terms as a process of discovery between rhetors in which all perspectives are considered.

Chong, Dennis. (1993). "How People Think, Reason, and Feel about Rights and Liberties," *American Journal of Political Science*, 37: pp. 867-899. Investigates how citizens think and reason about political issues drawing on interviews conducted in San Francisco in which citizens were asked to

consider such topics as crime, human rights, abortion, freedom of expression & homosexuality. It is found that people experience considerable ambivalence over many civil liberties controversies. Most people revise their opinions over time as they uncover different dimensions of the issues. A central tension is a belief in democratic values combined with a fear of granting freedom to groups that violate the norms of society.

Chong, Dennis. (1994). "Tolerance and Social Adjustment to New Norms and Practices," *Political Behavior*, 16: pp. 21-53. Argues that tolerance arises not only out of people's willingness to restrain themselves from punishing those who deviate from social norms. It also depends on the ability of people to assuage fears & anxieties and to reconcile themselves to social change. Because people are able to adapt psychologically to changes in norms and practices, increases in tolerance are not necessarily accompanied by increases in self-restraint, social strain or tension. The process by which people adjust to change plays a critical role in the development and expansion of tolerance.

Citrin, Jack, Beth Reingold & Donald Green. (1990). "American Identity and the Politics of Ethnic Change," *Journal of Politics*, 52: pp. 1124-1154. Investigates the way subjective dimensions of national identity influence the mass public's reactions to the changing ethnic composition of American society drawing on survey data. It is found that normative beliefs about Americanism strongly influence general attitudes toward cultural

minorities. These beliefs contain strains of liberalism & ethnocentrism.

Cloud, Dana. (1998). *Control and Consolation in American Culture and Politics: rhetoric of therapy*, Thousand Oaks, CA: Sage. Examines the rise of therapeutic discourse as a political strategy of contemporary capitalism by which dissent is contained within a discourse of individual or family responsibility. The therapeutic is defined as a set of discourses that have adopted psychotherapy's lexicon: the language of healing, coping, adaptation & restoration of a previously existing order. These discourses work hegemonically to channel social unrest and discontent into individualistic, private-sphere accommodations and adaptations. This thesis is demonstrated in a series of case studies, such as the debate during the Persian Gulf War & contemporary debates on welfare.

Cmiel, Kenneth. (1990). *Democratic Eloquence: the fight over popular speech in nineteenth-century America*. New York: William Morrow & Company. A history of struggles over the American language from the late 17th century to the end of the 19th century. It is argued that the rise of popular democracy in the early 19th century challenged the assumptions of educated public speech. This challenge ultimately produced "middling styles" of speech which privileged informality and common sensical speech patterns. Eventually, these middling styles became patrolled by professional grammarians. However, debates over the proper standard of English continue today, demonstrating a fundamental tension between

the refined & the vulgar which lies at the heart of public speech in a democracy.

Coates, Jennifer. (1993). *Women, Men and Language: a sociolinguistic account of gender differences in language*, 2nd ed., London: Longman. Reviews evidence across the social sciences to establish whether men & women talk differently & if so, why they do. It is found that women use more standard forms of language while men use more non-standard forms. These differences are explained in terms of the relative strength of social networks in preserving vernacular modes of language. Women are found to pursue different interactive styles than men: men dominate mixed-gender conversations, interrupt women more; women use linguistic markers of politeness more, & more hedges. These differences are discussed in terms of power differentials between men & women & their different locations in society.

Cohen, Joshua & Joel Rogers. (1992). "Secondary Associations and Democratic Governance," *Politics & Society*, 20: pp. 393-472. Associative democracy is characterized by a broad commitment to the abstract ideal of a democratic society, and agreement that citizens are equals in respect of certain basic capacities. Six other principles underlie these general conditions: popular sovereignty, political equality, distributive equity, civic consciousness, good economic performance & state competence. Associations have the advantage of dispersing information, equalizing representation, providing citizen education and promoting alternative forms of governance. The core idea of associative



democracy is to curb the mischiefs of faction through a deliberate politics of association while netting such group contribution to egalitarian-democratic governance.

Connor, Steve. (1992). *Theory and Cultural Value*, Oxford: Blackwell. Argues that the question of value necessitates recognition of the radical self-contradiction & paradox of value. The imperative of value is to move toward the better & away from the worse, form of life. This goal cannot be achieved by following either resolutely universalist or relativist principles. Instead, a society must tack between these extremes in a process of constant negotiation & argument. By remaining self-reflexive, the forms & registers of value may multiply in a variety of forms and so fill up a healthy plural conversation. This process will entail both cognitive/ethical & aesthetic/emotional forms of discourse which idealize, reify and displace value forms. It will also require a constant process of translation of value from the terms of one culture to those of another.

Conover, Pamela, Ivor Crewe & Donald Searing. (1991). "The Nature of Citizenship in the United States and Great Britain: empirical comments on theoretical themes," *Journal of Politics*, 53: pp. 800-832. Examines citizens' conceptions of rights, duties, and civic identities in the US & the UK. It is found that in the minds of citizens, citizenship is a complex matter, and that they blend together liberal and communitarian elements. These findings indicate that it is possible to have some of the benefits of communitarianism in a basically liberal polity.

Derrida, Jacques. (1976). *Of Grammatology*. trans. by Gayatri Chakravorty Spivak. Baltimore: Johns Hopkins University Press. A foundational text in the field of deconstruction which traces the significance of a singular insight: any sign—linguistic or otherwise—is structured by difference. One sign is distinguished from another by its difference; the traces of that difference therefore remain within the sign, and are analyzable by a careful deconstruction of texts. One ramification of this notion is that constructs of reason always contain the traces of its opposite, irrationality. Thus, reason and irrationality are closely connected.

Dryzek, John. (1990). *Discursive Democracy: politics, policy and political science*, Cambridge: Cambridge University Press. Constructs a political framework for discursive democracy which reconciles the demands of democracy with the fact of expert rationality. This framework is constructed on the basis of two paradigms: critical rationalism & critical theory. Critical rationalism is defined in terms of: (1) an idealized scientific community; open society, piecemeal social engineering; experimenting society; the real-world approximation of liberal polyarchy; & instrumental and objectivist rationality under criticism. Critical theory is defined in terms of: (1) an idealized speech situation; (2) authentic public sphere; (3) discourse experimentation; (4) discursive designs; (5) the real-world approximation of new social movements; & (6) communicative rationality. Bureaucracies of liberal-democratic states are taken to stand as the major barrier to implementation of these

critical programs. The critical policy sciences are posed against the discourse of opinion research as a viable model for democratizing the sciences. It is concluded that expertise need not erode discursive democracy through techniques of rationalization—but may contribute to democratic dialogue through adoption of the principles of communicative rationality & critical rationalism.

Fendrich, James Max. (1993). *Ideal Citizens: the legacy of the civil rights movement*, Albany: State University of New York Press. Assesses the long-range consequences of participation in the civil rights movement by tracing the careers of prominent ex-activists in Tallahassee, FL since the 1960s. It is found that 1960s activists are ideal citizens, still exercising their citizenship rights & active in communities. This was particularly true for African Americans, less so for white activists. However, both groups demonstrated higher levels of civic engagement than their non-protesting counterparts.

Fischer, Frank & John Forester, eds. (1993). *The Argumentative Turn in Policy Analysis and Planning*, Durham, NC: Duke University Press. Considers the implications for policy analysis of the post-positivist turn toward argumentation in American public culture. Viewing policy planning as argument means that more attention is paid to the day-to-day work that analysis do & the language by which they justify their proposals. It also means paying greater attention to the socio-political context in which policy planners work.

Fischer, Frank. (1993). "Policy Discourse and the Politics of Washington Think Tanks," in Frank Fischer & John Forester, eds., *The Argumentative Turn in Policy Analysis and Planning*, Durham, NC: Duke University Press, pp. 21-42. Argues that liberal elites in the 1960s adopted a technocratic strategy which sought to supplant the less sophisticated opinions of the common citizen with technical arguments. The success of this strategy provoked a conservative backlash. However, instead of returning policy discussions to ordinary citizens, conservatives politicized the policy planning process. The result has been the continued marginalization of citizen participation in policy discussions. It is concluded that new political institutions must be built that permit the public to engage in a much wider range of discourse.

Fisher, Walter. (1989). *Human Communication as Narration: toward a philosophy of reason, value and action*, Columbia, SC: University of South Carolina Press, 1989. It is argued that all forms of human communication must be understood as stories, symbolic interpretations of the world occurring in time and shaped by history, culture and character. On this view, particular forms of discourse should be considered "good reasons," rather than arguments. That is, arguments are merely value-laden warrants for believing and acting in certain ways. This form of narrative rationality is an extension of Chaim Perelman's notion of argumentative competence, adding two new criteria: coherence and fidelity.

Fishkin, James. (1991). *Democracy and Deliberation: new directions in democratic reform*, New Haven, CT: Yale University Press, 1991. Presents the deliberative opinion poll as a mechanism for reconciling the demands of democracy with those of deliberation. In recent years American politics have become more democratic, but at the sacrifice of careful deliberation. To satisfy an ideal democracy, three conditions must be met: political equality, non-tyranny by the majority & deliberation. Political equality is defined as an institutional arrangement in which every individual's preferences are considered & everyone is allowed to formulate their preferences. By non-tyranny is meant that policies must not end in severe deprivations to anyone when other policies were available. And by deliberation is meant the refinement of ordinary opinion by discussion into enlightened understanding. To fulfill these conditions, new structures of representing public opinion are proposed. Among these is the deliberative opinion poll. This poll is defended as serving the goals of both democratic equality & deliberation in the context of a large-scale mass-mediated society, and as being preferable to direct democratic proposals.

Fletcher, George. (1996). "The Case for Tolerance," *Social Philosophy and Policy*, 13: pp. 229-239. A complex notion of tolerance is defended against its critics. This complex notion of tolerance allows individuals to distance themselves from behavior with which they disapprove while allowing that behavior to continue. Notions of respect or indifference

carry moral costs which tolerance does not fall prey to. Tolerance is not perfect, but it enables contrary ways of life to co-exist.

Foss, Sonja & Cindy Griffin. (1995). "Beyond Persuasion: a proposal for an invitational rhetoric," *Communication Monographs*, 62: pp. 2-18. Argues that most theories of rhetoric place a positive value on dominating & changing others. An alternative rhetoric is proposed that is grounded in feminist principles. This rhetoric stresses an invitation to understanding, equality, immanent value & self-determination. Its purpose is to construct a public space of safety, value and freedom.

Foucault, Michel. (1965). *Madness and Civilization: a history of insanity in the Age of Reason*. trans. by Richard Howard. New York: Vintage Books. Traces the history of madness in Western Europe from the end of the 16th century through the 18th century. It is argued that madness could only become a major trope in the consciousness of Europe when rationality was embraced as an ideal. Madness came to serve as the repressed unconscious of a culture enamored with the notion of pure rationality. Thus, rather than a term described a fixed medical condition, the notion of madness has been variable, dependent on the historical context and the manner in which it has been juxtaposed to other seminal cultural tropes.

Frank, Robert. (1988). *Passions Within Reason: the strategic role of the emotions*, New York: W.W. Norton. Argues that emotion may be central to reason, because individuals actions to solve public problems often involve

commitments to behave in ways that may later prove contrary to the individual's interests. Emotions such as guilt, anger, envy and love can motivate individuals to act in ways contrary to a narrow construal of self-interest. A commitment model is proposed which suggests that people can make reasonable inferences about character traits in others, & that these inferences may guide action. This model is contrasted to a self-interest model which suggests that individuals are always guided by narrow self-interests. It is shown that in a variety of situations, people proceed on the basis of reasonable emotional inferences. Moreover, these inferences may open paths of action that are closed off within a strict self-interest model.

Fraser, Nancy. (1989). *Unruly Practices: power, discourse, and gender in contemporary social theory*. Minneapolis: University of Minnesota Press. A collection of essays which engage in various political-theoretical debates of the 1980s. Among these debates are the contribution of Michel Foucault, Jacques Derrida, Richard Rorty, and Jürgen Habermas to political theory & political praxis. Of particular importance is the contribution of these authors to the development of a theoretically and politically savvy feminist political theory.

Fraser, Nancy. (1997). *Justice Interruptus: critical reflections on the post-socialist condition*, New York: Routledge. The post-socialist condition is defined as a sense of skepticism & doubt that pervades the Left after the 1989 revolutions. It consists in the lack of a credible alternative to the present order; a

shift in the grammar of claims-making to group rights; & a resurgent economic liberalism. Essays in this volume are dedicated to moving beyond this impasse. They embrace a politics of identity that can be wedded to a politics of social equality. And they argue for a revised Habermasian public sphere that eliminates social equality; allows the production of a variety of public spheres; considers private as well as public issues; & allows both for strong & weak publics.

Frohock, Fred. (1997). "The Boundaries of Public Reason," *American Political Science Review*, 91: pp. 833-844. Liberalism assumes that a shared form of merit reasoning separate from historical or political influences may adjudicate between incompatible beliefs & interests of various social groups. It is shown that this view of public reason is unintelligible in conditions of deep pluralism, when social disputes are profound & very divisive. In place of merit reason, a form of non-computational reasoning is proposed that allows collective terms to dominate simple merit adjudication. These terms require a survey of considerations beyond the merits of the case at hand and thereby open public reason to the more general needs of the political society. Thus, the juridical, merit form of reasoning is transcended by a more expansive sense of public reason.

Fullinwider, Robert. (1995). "Citizenship, Individualism, and Democratic Politics," *Ethics*, 105: pp. 497-515. Defends a version of Rawlsian individualism against radical critics such as Iris Marion Young, Bonnie Honig & Chantal Mouffe. It is suggested that it may be

possible for individuals to leave behind their particularities on entering the public sphere (to become "citizens") and retain them at another level (but remain Baptists, gay, etc.). Thus, the universal category opens the possibility for particular individuals to enter the public realm and voice their experiences and concerns.

Gallois, Cynthia. (1993). "The Language and Communication of Emotion," *American Behavioral Scientist*, 36: pp. 309-338. Reviews research on the universality and group-based specificity of emotional language and communication. This research is divided into three traditions: the experience of emotion, the social skills involved communicating & reading emotion, & the social rules, codes & styles that structure the communication of emotion.

Ganguly, Keya. (1992). "Accounting for Others: feminism and representation," in Lana F. Rakow, *Women Making Meaning: new feminist directions in communication*, New York: Routledge, pp. 60-82. Discusses feminist contributions to the politics of representation. Efforts to limit representation of women to fixed categories are resisted in favor of a process-oriented understanding. To get at the processes of representation, interpretive constructions of the audience are favored over sociological analyses. Recent feminist post-colonialist writings are discussed as exemplars of efforts to create more nuanced, process-oriented understandings of how representation is produced in practice.

Gargarella Roberto. (1998). "Full Representation, Deliberation and Impartiality," in Jon Elster, ed., *Deliberative Democracy*,

Cambridge: Cambridge University Press, pp. 260-280. Suggests that to fulfill the criteria of both deliberation & full representation, & to create impartial decision-making processes, substantial changes are necessary in the present representative system. These changes include: (1) the acknowledgment of radical pluralism & heterogeneity; (2) the abandonment of the notion that politics is restricted to parliamentary debates; & (3) rejection of the notion that more impartial outcomes will be produced simply by introducing more deliberation. Instead, institutions must be amended to reinforce impartiality.

Gilens, Martin. (1996). "'Race Coding' and White Opposition to Welfare," *American Political Science Review*, 90: pp. 593-604. Assesses the extent to which white Americans' opposition to welfare is rooted in their attitudes toward blacks drawing on survey data. It is found that racial attitudes are the single most important influence on whites' welfare views. While whites hold similar views of black & white welfare mothers, their views of black mothers are more politically potent & generate greater opposition to welfare.

Giles, Howard, Angie Williams, Diane M. Mackie & Francine Rosselli. (1995). "Reactions to Anglo- and Hispanic-American Accented Speakers: affect, identity, persuasion, and the English-Only Controversy," *Language & Communication*, 15: pp. 107-120. An investigation in which subjects listened to pro and con messages in either Anglo or Hispanic-accented English. It

is found that speakers were only influential when their message was not congruent with their identity: Anglos speaking against EoM; Hispanics speaking for EoM. In general, it is found that Anglos experienced more happiness and feelings of national identity when ethnically-similar sounding speakers argued against English exclusivity.

Ginsberg, Benjamin. (1986). *The Captive Public: how mass opinion promotes state power*. New York: Basic Books. A critical history of the rise of the public opinion industries which argues that they have essentially led to the domestication of the public and the promotion of state power. By appearing to cater to the opinions of ordinary citizens while in fact narrowing their ability to participate in the political process, the state succeeds in using opinion polling to legitimize itself in the name of democracy.

Gitlin, Todd. (1980). *The Whole World is Watching: mass media in the making and unmaking of the New Left*. Berkeley: University of California Press. A major study of the mass media's role in shaping the influence of the student movement during the 1960s. By analyzing news frames of this movement, Gitlin demonstrates that the news media function as crucial filters and shapers of this social movement's public image, often in ways that are detrimental to the long-term goals of that movement. Further, it is shown that social movement leaders end up participating in this process, most notably by making themselves available as "stars" of the movement.

Gittell, Marilyn. (1980). *Limits to Citizen participation: the decline of community organizations*, Thousand Oaks, CA, Sage. A comparative study of sixteen organizations' leaderships and memberships involved in education policy-making in three cities. It is found that these organizations had little influence on the decision-making process. The agenda of lower-income organizations was defined by professionals, with little input from the citizens they serve. Further, self-initiated middle-class citizen organizations faced the barrier of professionally-run, mandated and service organizations which approach citizens as consumers & clients. Policymakers interested in stimulating citizen participation are urged to take several steps: encourage organizations to become independent from external funding sources; do not mandate community organizations; & decentralize policymaking.

Gould Carol. (1988). *Rethinking Democracy: freedom and social cooperation in politics, economy and society*, Cambridge: Cambridge University Press. Makes a philosophical argument for the primacy of freedom and the equal right to the conditions of self-development, not only in politics, but in the economy and other areas of social life as well. Freedom is defined not only as a capacity of free choice, but also as an activity of self-development. Both social cooperation and access to material conditions are necessary for self-development, and so necessary for the exercise of freedom. On this basis, it is argued that individuals must have the equal right to participate in those decisions that concern the



common activities which are among the conditions for self-development. These areas of joint decision-making will include not only the political domain, but also the domains of social & economic life. Thus, the value of individual freedom is not only compatible with social cooperation, but the two are largely inter-dependent. To realize this democratic theory, several personal traits are needed in the democratic citizen: initiative, a disposition to social reciprocity which combines the requirements of tolerance and respect; open-mindedness; commitment and responsibility; & communicativeness & sharing.

Granovetter, Mark, (1973). "The Strength of Weak Ties," *American Journal of Sociology*, 78: pp. 1360-1380. It is argued that the degree of overlap of two individuals' friendship networks varies directly with the strength of their tie to one another. This allows relatively weak ties to have tremendous influence on the diffusion of information, mobility opportunity and community organization. It is concluded that relations between groups may be just as important social bonding as relations within groups.

Habermas, Jurgen. (1975). *Legitimation Crisis*. Boston: Beacon Press. Traces the typical patterns of economic, political & social crisis in advanced capitalist societies to a basic crisis of legitimation. Today, the economic system functions in close relation to the state, which is charged with regulating its excesses and ameliorating its crises. Thus, economic crises are routinely shifted into the political system by the government. Of course, the government is unable to finally solve these

crises, but must continually confront them. As this is happening, the political system suffers a crisis of motivation, as the occupational & educational system are unable to maintain the public's motivation to engage in politics, and thus individuals turn more to the consumption of material goods to sustain their psychic selves. The combination of political and cultural crises produces a legitimation crisis for the state. That legitimation is dependent upon its ability to regulate, or to appear to regulate, the economy well enough that consumable goods appear to be available to all individuals equally.

Huckfeldt, Robert, Paul Allen Beck, Russell J. Dalton & Jeffrey Levine. (1995). "Political Environments, Cohesive Social Groups and the Communication of Public Opinion," *American Journal of Political Science*, 39: pp. 1025-1054. Investigates the extent to which the social communication of political information is structured by the geographic distribution of support for presidential candidates in the 1992 election drawing on survey data. It is found that individuals are differentially exposed to larger environments of opinion depending on micro-environmental patterns of social interaction and political communication. Hence, the construction of a citizen's social network serves as a filter on the macro environmental flow of political information. Thus, the influence of larger environments of opinion depend upon the existence of micro-environments which expose citizens to surrounding opinion distributions.

Hughes, Robert. (1993). *Culture of Complaint: the fraying of America*, New York: Oxford University Press. Argues that the US today is characterized by a culture of complaint in which an authority figure is always to blame & the expansion of rights is demanded without corresponding duties & obligations. The result has been a fragmentation of the polity, as groups large and small demand recompense while the sense of common citizenship dissolves. Calls for a return to common sense, which recognizes that all Americans share a common cultural heritage bequeathed from Europe, and that it is characterized by individual freedom, plurality, & reasoned & civil disagreement.

Johnson, James. (1998). "Arguing for Deliberation: some skeptical considerations," in Jon Elster, ed., *Deliberative Democracy*, Cambridge: Cambridge University Press, pp. 161-184. Suggests that arguments in favor of democratic deliberation are misguided in several ways: (1) they misconstrue the difficulties of non-deliberative procedures such as voting; (2) they do not adequately justify the constraints they impose on the range of views admissible to deliberative arenas; & (3) they do not adequately specify the mechanisms at work as parties to deliberation seek to persuade or convince one another. A good argument for deliberation cannot rely on utopian assumptions, must not exclude self-interest or the conflicts deliberation might generate from the range of admissible topics; must specify the mechanisms at work when parties advance arguments to persuade others; must include an

account of the institutional forms that deliberative processes might take; & must include an account both of the sort of effects that we might anticipate from deliberation & of how we might justify those effects.

Kautz, Steven. (1993). "Liberalism and the Idea of Toleration," *American Journal of Political Science*, 37: pp. 610-632. It is observed that the notion of toleration is under attack from various sides: conservatives worry that it weakens civic and moral virtue; democrats believe it is a mask for social inequality; postmodernists argue that it does an injustice to diversity. The classical notion of toleration as "settlement" is defended. According to this understanding, toleration simply means that each party must be willing to make concessions to the just claims of other partisans.

Kuhn, Deanna. (1991). *The Skills of Argument*, Cambridge: Cambridge University Press. Investigates thinking as a form of argument in a study involving interviews with ordinary people & experts in the area of urban social problems. It is found that people generally embrace three types of causal theories: single cause, multiple parallel & multiple alternative. It is found that whatever causal theories individuals embraced, they displayed a high degree of certainty in offering their causal explanations. This epistemological naiveté is taken to be a key to understanding people's limited argumentative reasoning ability. Two basic ways of knowing are discerned: knowing in comfortable ignorance & knowing through a constant effort of evaluating possibilities. The latter form of



arguing is taken to be superior because it entails the ability to reflect upon one's own theory & to consider alternative theories & evidence. Subjects differed vastly in their ability to perform this task. Analysis of experts' ability to argue demonstrated that it is possible to attain expertise in the reasoning process itself. However, expertise in a content area may expand the range of knowledge available, but it also may lead to rigid thinking & an inability to recognize alternative views.

Kuklinski, James, Ellen Riggall, Victor Ottati, Norbert Schwarz & Robert Wyer. (1993). "Thinking about Political Tolerance, More or Less, with More or Less Information," in George Marcus & Russell Hanson, *Reconsidering the Democratic Public*, University Park, PA: The Pennsylvania State University Press, pp. 225-247. Investigates the question of whether deliberation produces better political choices than gut reactions drawing on survey data. Thinking is distinguished from the amount of information people have available to think. This distinction implies that thinking can take place with more or less information. It is found that people generally prefer to express knee-jerk opinions on issues, and that these opinions are largely intolerant. Moreover, when asked to think more about issues, subjects expressed even greater intolerance than before. Only when subjects were exposed to a range of arguments, including those concerning long-run freedom, did their level of tolerance achieve that of their gut reactions. It is concluded that political tolerance alone does

not equal democracy. Rather, democracy entails the ability to recognize complexity and deal with it in a balanced, flexible and even-handed manner. To achieve this goal, citizens must be invited to think about politics in a relatively informed way.

Kurtz, Howard. (1996). *Hot Air: all talk all the time*. New York: Random House. Examines the explosion of political talk shows in the 1990s in the context of a general growth of political commentary, both within & outside the media. The growth of talk is taken to have put an enormous burden on political decision-makers because it often forces them to act before they are prepared to do so. Moreover, the talk show culture has opened political debate to different voices, many of which exist on the margins of the political spectrum, and has changed the nature of journalism. The result of this talk saturation is a general impoverishment of the political culture, and a growing difficulty in achieving consensus on difficult political issues.

Langerak, Edward. (1994). "Pluralism, Tolerance and Disagreement," *Rhetorical Society Quarterly*, 24: pp. 95-106. Argues that a notion of tolerance is needed which at once allows individuals to respect the views of others and to judge that these views are disagreeable, and even to take actions against them on occasion. Thus, a notion of toleration is needed which allows individuals to be intolerant. Such a construction is offered which makes a firm distinction between toleration and respect.

Langerak, Edward. (1994). "Pluralism, Tolerance and Disagreement," *Rhetorical*

*Society Quarterly*, 24: pp. 95-106. Argues that a notion of tolerance is needed which at once allows individuals to respect the views of others and to judge that these views are disagreeable, and even to take actions against them on occasion. Thus, a notion of toleration is needed which allows individuals to be intolerant. Such a construction is offered which makes a firm distinction toleration and respect.

Lasch, Christopher. (1979). *The Culture of Narcissism: American life in an age of diminishing expectations*. New York: Norton. Traces what is termed a culture of narcissism that has developed in the 20th century. This culture is a direct outgrowth of the crisis of capitalism administered by a bureaucratic state & the liberal political theory associated with this economic mode. Various aspects of its growth can be seen in the development of the therapeutic sensibility, the eclipse of the work ethic, the rise of a politics of spectacle and hero worship, the collapse of authority, the erosion of schooling, and a new kind of bureaucratic paternalism. It is suggested that these processes have carried the logic of individualism to an extreme; they have made individual happiness the sole focus of human action; and, they have turned the pursuit of individual satisfaction into the primary political strategy for escaping repressive conditions.

Lash, Scott & John Urry. (1987). *The End of Organized Capitalism*. Cambridge: Polity. A macro-social theoretical discussion which proposes that the era of organized capitalism—defined as a concentration &

centralization of major economic institutions, the growth of large-scale hierarchical bureaucracies, the inter-articulation of states & large monopolies, & the expansion of empires overseas—is currently being replaced by a new form of disorganized capitalism. In the new environment, national markets are becoming less regulated, a new service class is emerging as the working-classes decline, the state & capital increasingly take an antagonistic view toward one another, and a new form of flexible accumulation characterizes the global economy. This new form of economic organization has tended to fragment the cultural and political spheres in the manner that many postmodernist theorists have suggested.

Lazear, Edward P. (1996). *Culture Wars in America*. Stanford: Hoover Institution on War, Revolution and Peace. Examines the extent to which American attitudes toward newcomers & desires by immigrants to become assimilated have changed over time drawing on a variety of empirical data. It is found that these attitudes have changed, and for the worse. New immigrants have clustered in separate communities to an extent greater than in the past, and incentives to assimilate have changed in response to the welfare state. The result is a situation in which large minority cultures may retain their own cultures and speak their own languages for a very long time. This puts these minority groups at an economic disadvantage, but the government puts a floor on consumption levels so that they never experience the economic hardship necessary for them to embrace the cultural

attitudes and skills which will help them to better succeed. To counter this trend, it is suggested that more resources ought to be focused on young children rather than adults because these resources are more likely to have a higher return among that population.

Leighley, Jan. (1991). "Participation as a Stimulus of Political Conceptualization," *Journal of Politics*, 53: pp. 198-211. Tests the proposition that political participation enhances individuals' conceptualization of politics drawing on data from the 1976 American National Election Study. While the hypothesis is generally supported, it is observed that characteristics of the participatory experience (e.g., success of failure) may determine the nature of its effect on conceptualization.

Leighley, Jan. (1995). "Attitudes, Opportunities and Incentives: a field essay on political participation," *Political Research Quarterly*, 48: pp. 181-210. Presents a survey of the literature on political participation. Three broad conclusions are drawn from this analysis: (1) the discipline broadly accepts as a basic model of participation the "standard socio-economic model" which stresses individuals' socio-economic status & civic orientations as predictors of participation; (2) political participation is typically equated with voter turnout; (3) rational choice models have attained a significant theoretical status in the study of political participation.

Levi, Margaret, ed. (1996). "Special Section: Critique of Robert Putnam's Making Democracy Work," *Politics & Society*, 24(1). A special journal section which includes 3

essays criticizing various aspects of Putnam's work.

Levi, Margaret. (1996). "Social and Unsocial Capital: a review essay of Robert Putnam's Making Democracy Work," *Politics & Society*, 24: pp. 45-55. According to Putnam, a dense network of civic engagements leads citizens to trust each other & to produce good democratic government. However, these links are not clear, as membership in one kind of society is not easily translated into addressing free rider problems in another. Putnam has neglected the role of government in creating institutions that foster particular kinds of civic culture. The social capital produced in voluntary associations is not enough to translate into a generalized trust. Thus, Putnam ends in a kind of romanticization of associational life to the neglect of a theory of social capital.

Lichterman, Paul. (1995). "Beyond the See-Saw Model: public commitment in a culture of self-fulfillment," *Sociological Theory*, 13: pp. 275-300. Argues against the notion found in much communitarian thought that a culture of self-fulfillment & political commitment to the public good are incompatible. A case study of membership in a local chapter of the US Green movement is presented to demonstrate that the personalist culture may inform and motivate political commitment. Through personalism, the community shared a dedication to free debate among individuals and stressed personal expression, discussion & consensual agreement. Thus, personalism created a deep resonance and sense of responsibility within

individuals & fostered a culture that defined organization in fluid terms.

Lindblom, Charles. (1965). *The Intelligence of Democracy: decision-making through mutual adjustment*, New York: The Free Press. Compares centrally directed decision making & partisan mutual adjustment as two processes for rational decision making. In partisan mutual adjustment, no central agency directs the relationships of actors with one another. Rather, actors adjust to their antagonists in a number of ways, including adaptively (asking nothing of the other party), or manipulatively (by bargaining, negotiating, discussing, compensating, etc.). Described in this manner, government becomes a process by which political actors engage in partisan mutual adjustment. Common values limit these interactions somewhat, but are also produced in the process of adjustment. Because actors must always adjust to others, partisan mutual adjustment privileges strategic reasoning, which itself produces more reasonable, legitimate, inclusive, consensual outcomes than centralized decision making.

MacIntyre, Alasdair C. (1981). *After Virtue: a study in moral theory*. Notre Dame: University of Notre Dame Press. A major statement in moral philosophy which begins from the premise that morality today is in grave disorder because the prevailing moral idiom is disjointed & conceptually barren. An Aristotelian moral view is outlined in which morality is conceived in terms of shared conceptions of the good. The good is defined in terms of practices relevant to a shared life. As such, individuals can only attain the good,

and hence a moral point of view, by entering into relationships with others.

Mackin, James. (1997). *Community Over Chaos: an ecological perspective on communication ethics*, Tuscaloosa, AL: The University of Alabama Press. Presents an ecological ethic grounded in pragmatic realism & Peircean semiotics as solution to the cynicism, skepticism and fragmentation characteristic of postmodern public discourse. According to this framework, while the relation between signs & objects is tenuous, human beings in dialogue may achieve some semblance of truth by identifying patterns of regularity in our social world. An art of communicative ethics is described based on the Aristotelian notion of virtue as habit that lead to happiness for both the community & the individual & the Peircean notion of fuzzy logic. This art stresses the practice of openness & honesty in public deliberations & the possibility of achieving community through diversity.

Maltese, John. (1992). *Spin Control: the White House Office of Communications and the management of presidential news*. Chapel Hill: University of North Carolina Press. Examines the history of the White House Office of Communications, the primary institution through which presidents attempt to control the public agenda by making presidential news. Richard Nixon created this office in 1969, and it has steadily grown since that time. As it has grown, it has become a more prominent vehicle for staging presidential events, managing administration news, and generally controlling the public

agenda. Developments within each administration from Nixon to Clinton in this are carefully parsed and analyzed.

Manin, Bernard. (1997). *The Principles of Representative Government*, Cambridge: Cambridge University Press. Identifies four principles of representative government which have remained constant over two hundred years since their enunciation by the founders: (1) those who govern are appointed by election at regular intervals; (2) the decision-making of those who govern retains a degree of independence from the wishes of the electorate; (3) those who are governed may give expression to their opinions and political wishes without these being subject to the control of people who govern; & (4) public decisions undergo the trial of debate. Three ideal types of representative government are compared on the basis of these principles: parliamentarianism, party democracy & audience democracy (to denote the growing role of individual personalities in elections). Where in parliaments, discussion is reserved for the parliament, & in party democracy in inter- & intra-party negotiations, audience democracy locates discussion in the negotiations between interest groups & the government, & in debates in the media which seek to attract the attention of the floating voter. It is suggested that recent alarm at a crisis in representative democracy is nothing more than anxiety about the nature of the institutions in audience democracy—they do not reflect the erosion of the four principles of representative government.

Mann, Thomas & Gary Orren. eds. (1992). *Media Polls in American Politics*. Washington, D.C.: The Brookings Institution. An edited volume which investigates the role of opinion polls in contemporary political reporting. Contributors include leading pollsters, media critics and scholars of the political process. Attention is paid to the evolving technology of polling, typical errors made by pollsters and the media who cover them, and the impact of polls on both the public and reporters. Throughout, it is argued that polls can be a constructive part of American public life, but only if they are used to report rather than create the news.

Mansbridge, Jane. (1980). *Beyond Adversary Democracy*. New York: Basic Books. Draws upon case studies of a small New England town governed by a town meeting & a small democratic workplace to outline a theory of unitary democracy. In the more traditional adversarial theory of democracy, it was assumed that a good politics took place through conflict, the protection of individual interests, majority rule and a secret ballot. This traditional model is rejected in favor of a unitary democracy that favors common interests, equal respect, consensus, and face-to-face deliberation. It is concluded that the task before American citizens is to unify these two different kinds of democracies into a single institutional framework that allows individuals both to advance their interests & to resolve conflicts.

Margolis, Howard. (1982). *Selfishness, Altruism, and Rationality: a theory of social choice*. New York: Cambridge University

Press. Develops a model of social choice which is capable of explaining the existence of public goods. Traditional models of social choice, which suggest that individuals make social decisions based on their rational self-interest, are unable to explain why any public good is ever created. It is suggested that individuals respond to three kinds of interest: individual, group and participative. Under normal circumstances, they seek not to achieve self-interest, but to balance these three interests. It is this balance which gives individuals a sense that they have done their fair share. The utility of the model for explaining social behavior is demonstrated in an analysis of several examples.

Massey, Douglas, Andrew Gross & Kumiko Shibuya. (1994). "Migration, Segregation and the Geographic Concentration of Poverty," *American Sociological Review*, 59: pp. 425-445. Analyzes patterns of African-American mobility and white mobility in US cities. drawing on US Census data. It is found that the geographic concentration of black poverty has not been caused by out-migration of non-poor blacks. Rather, it is caused by residential segregation of African-American in urban housing markets.

Matusow, Barbara. (1983). *The Evening Stars: the making of the network news anchor*. Boston: Houghton Mifflin. Traces the emergence of the network news anchor as the singular figure of television evening news. Included in this history is a description of Edward R. Murrow's legacy for the network news anchor, and the rise of the first television news "stars," such as Walter Cronkite, Dan

Rather, Peter Jennings, Harry Reasoner, and Barbara Walters. The production of these individuals as television stars is discussed in the context of a general trend toward making television news more entertainment-oriented.

McCarthy, Thomas. (1992). "Practical Discourse: on the relation of morality to politics." in Craig Calhoun. ed. *Habermas and the Public Sphere*. Cambridge: MIT Press, pp. 51-72. Critically examines Jurgen Habermas' notion of practical discourse. It is suggested that within this notion persists a fundamental tension between situated reasoning & the kind of transcendent reasoning necessary to achieve rational consensus. Ultimately, this tension seriously troubles Habermas' notion of the public sphere, which at once depends upon situated discourse & the possibility of transcendent discourse. Because Habermas has failed to resolve this tension, suspicion is cast on his democratic theory as a whole, which depends upon the ability to achieve rational consensus on deeply conflictual issues.

McGerr, Michael. (1986). *The Decline of Popular Politics: the American North, 1865-1928*. New York: Oxford University Press. Traces the demise of the party system to the activities of a relatively small group of late-19th century northern liberal reformers who were affronted by the excesses and spectacularism of party politics. These reformers eventually succeeded in transforming politics into a matter of education and information rather than of public display. However, this political form soon was challenged by a form of consumer politics advanced by the mass media. The



result is a politics much more individualistic than collective, more concerned with knowledge than with commitment, and ironically, unable to attract the attention and participation of even a majority of the electorate.

McLeod, Douglas & Elizabeth Perse. (1994). "Direct and Indirect Effects on Socio-economic Status on Public Affairs Knowledge," *Journalism Quarterly*, 71: pp. 433-442. Draws on survey data in Wisconsin to demonstrate that a strong relationship exists between SES and public affairs knowledge. The evidence suggests that there is a strong relationship between perceived utility of information & news media use & SES.

McManus, John H. (1994). *Market-Driven Journalism: let the citizen beware?* Thousand Oaks: Sage. Examines the process by which market-oriented logic has been applied to news drawing on data from four television stations located in the western United States. It is found that as journalism has become more market oriented, the news has tended to value wealthier audiences more than poorer ones. Moreover, while market-driven news does attract larger audiences, and hence act to integrate audiences, it does so by offering those audiences more entertainment and less information. This was done not by adding entertainment to information to produce "info-tainment," but by displacing or distorting information in favor of whatever producers believed would attract the most attention at the least possible cost.

Mill, John Stuart. (1978). *On Liberty*. edited by Elizabeth Rapaport. Indianapolis:

Hackett Publishing Co. A seminal text of liberal political philosophy which advances the principle that individuals in political society ought to be free to exhibit their individuality to the extent that this exhibition does not harm others. The state is therefore prohibited from violating the liberty of individuals except in cases in which that liberty may unduly curtail the liberty of others.

Neustadt, Richard E. (1990). *Presidential Power and the Modern Presidents: the politics of leadership from Roosevelt to Reagan*. New York: The Free Press. The standard textbook of presidential politics which advances the proposition that presidential power is largely contained in the power to bargain. Possessing few explicit political instruments, presidents of necessity must enter into relationships with other political actors in Washington to achieve their goals. Their power within these relationships is largely determined by their reputation among Washington elites & their prestige with the public (as measured by public opinion polls).

Newton, Kenneth. (1997). "Social Capital and Democracy," *American Behavioral Scientist*, 40: pp. 575-586. Identifies three aspects or dimensions of the notion of social capital: norms (especially trust), networks and consequences. Various models of democracy are discussed in relation to social capital, including communal society, Tocqueville's model of voluntary associations, & modern democratic forms based on abstract trust, education and the media.

Nie, Norman, Jane Junn & Kenneth Stehlik-Barry. (1996). *Education and*

*Democratic Citizenship in America*, Chicago: The University of Chicago Press. Considers the extent to which education influences how knowledgeable citizens are, how attentive they are, how regularly they vote, how active in politics they are beyond the vote & how tolerant they are of the free expression of unpopular views drawing on data from the 1990 Citizen Participation Study. A consistent relationship is found between formal educational attainment and seven attributes of enlightened political engagement. Education has a strong positive influence on political knowledge, political participation and voting, attentiveness to politics and tolerance. Political enlightenment is disaggregated from political engagement. It is found that verbal proficiency links education to attributes of democratic citizenship through a cognitive pathway, while social network centrality ties educational attainment to enlightened political engagement through a positional pathway. The two together, verbal acuity and social networks, combine to shape the configuration of democratic citizenship. This implies that those closest to the institutions of political discourse will have a greater ability to express their political views, and that this positioning is largely determined by educational attainment. Formal equality is impossible because of the inherent scarcity of political access. In the future, as equality in access to education becomes greater, so will the weight given to where that education was received. Moreover, the US is experiencing something of an educational inflation, as people are spurred by competition to attain greater formal education

than is necessary for the position in the economy. Thus, more education is not likely to create more social capital, but rather to spur more social competition.

Nino, Carlos Santiago. (1996). *The Constitution of Deliberative Democracy*, New Haven: Yale University Press. Proposes a theory of constitutionalism which traces its legitimacy to three elements: a historical constitution, democratic or participatory processes & the protection of individual rights. It is suggested that deliberative democracy best accounts for the challenges of instituting these principles in a constitutional order. This democratic design is preferable to utilitarianism, the economic theory of democracy, elitism, pluralism or consent theory because it sees democracy as inextricably entwined with morality & relies on its power to transform people's preferences into morally acceptable ones. Thus, deliberative democracy contains great epistemic advantages. An institutional arrangement which might bring deliberative democracy into being includes: (1) mechanisms for direct democracy; (2) a mixed media system; (3) dispersed sovereignty; (4) a mixed presidential/parliamentary system; & (5) the presence of an entrenched constitution interpreted by a judiciary intent on protecting its most treasured aspects.

Norris, Pippa. (1996). "Does Television Erode Social Capital: a reply to Putnam," *PS: Political Science & Politics*, 29: pp. 474-449. Rebuts Robert Putnam's (1995) argument that television erodes social capital. Using data from The American Civic Participation Study



(1990), it is shown that the amount of television viewing supports Putnam's argument, but other evidence regarding what Americans watch does not. A diversity of news sources are associated with healthy aspects of democratic participation. Further, Americans are a nation of joiners, when compared to other countries, and television has not slowed this tendency.

Nussbaum, Martha. (1986). *The Fragility of Goodness: luck and ethics in Greek tragedy and philosophy*, Cambridge: Cambridge University press. Examines the aspiration to make the goodness of human life safe from luck in Greek ethical thought through the controlling power of reason. Greek thought was consumed by the relation between luck & the good life. Plato tried to insulate humans from the force of luck, but Aristotle returned to the lessons of tragedy to describe a form of practical rationality. This form of practical rationality entails seeking ethical truth through dialogue with one another that is based upon the values & judgments they already hold dear. This rationality aims at both activity & receptivity, a limited control balanced by limited risk, & a good life lived along with friends, loved ones and community. Exposure and risk in this analysis become not things to be guarded against, but as elements that bind people more closely to one another. Within this rationality, purity & simplicity erode the richness & complexity of human life. Practical rationality demands that compassion for the contingency & risk of human life be a principle feature of human relations.

Polsby, Nelson. (1983). *Consequences of Party Reform*. Oxford: Oxford University Press. Explores the impact of party reforms made in the late 1960s and early 1970s on the activities of political actors. These reforms were of two types: reforms of the delegate selection process and reforms of party finance. These reforms have had wide-ranging effects, from the way political actors conduct their business, to the role of interest groups and the news media in the political process. The consequences of these reforms have been mixed: they have opened the political process to many more types of individuals and groups which were once excluded. At the same time, they have made political choices more difficult to make, degraded public deliberation in significant ways, and polarized politics to a great degree.

Popper, Karl. (1945). *The Open Society and Its Enemies*, vols. 1-2, London: Routledge. Contrasts the closed society, defined as a society organized according to tribal or collectivist customs, with an open society, defined as one in which individuals are confronted with personal decisions. Western societies are described as open, a legacy of their Greek ancestors. But they are endangered by impulses to collectivism & tribalism, which threaten their freedom & their ability to use their reason to produce knowledge of the world & inform their political decisions. These dangers are likened to Plato's ideal society in that they seek to achieve a perfect order by the suppression of individual freedom. It is only when society allows its members to use their faculty of

reason that the open society can be maintained.

Portis, Edward. (1986). "Citizenship & Identity," *Polity*, 18: pp. 457-472. Argues that both citizenship and long-term political support must be seen as communal in nature because of the impossibility of a completely instrumental commitment to social affairs. Individuals must define themselves in social terms, and for this reason alone they must value relevant social entities as meaningful in themselves.

Przeworski, Adam. (1998). "Deliberation and Ideological Domination," in Jon Elster, ed., *Deliberative Democracy*, Cambridge: Cambridge University Press, pp. 140-160. Argues that deliberation may lead people to hold beliefs that are not in their best interest. In the process of deliberation, people may alter their preferences, either because they now see new causal relationships between decisions & outcomes or they have been persuaded to adopt new values. Through deliberation, people become locked into equilibria & these equilibria have distributional consequences.

Putnam, Hilary. (1990). *Realism with a Human Face*, Cambridge: Harvard University Press. Defends a version of internal realism in which truth is understood in terms of ideal epistemic situations. Truth, so defined, is a statement which could be verified were epistemic conditions ideal. This view is contrasted to metaphysical realism, which assigns truth to certain statements which can be verified through abstract logical maneuvers. It is defended through appeal to the work of Kant, Wittgenstein, & Cavell. It claims that

reason is a grounded activity of interacting with others, establishing the truth of things in a given situation & acting on those truths. It thus melds facts & values, the rational & the emotional, in the pursuit of understanding & explaining human experience.

Putnam, Robert. (1995). "Tuning In, Tuning Out: the strange disappearance of social capital in America," *PS: Political Science & Politics*, 28: pp. 664-683. Defines social capital as features of social life, networks, norms and trust, that enable participants to act together more effectively to pursue shared objectives. This form of social capital is decreasing in the US. Various factors are identified to explain this trend: education, pressures of time & money, mobility and suburbanization, the changing role of women, the breakdown of the family, race and the rights revolution, and the rise of the welfare state. However, controlling for these variables, television turns out to be strongly associated with the erosion of social connections. It is argued that television erodes social capital by taking up time, affecting the outlook of viewers & influencing childhood education.

Putnam, Robert. (1996). "The Strange Disappearance of Civic America," *The American Prospect*, 24: pp. 34-48. Investigates the erosion of civic activity among Americans. A variety of empirical data are presented to demonstrate that Americans born between 1910 and 1940 are much more likely to engage in civic activity than Americans born after this period. Education is found to be most strongly correlated with civic engagement in all its forms. Various forces are identified as causal

mechanisms of the decline of civic participation: pressures of time & money, mobility, changes in the marriage structure, the rise of the welfare state & white flight in the face of civil rights laws for blacks. But television is considered the prime suspect in the decline of civic activity.

Rauch, Jonathan. (1994). *Demosclerosis: the silent killer of American government*. New York: Times Books. Argues that the problem of American democracy is not that elites are too far removed from citizens, but they are not removed enough. In the past few decades, a dizzying array of interest groups have emerged in Washington to campaign for the interests of nearly every kind of group. In the process of this interest group politics, efforts to reach consensus on pressing public problems have been stymied. It is suggested that to improve American politics, it will be necessary to make politicians less responsive to the immediate demands of interest groups, and thus more accountable for promoting the public interest.

Rawls, John. (1971). *A Theory of Justice*. Cambridge: Belknap Press. The seminal text in post-WWII American liberal political theory which argues that political justice is achieved when free and rational persons in pursuit of their own interest accept in an initial position of equality the terms of their political association. This theory of justice is termed, "justice as fairness." The principles outlined in the original position of equality are to regulate all further agreements, and to determine the level of cooperation necessary to achieve those agreements.

Rawls, John. (1993). *Political Liberalism*. New York: Columbia University Press. A volume which updates Rawls' Theory of Justice (1971) by taking into account the comments of critics over the past twenty years. A particular revision of the theory has to do with the normative grounds on which a notion of justice may be legitimized. In the original theory of justice, these grounds were simply assumed as a kind of Kantian a priori. In the present volume, they are instead situated within the Western, and in particular, the American, political and cultural traditions.

Reynolds, Charles & Ralph Norman, eds. (1988). *Community in America: the challenge of Habits of the Heart*, Berkeley: UC Press. An edited volume which offers commentary & critique on Robert Bellah, et. al.'s *Habits of the Heart*. The most trenchant criticism is that Bellah's effort to restore the meaning of citizenship & refocus on the common good ends in a kind of dangerous conservatism that squashes dissent. Pluralism by definition is ambivalent, ambiguous, & conflictual, & any effort to stamp out these elements will by its nature undermine diversity.

Reynolds, Charles & Ralph Norman, eds. (1988). *Community in America: the challenge of Habits of the Heart*. Berkeley: University of California Press. An edited volume which reviews, analyzes and critically appraises Robert Bellah et. al.'s *Habits of the Heart*. The notions of culture, practical reason, civic practice & religious practice developed in that book are examined in separate sections of essays. Robert Bellah's response to contributors' objections is included.

Rieff, Philip. (1968). *The Triumph of the Therapeutic: uses of faith after Freud*. New York: Harper & Row. Diagnoses the dilemma of modern societies in terms of the rise of a therapeutic sensibility which puts personal well-being above all other qualities of a good life. This sensibility is traced to Freud, and its triumph in our culture is taken to be a result of the creation of new technologies that allow the economy to run relatively free of human supervision. The culture of the therapeutic is taken to have dissolved feelings of cultus, or belonging, which once sustained individuals, and so to have eroded the social bonds which once provided the glue of society.

Riker, William. (1980). "Political Trust as Rational Choice." in Leif Lewin & Evert Vedung. eds. *Politics as Rational Action: essays in public choice and policy analysis*. Boston: D. Reidel, pp. 1-24. Argues that rational calculations underlie trust in political interactions. It is shown that individuals can rationally calculate their level of trust in political interactions. These calculations can take the form of pure utilitarianism, learning, rules of thumb or introspection. But every method yields a better than random chance of predicting when it is useful to trust. It is concluded that institutions are often arranged so that rational calculations of trust can be made quickly and firmly.

Schrag, Calvin. (1992). *The Resources of Rationality: a response to the postmodern challenge*, Bloomington, IN: Indiana University Press. A response to the postmodern argument against modern reason & rationality which suggests that rationality is

transversal to the multiplicity of our discursive & nondiscursive practices. In the guise of three moments of communication praxis: discerning & evaluating critique, interactive articulation; & incursive disclosure, reason cuts across the play of discourse & action, word & deed, speaking & writing, hearing and reading. Reason on this view is not universal & transcendent, but a set of techniques created over time for critique, articulation & disclosure. As a transversal phenomenon, reason stands neither above human beings more horizontal to their everyday concerns. Rather, it is between the universal & the particular, a shifting back and forth between the two perspectives. It is in this middle-ground that the resources of rationality afford human beings the possibility of freedom & progress.

Schudson, Michael. (1989). "The Sociology of News Production Revisited." *Media, Culture & Society* 11: 263-282. A review of three basic approaches to explaining the production of news: a political-economy approach which focuses on macro-economic structures; an organizational approach which concentrates on the routines and practices of news organizations; & a culturalogical approach which focuses on the aspects of narrative, voice and image which serve to structure the news. It is suggested that the culturalogical approach is most in need of development.

Schudson, Michael. (1997). "Sending a Political Message: lessons from the American 1790s," *Media, Culture & Society*, 19: pp. 311-330. Reviews the public sphere of the

early American state to argue that public spheres do not only differ according to degrees of democracy, deliberation & exclusion, but also on kinds of democracy, deliberation & exclusion. Different political structures will configure these qualities in different ways, and so create different possibilities for political communication.

Schudson, Michael. (1998). *The Good Citizen: a history of American civic life*. New York: The Free Press. Traces the history of citizenship in the United States in terms of three stages: citizenship as deference; citizenship as affiliation; & citizenship as individual rights. These stages roughly correspond to the early Republic, the long 19th century party period, & the 20th century, respectively. Within this history, the assumption that politics is today degraded, and that citizenship is dissolved, is consistently challenged. It is argued that citizenship is not worse, only different from prior manifestations, and that comparisons with prior forms are useless because the conditions which supported them are no longer apparent. Moreover, there is much that is good in a conception of citizenship as individual rights.

Seidman, Steven. ed. (1994). *The Postmodern Turn: new perspectives on social theory*. New York: Cambridge University Press. An edited volume which presents seminal challenges to the Enlightenment paradigm of social knowledge. Together, these writings represent the best expression of postmodern theories of knowledge. Included among these statements are writings of Michel Foucault, Richard Rorty, Jean-Francois

Lyotard, Donna Haraway, Judith Butler, Zygmunt Bauman & Nancy Fraser, among others. Contributions engage with major themes in postmodern theory, such as the crisis of representation, the nature of knowledge as a form of narrative, and the political significance of postmodern critique. The volume also includes several empirical illustrations of the postmodern sensibility.

Seligman, Adam. (1992). *The Idea of Civil Society*, New York: The Free Press. Traces the development of the idea of civil society from the 18th century to the present. From the 18th century onward, the idea of civil society developed along two lines: post-Hegelian Marxist & Anglo-American. In the Anglo-American edition, animated by the Scottish Enlightenment, civil society was defined as a realm of solidarity held together by the form of moral sentiments and natural affections, particularly by the rule of reason. In this tradition, civil society was separated from ethical society, which was thought to be located in the private sphere. In contrast, the Hegelian tradition understood civil society as an embodiment of an ethical ideal. In Hegel, civil society is historicized, posited to be an arena of conflicting interests, the transcendence of which produces a new ethical unity. Marx jettisons this notion of ethical unity, but keeps the notion of conflict of interests historically negotiated. In the late 19th century, the idea of citizenship came to replace the problem of civil society as the locus of social conflict. Issues of participation & values of membership came to the forefront. Universal reason became embodied in the idea

of universal citizenship. This was a paradoxical move which produced a number of contradictions, most notably between collective solidarity & individualism. In the 20th century, these contradictions have been manifested in debates about social trust. Civil society assumes a certain level of social trust, but does not provide the conditions in which such trust can be established. Thus, proposals such as those of Habermas' discourse ethics founder on the shoals of the issue of trust. Civil society is taken to have been an idea rooted in a prior age which has little relevance for contemporary politics—particularly for the situation of Eastern Europe.

Spragens, Thomas. (1990). *Reason and Democracy*, Durham, NC: Duke University Press. Reflects upon the role of reason in democratic deliberation. The notion of rationality has long been a central feature of Western political theories, however, recent accounts of political rationality have been narrow & inadequate. This narrowness has been due to the pre-eminence of a calculative ideal in political theories of rational decision-making. An alternative form of the rational political enterprise is proposed. This rational enterprise is one in which autonomous persons are oriented to the attainment of the common & individual human good. The central institutional feature of this orientation is practical discourse, which both defines the common good & places constraints on the principle of right. This proposal is compared to pluralist, liberal & communitarian conceptions of democracy. It is suggested that citizenship in a society that practices rational

discourse will be characterized by participation, tolerance, respect, an effort to improve good political judgment & a focus on the common good. Policy implications of this view are several: education ought to be oriented to producing practical discourse; political institutions ought to be democratized; political journalism ought to be improved; & cross-paradigm forums ought to be developed.

Stanley, Manfred. (1990). "The Rhetoric of the Commons: forum discourse in politics and society," in Herbert Simons, ed., *The Rhetorical Turn: invention and persuasion in the conduct of inquiry*, Chicago: The University of Chicago Press, pp. 238-257. Suggests that American political society is composed of two regimes: liberalism, which is based on the market economy & democracy, which is based on the principle of popular sovereignty. These regimes create distinctive forums for political conversation. The liberal forum has several characteristics: it is policy-oriented; interested in creating consensus based on evaluating policy decisions; choices are made through a process of working through alternatives to come to a least objectionable decision; & forum participants are conceived as aggregates of individuals who bring their wants to the political marketplace. The democratic forum has different characteristics: it is civic-oriented; aims at a much more comprehensive notion of consensus; operates on the basis of an immigration metaphor of moving between distinctive worlds; participants are conceived of as complex social beings whose consciousness is structured by group &



institutional memberships, collective memories, & naturalized ideologies.

Stokes, Susan. (1998). "Pathologies of Deliberation," in Jon Elster, ed., *Deliberative Democracy*, Cambridge: Cambridge University Press, pp. 123-139. Considers instances of democratic deliberation which end in pathological outcomes. These outcomes include those in which deliberation induces preferences that appear to be more in line with the interests of the communicator than with those of message recipients; deliberation creates the public belief that preferences have been transformed; & those in which social inequality produces identities that are politically debilitating. Several rules are suggested by this discussion: (1) if elites shape citizen preferences, then parties are needed that cover a broad spectrum to permit citizens a choice of preferences to cleave to; competitive media structures are necessary to reduce the amount of press mis-interpretation of what people want; resource-poor citizens' associations must be capacitated; & the public and politicians have to know where information & points of views come from.

Sullivan, Patricia & Steven Goldzwig. (1995). "A Relational Approach to Moral Decision-Making: the majority opinion in *Planned Parenthood v. Casey*," *Quarterly Journal of Speech*, 81: pp. 167-190. The majority opinion in this Supreme Court case is taken to be an instance in which the court acknowledged the complex web of relationships involved in abortion decision-making. In this sense, it is an example of relational moral reasoning. This relational

approach stresses interconnectedness, context & humility in conversations over moral issues. The notion of relational moral reasoning stems from feminist theorizing, & is advocated as a useful revision of traditional approaches to rhetoric that stress individual autonomy & argument.

Sunstein, Cass. (1990) *After the Rights Revolution: reconceiving the regulatory state*. Cambridge: Harvard University Press. Traces the nature and significance of regulatory measures enacted during the rights revolution that was initiated by the New Deal. This rights revolution is defined as the creation by Congress and the president of a set of legal rights that were not recognized in the Constitution. Among these rights are the right to clean air and water, to safe consumer products and workplaces, and to a social safety net. This revolution has spawned an enormous regulatory framework that in many ways has been successful. However, this regulatory mindset has also jeopardized important constitutional values, given rise to powerful interest groups, ignored the redundancy and inefficiency of many regulatory measures, and downplayed the difficulties associated with treating the management of social risks as conventional rights. Principles and reforms are proposed that might promote the purposes of regulatory programs while avoiding these problems.

Tannen, Deborah. (1993). "Editor's Introduction," in Tannen, ed., *Gendered and Conversational Interaction*, New York: Oxford University Press. Introduces a set of essays which explore the relationship between



gender & language using ethnographically centered discourse analysis.

Tannen, Deborah. (1998). *The Argument Culture: moving from debate to dialogue*, New York: Random House. The argument culture is defined as a set of values/attitudes/beliefs which lead individuals to approach public discourse in terms of war-like interactions. In this culture, aggressive tactics are adopted for their own sake & irrelevant points are seized upon for the sake of rhetorical victory. This culture is traced in the press, politics & the law. It is argued that men are more likely to engage in this agonistic form of conversation than women, and that technology tends to increase the likelihood of its occurring. Examples from other cultures are reviewed for other ways in which opposition may be negotiated. It is concluded that a greater variety of interactive styles is necessary so that argument can be used in appropriate formats, and not used when it is inappropriate.

Teske, Nathan. (1997). "Beyond Altruism: identity-construction as moral motive in political explanation," *Political Psychology*, 18: pp. 71-91. Draws upon data from long interviews to argue against current self-interest & moral motive models of political action. In place of these models, it is suggested that individuals are motivated to engage in politics in a complex interweaving of self & moral motives. Activists are primarily concerned with what kind of person they are and what kind of life they are living. These concerns are both moral & self-regarding, and therefore defy the conventional dichotomy in the literature.

Teske, Nathan. (1997). *Political Activists in America: the identity construction model of political participation*, Cambridge: Cambridge University Press. Investigates why people become involved in politics using interviews with environmental, social justice, and pro-life activists. Against the conventional wisdom that engagement in politics is inherently costly and lacking any intrinsic reward, it is argued that active involvement in politics is personally fulfilling, & enables activists to become people whom they would otherwise have been unable to become. Thus, motivations for political activity are both self-interested and altruistic, as individuals seek to realize their personal interest in fashioning moral selves.

Theis-Morse, George Marcus & John Sullivan. (1993). "Passion and Reason in Political Life: the organization of affect and cognition and political tolerance," in George Marcus & Russell Hanson, *Reconsidering the Democratic Public*, University Park, PA: The Pennsylvania State University Press, pp. 249-272. Explores the role of affect & cognition in the construction of perceptions of threat and political tolerance drawing on survey data. It is found that arousing the emotions is an effective way to gain people's attention. When emotions are not aroused & people attend to their thoughts, they are more tolerant. However, it is also found that affective reactions play an important role in enabling people to evaluate their current environment. Further, when people attend to their circumstances, emotions and cognitions often work together. Thus, people who seek to

ignore their passions will likely become inattentive and unresponsive to their political environment.

Theiss-Morse, Elizabeth. (1993). "Conceptualizations of Good Citizenship and Political Participation," *Political Behavior*, 15: pp. 355-380. Investigates how individuals view their responsibilities as citizens & the relationship of these views to political participation drawing on a Q method study in the Twin Cities. Four distinct perspectives on participative duties were found: Representative Democracy; Political Enthusiast; Pursued Interests & Indifferent. Most people are engaged in politics to an extent consistent with their citizenship perspective.

Thelen, David. (1996). *Becoming a Citizen in the Age of Television: how Americans challenged the media and seized political initiative during the Iran-Contra debate*. Chicago: The University of Chicago Press. Explores how Americans become citizens in the age of television drawing on an examination of the conflict between citizens & political leaders that exploded in 1987 during the Iran-Contra hearings. It is shown that politicians and citizens live in different political worlds. The world of the politician is shaped by technical and expert kinds of knowledge while the ordinary citizen views politics through the prism of his or her informal relationships. The implication is that citizens are not apathetic or unmotivated, but located in a different social sphere than politicians—and that television does not help bring the two together. Therefore, a call is

made to draw politics closer to everyday life so that politicians and citizens may once again find one another.

Thernstrom, Stephan & Abigail Thernstrom. (1997). *America in Black and White: one nation, indivisible*. New York: Simon & Schuster. Presents an analysis of the status of African-Americans in the contemporary U.S. drawing on a wide variety of statistical data. It is shown that the conventional wisdom on their status is misguided in a number of ways. Blacks gained the most in the years between World War Two and the 1970s—before the start of the modern affirmative action era. Black gains as measured by a variety of indicators—graduate rates, income, social relationships—have been impressive. While problems in race relations remain, it is argued that they will not be solved by traditional civil rights strategies. Thus, affirmative action programs have threatened, not contributed to, racial progress. Only through a common understanding among Blacks and Whites alike that we are one nation, indivisible, will racial progress continue.

Toulmin, Steven. (1985). *The Uses of Argument*, Cambridge: Cambridge University Press. Compares two models of argument, one mathematical and the other prudential. In the first, argument is laid out in logical form in quasi-geometrical shapes; in the second, it is laid out procedurally, in proper form. It is suggested that examples of mathematical arguments compose a special kind of logic which should not be mistaken as a generalizable model. Instead, idealized logic

ought to be combined with the procedural logic applied in concrete fields of interaction to compose a new discipline of applied logic. Validity within any given field is field-specific, not transcendent, and so follows the procedures of validity which are taken to be legitimate within it.

Tulis, Jeffrey. (1987). *The Rhetorical Presidency*. Princeton: Princeton University Press. Traces the emergence of a strong, rhetorically-centered presidency in the 20th century. In the original Constitution, the presidency was imagined as an executor of legislative decisions rather than as a strong political force in its own right. This sense has changed in the 20th century, as presidents began to develop a strong program of popular leadership. It is concluded that this transformation is dangerous, because it leads to demagoguery, spectacle, & an abuse of presidential power.

Underwood, Doug. (1993). *When MBAs rule the Newsroom: how the marketers and managers are reshaping today's media*. New York: Columbia University Press. Examines the impact of market-driven journalism on the contemporary newsroom, the daily newspaper, and the attitudes of newspaper journalists drawing on interviews & surveys. The transition to marketing-oriented journalism is traced to economic crises within the newspaper economy that began in the 1980s. Today, market-minded managers have displaced most traditional news editors in newspapers across the country, & have steadily implemented mechanisms which are transforming the way in which journalism is

done. As this process has taken place, it has threatened the traditional values of autonomy & community service prized by journalists. The result is that reporters are increasingly demoralized, more fearful for their job prospects & the kind of job they will be performing in the near future, and generally gloomy about their profession.

Van Dijk, Teun. (1988). "Social Cognition, Social Power and Social Discourse," *Text*, 8: pp. 129-157. A framework which draws connections between social power & discourse is presented. Within this framework the mediating power of social cognitions is emphasized. Social cognitions involve the interpretation, recognition and legitimation of power through ideological models. These models are adopted by individuals to guide their beliefs, language and actions. One can witness these models in action in discourse, in markers of interaction, linguistic codes, and symbolic dimensions of interactions. It is in the communication of these models that relations of social power are reproduced.

Van Dyke, Vernon. (1982). "Collective Entities and Moral Rights: problems in liberal-democratic thought," *The Journal of Politics*, 44: pp. 21-40. Makes the argument that certain kinds of collective entities have legal & moral rights. To make judgments as to which groups have such rights, several principles are offered: (1) a group has a stronger claim the more it is self-conscious & desires to preserve itself; (2) the more it has a reasonable chance of succeeding; (3) the more its criteria of membership are clear; (4) the more it is

significant in the lives of its members; (5) the more important the rights sought are to its members; (6) the more organized it is; (7) the more firmly established in tradition it is; & (8) the more clear it seeks rights that are compatible with an equality principle.

van Dijk, Teun. (1987). *Communicating Racism: ethnic prejudice in thought and talk*. Newbury Park: Sage. The way in which racism is reproduced in everyday talk is analyzed drawing on data from a variety of projects conducted from 1980-1985, including interviews with about 180 individuals in Amsterdam & San Diego. It is shown that the major cognitive structures that form the basis of discrimination & racism are manifested in everyday talk. In such talk, individuals orient themselves to main topics, engage in storytelling, make arguments & semantic moves, & assume particular styles of rhetoric, which are structured by underlying racial structures. Thus, though specific utterances are individually spoken, they are deeply embedded with wider social relationships.

van Eemeren, Frans, Rob Grootendorst, Sally Jackson, and Scott Jacobs. (1993). *Reconstructing Argumentative Discourse*, Tuscaloosa, AL: The University of Alabama Press. Constructs a dialectical model of argument which consists of several stages: identifying disagreements; establishing agreement as to process by which arguments are to proceed; providing for indefinite exploration of relevant issues; ending in resolution which satisfies all participants. Particular types of speech acts are appropriate to each stage: expressing standpoints to

confrontation; challenging or defending standpoints to openings; advancing, accepting or requesting further argumentation in the argumentation stage; & establishing & accepting the result in the concluding phase. An engineering metaphor is suggested to connect this idealized form of argument to concrete argumentative situations.

van Mill, David. (1996). "The Possibility of Rational Outcomes from Democratic Discourse and Procedures," *The Journal of Politics*, 58: pp. 734-52. Compares two traditions in democratic theory: theories of democratic discourse & disequilibrium theories of social choice, according to their conclusions as to what outcomes can be expected from democratic procedures. It is shown that both theories hold identical assumptions concerning the requirements for a fair procedure: equal access, the absence of powerful agenda setters, unrestrained discourse, etc. However, the first argues that this procedure will yield morally legitimate outcomes, while the second argues that more democracy will yield instability & arbitrary results. Theorists of democratic discourse are urged to create models that is open and democratic but also that creates stability by placing limits on freedom.

Verba, Sidney & Gary Orren. (1985). *Equality in America: the view from the top*, Cambridge: Harvard University Press. Observes that a tension exists between economic & political equality. Inequality in the economic sphere does much to shape politics as those with more resources use them for political gain. Political equality, also as

ideal & reality, poses a constant challenge to economic inequality as disadvantaged groups petition the state for redress. The history of the US may be described at least in some part as a norm of inequality, both political & economic, spiked by surges of egalitarianism. The limits to the redistributive process are set by the limits of American beliefs about equality, and these beliefs in turn are in large measure defined by the most affluent classes. Members of the highest SES are the most ideological in their perspective on public life. They also hold a set of views toward equality that is fairly uniform & structured by a set of values toward the New Deal, race, quotas, causes of inequality, redistribution & gender. American leaders agree that income equality should not be attained, but they disagree more often on equality of influence in politics. While accepting this value, elites struggle with one another to assure themselves of more political influence than other groups. The result is that political equality is unlikely to be attained, both because elites cannot agree on what it means & because political equality is linked to economic equality. For these reasons, inequality, both economic & political, is likely to continue in the near future.

Viswanath, K. & John R. Finnegan, Jr. (1996). "The Knowledge-Gap Hypothesis: twenty-five years later," Brant R. Burlison, ed., *Communication Yearbook* 19: pp. 187-228. The knowledge-gap hypothesis states that as mass media information increases in society, the gap between segments of the population in terms of the ability to acquire information will become greater. Research has

found that knowledge gaps are less likely to be found on issues defined as important to communities. Differences in knowledge have been associated with differences in media attention, processing, and dependency relations between the lower- and higher-SES groups. Little has been done to link situational and structural levels of analysis into a coherent framework.

Walker, Jack. (1983). "The Origins and Maintenance of Interest Groups in America." *The American Political Science Review* 77: 390-406. An influential article which investigates how interest groups attract & hold their member base drawing on survey data collected in 190-81. It is found that the number of interest groups in operation, the mixture of types, and the level & direction of political mobilization in the US at any point in time will be determined by the composition and accessibility of the system's major patrons of political action.

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# POCKET SCHOOL: EXPLORING MOBILE TECHNOLOGY AS A SUSTAINABLE LITERACY EDUCATION OPTION FOR UNDERSERVED INDIGENOUS CHILDREN IN LATIN AMERICA

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Literacy is a human right unequally distributed among the world's population. Despite global efforts to fight illiteracy, high illiteracy rates continue to jeopardize access for many to basic schooling, life-long learning, health, and environment safety. Illiteracy also hinders the economic prosperity of the poorest societies in this digital age. Among the underserved population in Latin America, many of the indigenous children are the poorest of the poor who hardly have access to formal and stable schooling. This paper reviews the literature addressing education inequality issues in Latin America, opportunities with mobile learning technology, and various language education projects involving mobile devices. This paper also suggests technology design considerations to meet the learning needs of the extremely underserved indigenous children in Latin America.

## **Pocket School: Exploring Mobile Technology as a Sustainable Literacy Education Option for Underserved Indigenous Children in Latin America**

Despite global attention and efforts to eradicate illiteracy, deep inequalities persist. In the highly unequal societies of Latin America, children of different social backgrounds do not have equal opportunities to learn and reap its benefits (Reimers, 2000). Many are still denied their right to an education and find themselves unable to break from the cycle of poverty. Inequality is particularly acute for indigenous populations. Wherever they live, many indigenous people are among the poorest of the poor in that country (Psacharopoulos and Patrinos 1994; Tomei 2005; Hall & Patrinos, 2006). In Latin America, there are approximately 50 to 60



million underserved indigenous people residing mostly in Mexico, Peru, Bolivia, Guatemala, and Ecuador (UNDP, 2004).

Significant differences exist in literacy rates and access to formal education for non-indigenous and indigenous populations (UNESCO/OREALC, 2004). For instance, in Ecuador, 18% of the people benefit from a full-time education while the figure for indigenous people is a mere 1% (Gradstein & Schiff, 2006). In Bolivia, indigenous children receive 4 years less schooling than their non-indigenous classmates (Hall & Patrinos, 2005). Schmelkes (2000) recounts the situation of indigenous children in Mexico. She reports that many indigenous children live in communities so small that no school is provided, and another group, consisting of about 400,000 to 700,000 school-age children, travel with their parents every year for the harvest, never staying in one place long enough to be enrolled.

Neither do conditions remarkably improve for indigenous children attending school. "Poor and indigenous children often attend the worst schools, are served by the least educated teachers, have the least amount of didactic resources, and are more likely to arrive to school hungry and ill" (Hall & Patrinos, 2005, p.11-12). Evidence of the poor quality of education is depicted by a study that surveyed indigenous schools in Mexico, Bolivia, Ecuador, Guatemala, and Peru. It found that indigenous schools have the highest drop-out, repetition, and failure rates, and their students scored significantly lower in reading and math tests (Hall & Patrinos, 2005). Parker

et al. (2003) concurs that indigenous children fare worse than their non-indigenous counterparts, adding that it holds true even when relatively homogenous samples of rural, marginalized communities are used. McEwan & Trowbridge (2007) describes the three major reasons for indigenous children's poor performance: parents' lack of schooling experience, fewer and inferior quality instructional materials and infrastructure, and linguistic diversity of the indigenous children. Often times, indigenous children are asked to learn in a language they do not know, which poses a formidable barrier to their advancement. Bilingual schools that use the children's native language for instruction reach only a fraction of the population but still suffer from an inferior and deficient quality.

In this digital age characterized by the rapid development of information and communication technologies, the illiterate are at a greater risk than ever before. Those with the least amount of schooling will find it increasingly more difficult to participate in the evolving knowledge-based societies, deepening the social divide (Reimers, 2000). Without an innovative intervention to counter the effects of globalization and technological advancements the gap will only increase, further excluding the uneducated from society and leaving the extremely poor without the necessary skills to secure their well-being.

#### *The potential of mobile learning technology*

Recent innovations in mobile technology offer promising opportunities to combat the deep-seated chasm of inequality entrenched in

Latin America. Mobile learning devices now have the potential to achieve a large-scale impact due to their portability, low cost, and versatile features (Roschelle, 2003). A convergence of rapid advancements in information and communication technology (ICT) have made this possible; the increase in processing power, storage memory, and connectivity have resulted in an explosive growth in media richness, ubiquitous access and highly personalized learning solutions (Pea & Maldonado, 2006). Today's conventional mobile device can store and deliver a vast amount of information, including an entire K-12 curriculum, and is capable of reaching even the hardest and most disadvantaged audiences (Attewell, 2004).

To date, mobile learning technology has emerged at the forefront of discussions in the context of well-developed support infrastructure and technology enriched learning environments. Its prospective role in reducing global inequalities is less discussed and hardly considered for millions of illiterate children. We argue that mobile learning technology can play a significant role in addressing the learning needs of indigenous children, through either multilingual or monolingual learning methods. We acknowledge the multidimensional complexity surrounding issues of learning and believe that mobile learning technology is uniquely positioned to overcome many of them. In the following sections, emerging opportunities for literacy development with mobile technology are explored. Then, a series of considerations addressing issues including culture, learning

theories, usability, and sustainability to meet the learning needs of this marginalized indigenous population is discussed.

#### *Opportunities with mobile learning*

Learning is hardly a discrete episode; rather it is an experience interwoven in our daily lives made up of the numerous tasks and stimulants we encounter. When we are faced with problems in various contexts, we often try to understand and respond with the cognitive and physical resources available within and around ourselves. Mobile learning provides the learner with frequent engagement opportunities in a non time-intensive way, increasing the learning chances by allowing the learner to chip away at a large task once motivated (Beaudin et al. 2006) or work on incidental tasks requiring the right mood and occasion in everyday life. At a rapid speed, the practice of mobile learning is expected to increase among learners of all ages, irrespective of ethnic group, class, or gender (Oloruntoba, 2006).

As it stands, mobile learning technology makes sense for children living in rural areas or places that lack various resources including electricity. A mobile learning device that can be mass-produced at an affordable price, along with a solar cell charger, can be of great use even without current ability to connect to the internet. However, given that many developing countries are bypassing landlines to directly install cell phone networks in rural areas, in the future we can expect that more and more underserved people, in both rural and urban areas, will gain this advantage of mobile network services and information

superhighway (Sharples et al. 2005) and benefit increasingly from mobile learning technology.

#### *Mobile learning in language education*

The development of mobile and wireless technologies has opened up a huge array of possibilities for the domain of language learning (Joseph & Uther, 2006). In recent years, there have been numerous studies and projects using the relevant mobile technologies for both formal and informal language learning (see Brown, 2001; Cabrere, 2002; Chinnery, 2006; Kadyte, 2003; Kiernan & Aizawa, 2004; Levy and Kennedy, 2005; Norbrook and Scott, 2003; Paredes et al., 2005; Thornton and House, 2005; Ogata & Yano, 2004; Joseph, Brinsted, & Uther, 2005). Current use of mobile devices in language learning ranges from vocabulary or grammar learning to story reading and pronunciation practices. Nonetheless, there is no formal theory of mobile language learning developed to date (Joseph & Uther, 2006), but still emerging mobile technologies increasingly suggest potential language learning solutions and environments that will be highly interactive, ubiquitous, and convenient.

#### *Design considerations*

A mobile learning model that is appropriate for indigenous children in Latin America will require a deep understanding of this diverse population of learners, their learning conditions and needs, and must factor relevant environmental, cultural, and political dimensions. Perhaps addressing and overcoming all the challenges in the design is

a naive thought, seeing that experts have yet to disentangle the circumstances leading to such poor learning outcomes in this group. Nonetheless, a few realistic considerations must be taken into account if the learning design framework is going to be useful. Innovative technologies need to be fully interpreted and applied according to the environment in which they will operate, being well aware of its limitations and challenges, bearing in mind their potential impact on transforming current cultures and practices (Cobcroft et al. 2006) in both intended or inadvertent directions. In this section, we expound upon these concerns.

#### *Situation specificity and cultural sensitivity*

Mobile learning solutions cannot be formulated according to pre-existing disciplinary matrices and learning design principles, but must be done in relation to the practical problems specific to the location and situation of the learner (Nyrid, 2002). Considering the learning environment available to indigenous children, even the latest mobile learning principles validated through empirical studies in the developed countries may be inapplicable for this population. Indigenous children living in remote areas may only have access to a very poor school facility with little or no electricity, and an insufficient number of untrained teachers to guide them in their learning. Where there are no teachers for the young children, adopting learning activities, even if they are educationally sound, may be very difficult. For other children moving about seasonally with

parents or working in the farm, a sleeping ground, farm, or playing field may have to substitute for classroom space. Therefore, a mobile learning device which can be carried in a pocket (e.g., therefore it is “Pocket School”) may make a tremendous sense for places where there is no substitute for a formal school.

Furthermore, it is common to find large families living together in a crowded or temporary housing facility, occupying an area no bigger than 500 square feet for 8 or more people, where conventional appliances are non-existent and no single book is found. In such situations, educational programs using flash card words like microwave and compact disc may be completely out of context. Murphy (2006) also emphasizes the need to consider cultural and societal factors when designing mobile learning scenarios. Concepts of marriage, family, work, life, and identity are just a few in a long list to be seriously considered when devising appropriate learning content.

Overall, one thing is universal and quite clear. Learning should be fun, satisfying, and rewarding. Playfulness is a key feature that needs to be incorporated, in the right balance, into these applications for young children (Papanikolaou & Mavromoustakos, 2006). A “Pocket School” prototype as shown in Figure 2 can be a fun and joyful schooling experience for the indigenous children who may otherwise play with metal scrapes or trash shown in the background.

#### *Practical usability*

Careful considerations must be taken into account in designing a mobile learning device that can have a long life in remote area. Given that there will be nobody to service the device should it become inoperable; the device must be highly shock, water, dust, and scratch resistant. For example, a design using fewer buttons sealed with rubber casing materials would be ideal, unlike a touch screen button that would be easily dirtied and scratched. The device must also render itself accessible to children by having easy to comprehend features and uncomplicated functioning (Papanikolaou & Mavromoustakos, 2006). The user-interface and buttons must provide the learning content as quickly and with as few operations as possible (Low & O’Connell, 2006) without unnecessary complexity (Parsons & Ryu, 2006)<sup>1</sup>. For this regard, a keyboard like input device may not be appropriate because it would limit the usability of the device to older children with basic literacy skills or at least 3<sup>rd</sup> or higher grade education experience (See Bartholome, 1996; Fleming, 2002).

The content design for mobile learning device screens requires repetitive testing to see what scheme would maximize readability while maintaining appealing aesthetics of the content. Pocket School devices loaded with literacy program such as the one shown in Figure 3 will require a large memory space to maximize the content it can hold, since updating content may occur infrequently, and would include material for various levels. At the same time, content must be easily

retrievable with a few key operations and delivered in granular fashion to avoid overwhelming the user. Instead of using directories and subdirectories that may be complicated for children, the use of colored or icon-based categories to navigate through the lessons can be often preferred. As choices are made and buttons are pressed, voice guidance could further assist users.

In sum, the learning experience must remain fun and accessible for the children; technology should not obtrude upon it (Sharples, Corlett, & Westmancott, 2002; Parsons & Ryu, 2006)<sup>2</sup>

#### *Theoretical applicability*

No matter how sophisticated and appealing a mobile learning device or its content may be, the learner will embrace mobile learning only if it meets his/her individual learning needs (Parsons & Ryu, 2006) and stimulates his/her particular intellectual curiosities.

A learning solution necessitates in-depth learner assessment to develop appropriate content material and should be guided by relevant theories pertaining to the learners' needs. Children's prior knowledge and literacy skills need to be studied in order to develop effective reading content that can provide them with a meaningful and successful reading experience. Positive reading experiences lie at the foundations of instilling a love of reading in a child. In following, relevant studies addressing learning theories applicable to Pocket School concept will be reviewed in depth.

Researchers in the field of reading development have unveiled some of the mysteries of how a child learns to read and offer practitioners significant guidance for successful reading programs. It is this knowledge that we turn to in order to create reading content that is pedagogically effective and culturally appropriate for indigenous children. The goal of reading goes well beyond decoding and recognizing words. Reading is about constructing meaning from a text (Pressley, 2002). Also, reading is purposeful only when a child can build meaning from a text and connect it to his or her everyday life. A lack of comprehension leads to negative attitudes and a loss of motivation; therefore avoid engaging in further reading opportunities (Graves et al., 2003).

A child must attain several insights before s/he can make sense out of print, which can be promoted through the use of a mobile learning device. One of the most important and most basic understandings is that a printed word carries meaning. Children acquire this knowledge through frequent exposure to print. Many indigenous children, however, live with illiterate parents and do not have access to reading material in their homes. The rural environments in which they live in are also devoid of printed letters. A mobile learning device that displays and reads words out loud would provide children ample opportunities reach this understanding.

*Phonemic awareness.* Other vital insights for learning to read are phonemic awareness and the alphabetic principle (Snow et al., 1998, Juel, 1988, 1991, Adams 1990,

Stanovich, 1986). Phonemic awareness is the understanding that spoken words are made up of a sequence of somewhat separable sounds. It is purely an auditory ability but fundamental to mapping speech to print. Examples of phonemic awareness include the ability to blend a series of sounds (“mmm” “aaa” “mmm” “aaa” makes the word “mama”), to identify the first sound in a spoken word (“Gato” begins with /g/), and to recognize words that rhyme (“gato” and “pato”). There are many degrees of phonemic awareness; the most advanced forms being the best predictor of reading achievement (Juel, 1988). To foster it, rhymes and texts with alliteration can be used, which draw attention to the sound of words and their similar parts. Due to their large capacity to store content, Pocket School devices such as the one shown in Figure 4 can house hundreds of multimedia-based words, songs, poems, and nursery rhymes, which could be replayed again and again, exposing the child to the kind of language s/he needs to hear to develop phonemic awareness.

*Alphabetic principle.* The alphabetic principle refers to the correspondence between sounds (phonemes) and letters. This knowledge is a prerequisite for the identification of words as we read (Juel, 1991) and can be taught through a mobile device. It requires that a child first have knowledge of the alphabet and the individual letters. Content to learn the alphabet can be easily programmed into a device, preparing a child to receive phonics instruction. Simple multimedia scenarios that feature the letter-

sound association of only a few letters can also be developed. For example, it is possible to write a multiple-page coherent book, one phrase per page, using only the letter “m” and the five vowels. For example, the phrase “mi mamá me ama” (my mother loves me) is commonly encountered in instructional materials in Latin America. Repeated readings of simple stories that use only a few letters will allow children to discover these letter-sound relationships and give them practice blending two sounds together to form a word.

In Latin America, the sequence for teaching letter-sound correspondences varies (Ferreiro, 1998). A typical program first covers the five vowels, followed by the easier consonants that appear most frequently in the Spanish language. The content of any of these phonics books can be placed inside a mobile learning device, where a child could further benefit from the audio that would accompany the text. Children need considerable practice to master the skill of decoding and know which letters correspond to which sounds. They can only practice if material is easily available for them. Mobile learning devices have the potential to make this happen.

*Reading fluency.* Fluency is another important component children need to become successful readers. It is the ability to read through a text quickly and efficiently without conscious effort, freeing up their mental capacities to attend to the meaning of the text (Graves et al, 2003). Fluency requires the automatic recognition of words, a feat that can be achieved only by repeated readings and recurrent practices. Predictable texts and



repeated readings of a book previously memorized also foster fluency (Kuhn & Stahl, 2000). Vocabulary is another indispensable competency linked to comprehension (Anderson R.C. & Freebody, 1981, cited in Pressley, 2002). For a child to understand what s/he reads, he must be able to match the sound to a concept already established in children's mental schema. Research has documented that children living in impoverished environments have smaller vocabularies, which puts them at risk for reading difficulties (Graves et al., 2003, Hart & Risley, 1995). Indigenous children, especially those whose mother tongue is not Spanish, will need considerable exposure to new words. Multimedia dictionaries and stories tailored to build vocabularies would be a significant asset for these children, who may have no other chance to encounter such words in the environment they live. Literacy development programs and many other educational tools and contents can be developed to specifically fit the medium of a mobile learning device.

#### *Economic scalability*

Beside various benefits discussed by many researchers, mobile learning technology may make sense to the indigenous children because: advanced mobile learning technology can integrate and present educationally sound contents; there is rarely or no formal learning facility or support in many of the places the children are found; there is more chance of getting a future wireless communication signal than wired network in the region the children are located; and also there is possibly an economy of scale that can be realized from

mass production of mobile devices. As discussed earlier, with mass production, the price of a mobile device with a large storage can be dramatically lowered. Many underserved families located in poor regions of development countries live on less than \$2 a day (UNICEF, 2003). If establishing a well resourced school facility with a well trained teacher would cost \$X, providing a Pocket School with sound educational programs would cost much less than \$X. Thus, what is \$38 today may one day become less than \$10 if there was to be a production effort with an economy of scale in mind. Obviously, governmental or international programs could be integrated to partially, if not entirely subsidize, the cost of mobile learning programs.

#### *Viable sustainability*

Developing an effective mobile learning solution for illiterate indigenous children is in itself a challenge. Implementing and sustaining such a solution at a substantial scale would be quite another. Technology innovations in education can become futile and obsolete very quickly if there is no committed plan for adequate support and maintenance. Obviously, deploying a mobile learning technology involves various costs in the repetitive cycles of assessment, design, production, distribution, observation, and enhancement. Therefore, seeking and devising plans to sustain a project of a mass scale such as Pocket School discussed here requires strategic alliances with relevant technology industry leaders and socially responsible entrepreneurs. Although academic research on



social entrepreneurship is still in its infancy (Dorado, 2006), increasingly more entrepreneurs and ventures are bridging profit and service goals in new and creative ways (Eakin, 2003). A variety of social innovation and entrepreneurship studies have emerged rapidly through business school programs such as the Research Initiative on Social Entrepreneurship at Columbia, the Social Enterprise Initiative at Harvard, the Center for Social Innovation at Stanford, the Center for the Advancement of Social Entrepreneurship at Duke, the Berkley Center for Entrepreneurial Studies at NYU or the Skoll Center for Social Entrepreneurship at Oxford University. If any of these centers can combine their force with education experts and allies in the industry sector, Pcket School may become more than just a concept on paper. It will be important to examine, plan, develop, implement, and re-examine such an educational model with experts in various domains to ensure its success and effectiveness.

### **Conclusion**

A significant number of indigenous children in Latin America are denied their right to an education. A well-planned and supported innovative intervention is needed to intervene on their behalf. Without access to a quality education, many children will remain functionally illiterate and will find themselves incapable of participating in the information-based societies in which they live. They will be unable to away from the cycle of

poverty and the inequality that exists today will only worsen.

Mobile learning technology, thanks to its portability, low production cost, versatile features, and significant memory space, has the potential to provide indigenous children with learning material that could possibly teach them to read. As discussed, many considerations, such as situation specificity, cultural sensitivity, practical usability, theoretical applicability, economical scalability, and viable sustainability along with various learning needs of the children must be taken into account to develop a useable and effective personal learning space such as Pocket School. This paper merely scratched the surface. We hope it generates constructive discussion on the topic and challenges educators to think of innovative ways to use advanced technologies to serve those who need its help the most.

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## **OVERVIEW OF ENVIRONMENTAL LAW**

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There is a vast body of law encompassing the area of environmental protection. Environmental laws, both federal and state, provide for such diverse activities as environmental review; protection of air and water resources; regulation of the exposure of workers to environmental hazards; control of the storage of hazardous materials in underground tanks; control of the use, marketing, and manufacture of pesticides; and the warning of the risks of exposure to hazardous substances. In many cases, state environmental statutes implement federal requirements; others go beyond federal requirements and stand as independent state law. Because of the interrelationship between federal and California law, this section will provide a brief overview of the federal environmental statutes.

### **II. The Federal Approach to Environmental Regulation**

Federal environmental statutes and programs provide much of the framework used to develop, interpret, and enforce state environmental protection laws. For this reason,

it is important to acquire a general understanding of federal environmental protection laws as they relate to state law. With the exception of National Environmental Policy and Endangered Species Act, California law preceded and was the basis for the development of federal environmental laws.

#### **A. The Federal Environmental Protection Agency (U.S. EPA)**

There are numerous agencies of the federal government such as the Department of Transportation, Department of Agriculture, Food and Drug Administration, and the Occupational Safety and Health Administration that have tangential authority over the environment. But primary responsibility for the nation's environment rests with the Environmental Protection Agency (U.S. EPA).

The U.S. EPA is the only major federal regulatory agency that was created not by an act of Congress, but rather by a Presidential Executive Order. (President Nixon's Reorganization Plan No. 3 of 1970, 5 U.S.C.

App. at 1132-1137 (1982).) As such, the U.S. EPA is not an independent regulatory agency, but is purely a creature of the Executive Branch.

The U.S. EPA is among the most highly decentralized agencies in the federal government, operating through 10 regional offices. The regional office for the western states is in San Francisco. Generally, U.S. EPA headquarters in Washington, D.C. sets policy and promulgates rules, while the regional offices implement U.S. EPA's programs.

The regional offices pass on to the states the policies and requirements that are issued in Washington, D.C. The regional offices enter formal agreements with each state that include criteria for enforcement and for other conditions of financial assistance. Each regional office has a great deal of autonomy, especially in enforcement and permitting decisions. Where state programs do not meet federal standards or where the states have chosen not to assume responsibility, U.S. EPA regional offices may assume enforcement authority. Where states have implemented their own programs (as in California), U.S. EPA enforcement activity (at least as to administrative and civil enforcement) is fairly limited. US EPA has peace officer investigators in the Criminal Investigation Division .EPA CID one of only three of the 63 federal agencies with peace officers who have jurisdiction beyond their regulatory program and therefore can investigate and arrest for any federal crime.

## **B. U.S. EPA's Statutory Authority**

U.S. EPA has direct responsibility under the following federal statutes:

- The Federal Insecticide, Fungicide and Rodenticide Act (FIFRA), 7 U.S.C. §§ 136-136y, which regulates sale and use of pesticides.

- The Marine Protection, Research and Sanctuaries Act (MPSRA, the "ocean-dumping" statute), 33 U.S.C. §§ 1401-1445.

- The Safe Drinking Water Act (SDWA), 42 U.S.C. §§ 300f-300j.

- The Resource Conservation and Recovery Act (RCRA), 42 U.S.C. §§ 6901-6991i, which regulates hazardous waste from "cradle to grave."

- The Clean Air Act (CAA), 42 U.S.C. §§ 7401-7671q, regulating all emissions into the air.

- The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), 42 U.S.C. §§ 9601-9627, for cleanup of sites where hazardous materials were located in the past.

- The Clean Water Act (CWA), 33 U.S.C. §§ 1251-1387, which requires permits

for all discharges into “the waters of the United States.”

- The Toxic Substances Control Act (TSCA), 15 U.S.C. §§ 2601-2682, involves hazard assessment, labeling, and use restrictions relating to toxics.

U.S. EPA also has secondary responsibility under these statutes:

- The National Environmental Policy Act (NEPA), 42 U.S.C. §§ 4321-4370f. While NEPA is administered by the Council on Environmental Quality, U.S. EPA reviews Environmental Impact Statements (EISs) prepared by other federal agencies under NEPA.

- The Surface Mining Control and Reclamation Act (SMCRA), 30 U.S.C. §§ 1201-1328. While SMRCA is administered principally by the Department of the Interior, U.S. EPA also has some regulatory authority.

- Under the Atomic Energy Act, 42 U.S.C. §§ 2014-2114, U.S. EPA has some authority to respond to radiation in the environment.

- The Uranium Mill Tailings Radiation Control Act, 42 U.S.C. §§ 7901-7942 and Exec. Order reprinted in 42 U.S.C. § 5201 at 837-839 (1982).

- U.S. Department of Transportation Regulations.

Under the Hazardous Materials Transportation Act (HMTA) (49 U.S.C. sections 5101-5127), the Department of Transportation (DOT) has broad discretion to promulgate regulations regarding the packaging, labeling, and transportation of hazardous substances. (49 C.F.R. pts. 171-180.) DOT has issued those regulations in an extensive Table of Hazardous Materials published in the Code of Federal Regulations. (See 49 C.F.R. § 172.101.) The table identifies hazardous substances subject to regulation by chemical name, states their classification, and outlines their basic transportation requirements.

California statutes and regulations refer to the federal Table of Hazardous Materials in defining hazardous materials under California law. For example, the Table is expressly referenced in the California Highway Patrol regulations. (See Cal. Code Regs. tit. 13, § 1160.5.)

### **III. The Federal-State Relationship**

While federal statutes have established national standards for the transportation, emission, discharge, and the disposal of harmful substances, implementation and enforcement of many of the large programs has been delegated by the U.S. EPA to the states. In turn, the states apply national standards to sources within their borders



through permit programs that control the release of pollutants into the environment. Thus, while most implementation and enforcement occurs at the state or local level, the U.S. EPA maintains an overarching role with respect to the states by establishing federal standards and approving state programs.

In a few exceptions, states can set stricter standards than those required by federal law. Some of the programs that have been delegated (this term is used in a general sense, some of the programs use other terms) by the U.S. EPA to the states are the emissions standards for hazardous air pollutants (HAPs), Prevention of Significant Deterioration (PSD) Permits under the CAA, the Water Quality Standards and the National Pollution Discharge Elimination System (NPDES) Programs under the CWA, the Hazardous Waste Program under RCRA, and the Drinking Water and Underground Injection Control (UIC) Programs under the SDWA.

#### **IV. California Environmental Laws**

##### **A. Introduction**

The summary that follows in the remainder of this chapter briefly describes many of California's environmental laws, including those that are analogous to the federal statutes and those that are unique to California.

#### **B. The California Environmental Quality Act (CEQA)**

The California Environmental Quality Act (CEQA) (Public Resources Code sections 21000 et seq.) is the California analog to NEPA. CEQA requires government projects and government-approved projects to be planned to avoid significant adverse environmental effects.

CEQA requires that prior to approval by a state or local agency of a project, an Environmental Impact Report (EIR) must be prepared to identify the significant effects of a project on the environment, the alternatives to the project, and to indicate the manner in which those significant effects can be mitigated or avoided. (Pub. Res. Code § 21002.1.) If no significant environmental effects are foreseen, a "negative declaration" (Neg Dec) briefly describing the proposed project and the reasons why an EIR should not be required may be submitted.

##### **1. Designation of a Lead Agency**

If two or more agencies are involved in implementing or approving a proposed project, one will be designated the "lead" agency. The lead agency will normally be the one with general governmental powers, such as a city or county, rather than an agency with a single limited purpose, such as an air-pollution-control district. The lead agency has the primary responsibility for approving or carrying out a project, decides whether an EIR

or Negative Declaration will be necessary, and prepares the document. Other involved agencies are designated either “responsible” or “trustee” agencies. These agencies consult with and provide input for the decisions of the lead agency.

## **2. Public Notice**

The CEQA statute and its implementing regulations, title 22 of the California Administrative Code sections 15000 et seq., provide detailed procedures for the environmental review. The procedures include notice to the public and an opportunity for public comment. The agency is required to respond to all public comments and to implement all feasible mitigation measures. But the agency retains discretion to approve a project despite adverse environmental impacts that cannot be mitigated or avoided if the agency finds that there are overriding considerations justifying the project.

## **3. Enforcement**

CEQA is enforced by private litigation and by the Attorney General’s Office. There is no specific statutory authority for enforcement by district attorneys. Legal challenges to projects alleging violations of CEQA must show that either the agency failed to follow the required procedures in its environmental review or that the project approval constituted an abuse of discretion. In general, the courts require strict adherence to CEQA’s procedures but defer to the agency’s balancing of the benefits of a project against any adverse environmental impacts disclosed by the EIR.

## **C. Air Pollution**

The California Air Resources Act, Health and Safety Code sections 39000 et seq., contains provisions required by the federal Clean Air Act as well as additional provisions to improve and protect the state’s air quality. The Act provides for the establishment and enforcement of air quality standards and emission limitations. directs the State Air Resources Board (ARB) to divide the state into air basins of similar meteorological and geographical characteristics and to adopt ambient air-quality standards for each basin considering human health, aesthetic value, interference with visibility, and economic effects. (Health & Safety Code § 39606.) Investigation and regulation of sources and types of pollution occur at both the state and local levels.

### **1. Responsibility at the State Level**

The State Air Resources Board (ARB) is responsible for developing the state implementation plan required by the federal CAA. (Health & Safety Code § 39602.) It also has general oversight powers to ensure pollution control by establishing state ambient air quality standards and by setting emission standards for mobile sources (vehicles). While primary responsibility for the regulation of stationary sources rests with the local air pollution control districts, the state ARB monitors air quality, adopts test procedures, conducts research, and regulates sandblasting material, various types of engines, motor

vehicle emissions (including fuels), and emissions of various consumer products such as paint and hairspray. The ARB also enforces air related asbestos regulations in certain counties that do not have their programs.

## **2. Responsibility at the Local Level**

Local Air Pollution Control Districts (APCDs) usually encompass a single county. But several county districts have merged into regional districts. These consolidated districts now cover the San Francisco Bay Area, the South Coast Air Basin, and the San Joaquin Valley. The APCDs have primary responsibility for the implementation of basin-wide plans by regulating stationary sources within their boundaries, such as industrial facilities and fixed equipment. Each APCD has a permit system for new and existing stationary sources to insure that emissions sources do not prevent the attainment or maintenance of air quality standards.

## **3. Enforcement**

See Chapter XXI Air-Pollution Law for these particular enforcement provisions.

### **D. Water Pollution**

The Porter-Cologne Water Quality Control Act, California Water Code sections 13300-13999 and Title 23 of the California Administrative Code, is analogous to the federal Clean Water Act (CWA) in that it regulates discharges that may affect the quality of the state's waters. The California Act is broader in scope than the federal CWA,

however, in that it includes groundwater, while the CWA regulates only surface waters. The Porter-Cologne Act is implemented by the State Water Resources Control Board and nine Regional Water Quality Control Boards (RWQCBs) that are responsible for planning, permitting, and enforcement. The State Board formulates state policies for water-quality control and implements the permit system required by the CWA.

The State and Regional Water Boards have broad authority to take a variety of enforcement actions under the Porter-Cologne Water Quality Control Act; the Toxic Pits Cleanup Act of 1984; Chapters 6.67, 6.7, and 6.75 of Division 20 of the Health and Safety Code regarding underground and aboveground tanks; Health and Safety Code section 25356.1; and Chapter 6 of Division 3 of the Harbors and Navigation Code.

Examples of enforcement actions include:

- violation of an effluent limit, receiving water limit, or discharge prohibition contained in an order or Water Quality Control Plan (Basin Plan) adopted by the State Water Board or a Regional Water Board;
- an unauthorized spill, leak, fill, or other discharge;
- failure to perform an action required by the State Water Board or a Regional Water Board, such as submittal of a self-monitoring or technical report or completion of a cleanup task by a specified deadline.

## **1. State Water Resources Control Board**

The State Water Resources Control Board (SWRCB) is responsible for developing and implementing a statewide water-quality policy. (Water Code §§ 13140-13142.) The SWRCB also oversees the activities of the Regional Water Quality Control Boards. The SWRCB also licenses operators of local wastewater treatment plants, has an Underground Storage Tank Enforcement Unit, and has an Office of Statewide Enforcement.

## **2. Regional Water Quality Control Boards**

Under the Porter-Cologne Act, the Regional Water Quality Control Boards have primary responsibility for the day-to-day administration of the laws and regulations protecting California's surface and groundwaters. Each Regional Board must develop a regional water-quality plan that establishes water-quality objectives for the region and provides a framework for all administrative actions taken by the board. (Water Code § 13241.) Each Regional Board has a person assigned as the Enforcement Manager who coordinates enforcement issues for that Regional Board.

## **3. The Permit System**

National Pollution Discharge Elimination System (NPDES) permits are issued by the State or Regional Boards and are required for

all point source pollution discharges into California's surface waters. Point source discharges are defined as planned nonagricultural waste discharges from man made conveyance systems.

The permit system in California is essentially the same as the federal permit system under the NPDES. Before proceeding with any waste discharge that could affect the quality of the groundwater or surface waters of the state, the potential discharger must first report to and receive a permit from the local Regional Water Quality Control Board. (Water Code §§ 13260; 13263; see also Cal. Code Regs. tit. 23, §§ 648 et seq.) As of 2000, California has approximately 2,250 active NPDES permits protecting the state's water resources from industrial and municipal waste discharges.

For discharges onto land that may affect water quality, Waste Discharge Requirements (WDRs) are issued by the State and Regional Boards to regulate waste-disposal impoundments and land disposal for liquid and solid wastes. The permitting system addresses many types of waste discharges, including municipal, industrial, and commercial sources. As of 2000, California has approximately 3,670 active WDRs protecting its groundwater resources.

## **4. Storm Water Program**

Discharges of storm water associated with industrial activities require compliance with the General Industrial Activities Storm Water Permit (part of the NPDES system).

Requirements include submission of a Notice of Intent for coverage under the general permit, a Storm Water Pollution Prevention Plan (SWPPP), implementation of the SWPPP, and annual reports.

## **5. Hazardous-Waste Facilities**

In addition to administering the state's discharge permit system, the Regional Boards participate in the administration of the hazardous-waste-facility permit system. The Regional Boards are responsible for classifying all current and proposed hazardous-waste facilities within their regions in accordance with the classification system adopted by the State Board. (Water Code §§ 13225-13226.)

## **6. Administrative Enforcement**

Regional Water Quality Control Boards have authority to inspect any facility discharging or proposing to discharge pollutants into the state waters and to require the owners of those facilities to prepare technical or monitoring program reports. (Water Code §§ 13267; 13383.) If the Regional Board discovers any discharge or proposed discharge in violation of the water-quality laws and regulations, it may, after notice and a hearing, issue an administrative cease-and-desist order directing the offending party to comply with the applicable titles and regulations. (Water Code § 13301.) Where appropriate, the Board may also issue a cleanup and abatement order. The Regional

Board may itself undertake cleanup, abatement, and remedial work if it deems such work necessary to prevent substantial pollution, nuisance, or injury to the waters of the state. (Water Code § 13304.) The Board is authorized to seek reimbursement of any costs incurred in such work from the responsible parties through suit in state court. (Id.) If the Regional Board establishes that a party has failed to file a discharge report before discharging a pollutant, or has failed to abide by any requirements or orders issued by the Board, or has caused a discharge creating a condition of pollution or nuisance, the Board is authorized to administratively impose civil fines up to specified maximums. (Water Code §§ 13323 et seq.; 13350.) Alternatively, the Regional Boards may request the attorney general to seek injunctive relief in state court. (Water Code §§ 13340; 13350.) District attorneys are limited to bringing criminal actions or civil actions for unfair competition. (Bus. & Prof. Code §§ 17200 et seq.)

## **7. Criminal Enforcement**

### **a. Water Code Section 13387 Cases**

- **Constitutional Challenges:** *People v. Appel* (1996) 51 Cal.App.4th 495, 503-505: No ex post facto defense allowed where defendant's actions took place prior to EPA's formal determination of jurisdiction over the waters on defendant's property because the statute regarding jurisdiction existed prior to defendant's actions. Challenge based on vagueness refuted as defendant refused to

cooperate with the federal and state agencies' investigations, so he may not later complain that he did not know that he was in violation.

- **Intent:** *People v. Ramsey* (2000) 79 Cal.App.4th 621, 632-633: Knowledge that a material discharged into navigable waters is a "pollutant" is not an element of the offense set forth in section 13387. Mistake or lack of knowledge that the material was a pollutant is not a defense as discharging a pollutant into navigable waters is not a specific-intent crime.

- **Defense of Necessity:** *People v. Buena Vista Mines, Inc.* (1998) 60 Cal.App.4th 1198, 1202-1203: Requirements of necessity defense not present because the holding pond was inadequately sized to hold the contaminated water, and defendant did not exhaust all reasonable alternatives prior to pumping the contaminated water into the creek.

- **Felony:** *People v. Buena Vista Mines, Inc.* (1996) 48 Cal.App.4th 1030, 1033-1034: Violation of section 13387(c) is a felony (statute wording was unclear). Note the statute was amended in 2002 to clarify that imprisonment is "in the state prison."

- **Preemption:** *Appel*, 51 Cal.App.4th at 505: The Federal Water Pollution Control Act does not preempt state criminal conviction under this section for violations of the Federal Act.

- **Relationship to Federal Law:** *Buena Vista Mines, Inc.*, 48 Cal.App.4th at 1034: As the Porter-Cologne Water Quality Act refers to

the Federal Water Pollution Control Act, federal authority is used to interpret the Act.

## 8. Penalties

### a. Criminal -- Misdemeanors

The following violations are misdemeanors, i.e., fine of up to \$1,000 for each day of violation and up to six months in jail unless otherwise stated.

CAVEAT: Water Code Section 13271(d) provides use immunity for notification in all other criminal prosecutions. The State Board may grant use immunity to anyone who is subpoenaed to testify at its hearings. (See Water Code Sections 1105-1106.)

- **Water Code Section 13265(a):** Discharge without report or requirements (prior notice is required).

- **Water Code Section 13265(b):** Discharge of hazardous waste without report or requirements. Note: This may also be chargeable under Health and Safety Code section 25189.5.

- **Water Code Section 13525.5:** Recycling without requirements in violation of Water Code section 13524.

- **Water Code Section 13526:** Recycling without required permit.

The following reporting violations are misdemeanors, i.e., fine of up to \$500 and up to six months in jail, except as otherwise stated. (Water Code Sections 13260; 13267; 13522.5.)

- **Water Code Section 13261(a):** Failure to file report of waste discharge after demand.

- **Water Code Section 13261(b):** Failure to file or falsification of report of discharge of hazardous waste (up to \$1,000 fine per day).

- **Water Code Section 13268(a):** Failure to furnish or falsification of technical or monitoring reports (up to \$1,000 fine per day).

- **Water Code Section 13268(b):** Failure to furnish or falsification of technical or monitoring reports of hazardous waste (up to \$1,000 fine per day).

- **Water Code Section 13271(c):** Failure to report discharge of hazardous substances in greater than reportable quantities (fine up to \$20,000 and up to one year in jail).

- **Water Code Section 13272(c):** Failure to report discharges of oil (\$500-5,000 fine per violation and up to one year in jail).

- **Water Code Section 13387(b):** Falsification of reports of discharge to waters of U.S. or violation of any other discharge, dredge, or fill material permit requirements. (See also Water Code § 13261 -- false report.)

- **Water Code Section 13522.6:** Failure to file recycling report.

#### **b. Criminal -- Felonies**

- **Water Code Section 13387:** Violation of Clean Water Act program requirements (\$5,000 to \$25,000 fine for each day of violation and up to one year in jail; \$5,000 to \$50,000 fine for each day of

intentional violation and up to three years in jail).

- **Health and Safety Code Section 25284.4 (i):** Perjury provision for fraud by underground tank testers.

#### **c. Civil**

Up to \$6,000 fine per day (unless otherwise stated). No district attorney authority, but a district attorney can charge violation as an unfair business practice pursuant to Business and Professions Code Section 17200 and other provisions such as the Fish and Game Code.

- **Water Code Section 13265(b):** Discharge of hazardous waste without report or requirements (up to \$5,000 fine per day).

- **Water Code Section 13385:** Violation of Clean Water Act requirements (up to \$25,000 fine [in lieu of Water Code section 13350]).

- **Water Code Section 13350(a)(3):** Unpermitted discharge of oil (up to \$15,000 fine for each day of violation).

- **Water Code Section 13350(b):** Unpermitted discharge of hazardous waste that causes or threatens to cause pollution or nuisance--strict liability (up to \$15,000 fine for each day of violation).

- **Water Code Section 13261(b):** Failure to file or falsification of a report of hazardous-waste discharge (up to \$25,000 fine per day).

- **Water Code Section 13268(b):** Failure to furnish or falsification of report of technical



or monitoring programs relating to hazardous waste (up to \$25,000 fine per day).

- **Water Code Section 13350(a)(1):** Violation of cease-and-desist order (up to \$15,000 fine per day).

- **Water Code Section 13350(a)(2):** Discharges in violation of waste discharge requirements, orders, or prohibitions that create condition of pollution or nuisance (up to \$15,000 fine per day).

- **Water Code Section 13385:** Violation of orders implementing Clean Water Act (up to \$15,000 fine per day, up to \$25,000 fine per day [in lieu of Water Code section 13350]).

#### **d. Injunctions**

No district attorney authority (but remember Business and Professions Code section 17200).

- **Water Code Section 13262:** Enjoin discharge pending compliance with Water Code sections 13260 and 13264(a).

- **Water Code Section 13386:** Compel compliance with Clean Water Act requirements.

- **Water Code Section 13525:** Enjoin recycling in violation of Water Code section 13524.

- **Water Code Section 13262:** To compel report of waste discharge.

- **Water Code Section 13522.7:** To compel recycling report.

- **Water Code Section 13304:** Enjoin violations of cleanup and abatement order.

- **Water Code Section 13331:** Enjoin violation of cease-and-desist order.

- **Water Code Section 13340:** Compel abatement of pollution or nuisance in emergency.

#### **e. Reimbursement**

Water Code section 13304(c)-- Reimbursement of costs under cleanup and abatement authority. Also, section 13305(f) provides for reimbursement of costs under cleanup and abatement authority for nonoperating business or industrial facilities.

#### **E. Proposition 65**

This initiative is codified at Health and Safety Code sections 25249.5 et seq. There are two separate parts to the act: one deals with requirements for warning labels to the public, the other with discharges to drinking water. The act prohibits businesses from knowingly discharging into water listed carcinogens or mutagens (substances that cause genetic alteration) without first giving a warning. The specific carcinogens and mutagens are listed in the California Code of Regulations Title 22, section 12000. Provision is made for civil penalties of up to \$2,500 per day for each violation. There is a significant amount of case law regarding Proposition 65. It is suggested that prosecutors contact the Attorney General's Office or the state Office of Environmental Health Hazard Assessment for more information. There is a provision for a private cause of action, but notice is required

to be given to the local district attorney and the Attorney General. This is why your office may receive “Notices of Intent to Sue” under the provisions of Proposition 65 from private counsel.

#### **F. Local Agencies--The Unified Program**

The Unified Hazardous Waste and Hazardous Materials Management Regulatory Program (Unified Program) provides for local implementation of the following six regulatory programs:

- The Spill Prevention Control and Countermeasure Plan of the Aboveground Storage Tank program (SPCC)
- The Hazardous Materials Release Response Plan and Inventory program (HMRRP) (Business Plan)
- The California Accidental Release Prevention program (CalARP)
- The Uniform Fire Code Hazardous Materials Management Plan and Inventory Statement (HMMP/HMIS)
- The Underground Storage Tank program (UST)
- The Hazardous Waste Generator and Onsite Hazardous Waste Treatment program

The local implementing agencies are known as CUPAs (certified unified program agencies) or PAs (participating agencies).

#### **G. Aboveground Storage Tanks**

According to current laws, The Aboveground Storage Tank (AST) program, is to be implemented by the SWRCB and the RWQCBs. The program’s requirements are found in Chapter 6.67 of Division 20 of the Health and Safety Code. “In general, the [AST program] requires owners or operators of aboveground petroleum storage tanks to file a storage statement, pay a fee ... and implement measures to prevent spills.” The owner or operator of an aboveground storage tank facility that has a petroleum storage capacity of more than 660 gallons in a single tank, or a total storage capacity of more than 1,320 gallons in more than one tank, is generally required by Health and Safety Code Section 25270.5 to prepare a Spill Prevention Control and Countermeasure Plan (SPCC) plan. The specific requirements for a SPCC are laid out in the Code of Federal Regulations Title 40, Section 112.7. However, funding and positions for this program were cut in 2002. There may be legislation to transfer this program to the CUPAs but as of this writing (2007) that has not yet occurred.

The Attorney General’s Office may bring civil actions against violators of Chapter 6.67 (including violators of SPCC requirements). It may seek to enjoin violators and may seek civil penalties of up to \$5,000 per day for a first offense, up to \$10,000 per day for repeat violations. (Health & Safety Code Section 25270.12.)

#### **H. Hazardous Materials Inventory and Reporting Requirements--Health and**

## **Safety Code Chapter 6.95**

Experience has shown that prevention mechanisms are the most cost effective methods of reducing hazardous material incidents. Implementation of state and federal hazardous material planning laws and regulations can be effective in minimizing releases of hazardous materials. Proper enforcement is critical to the implementation of the hazardous material regulatory program and to ensure appropriate protection of public health and safety and the environment. Chapter 6.95 of the Health and Safety Code contains significant planning requirements for control of hazardous materials.

Every “person” who “handles” (defined terms) more than a specified quantity of hazardous materials must prepare a business plan, which includes a chemical inventory (including a site map), an emergency response plan and procedures, and information on the business’s hazardous materials training plan for employees. The requirements for business plans are found in Health and Safety Code Sections 25500 et seq. These regulations are found in Chapter 4 of Division 2 of Title 19 of the California Code of Regulations.

Chapter 6.95 has several unique elements that include:

- The most comprehensive statutory definition of “hazardous materials”:

“Hazardous material” means any material that, because of its quantity, concentration, or physical or chemical characteristics, poses a significant present or potential hazard to human health and safety if released into the workplace or environment.

“Hazardous materials” include, but are not limited to, hazardous substances, hazardous waste, and any material which a handler or the administering agency has a reasonable basis for believing would be injurious to the health and safety of persons or harmful if released into the workplace or the environment. (Health & Safety Code § 25501(o).)

- A definition of “business” that includes “an employer” and government. (Health & Safety Code § 25501(d) and 25501.4.)

- A definition of “handler” to assist in defining the businesses covered. (Health & Safety Code § 25501(n).)

- A comprehensive definition of “release.” (Health & Safety Code § 25501(s).)

- Definition of “threatened release”-- important for emergency-notification prosecution. (Health & Safety Code § 25501(v).) See the implementing regulations at California Code of Regulations Title 19, section 2703, however, for further definitions that limit reporting requirements to situations where the release or threatened release poses a hazard.

- Requirements to immediately report significant releases or potential releases of hazardous materials to the State Office of Emergency Services and to the local CUPA.

### **1. Required Planning Elements**

Each business that handles any one hazardous material in an amount that is equal to or greater than 500 pounds, 55 gallons, or 200 cubic feet of gas must develop a business plan and submit it to the local unified program agency. This plan must include an inventory of hazardous materials and cover emergency response, preempt planning, training, and evacuation. (Health & Safety Code § 25503.5.) Note: This plan may be the same document used to satisfy the contingency plan requirement of the hazardous waste law. The Uniform Fire Code also requires a “plan.” The business plans and inventories of hazardous materials are held by the administering agencies and are available for review by the general public. (Health & Safety Code § 25503.)

Handlers of acutely hazardous materials (using U.S. EPA’s definition of extremely hazardous substances found in 42 U.S.C. section 11002(a)(2)) may be required to develop Risk Management and Prevention Programs (RMPPs) upon request from local CUPAs. These risk prevention programs may be required following an evaluation of the potential hazard presented by a specific facility to public health and safety or the environment. The quantities of extremely hazardous

materials, the methods and processes involved, and the results of a hazard analysis will be used to determine the necessity for an RMPP. (Health & Safety Code §§ 25533-25534.) See discussion below under **California Accidental Release Prevention.**

Trade secrets have minimal protection from emergency responders needing the data for emergency response or medical personnel needing specific chemical data for specific medical treatment of patients. (Health & Safety Code § 25511.)

### **2. Acutely Hazardous Materials**

An owner or operator of a new or modified facility that will be used for the handling of acutely hazardous materials must prepare an RMPP. (Health & Safety Code §§ 25531-25541.)

### **3. Reporting Requirements**

Anyone required to file a plan is also required to report releases or threatened releases of hazardous materials to the administering agency. (Health & Safety Code § 25507; Cal. Code Regs. tit. 19, § 2703.)

### **4. Enforcement**

#### **a. Civil Liability**

Businesses violating aspects of business plan development, review, or submission, or failing to yield inspection authority, or failing to provide adequate and updated chemical inventory data are civilly liable to the administering city or county for up to \$2,000 per day of violation. Costs of any necessary emergency response and the cost of cleanup and disposal may also be recovered. (Health & Safety Code § 25514.) Following reasonable notice, a defendant that knowingly violates the elements in Chapter 6.95 may be civilly liable for up to \$5,000 per day of violation. Civil actions may be brought by the district attorney, city attorney, or attorney general. (Health & Safety Code § 25516.1.) Injunctions, restraining orders, and other appropriate orders shall be issued without proof of irreparable damage or that the remedy at law is inadequate. (Health & Safety Code § 25516.2.)

#### **b. Criminal Liability**

Failure to notify of a significant release of hazardous materials is a misdemeanor punishable by a \$25,000 fine for each day and one year in jail. (Health & Safety Code § 25515.) Second offenses are wobblers. Full costs of the emergency response, cleanup, and disposal shall also be recovered.

Knowing failure to file a business plan is a misdemeanor punishable by a \$1,000 fine and one year in jail. (Health & Safety Code § 25514.3.)

Interference with authorized representatives of an administering agency carries misdemeanor liability. (Health & Safety Code § 25515.1.)

Health and Safety Code section 25515.2 deals with apportionment of criminal and civil penalties. Prosecutors receive 50 percent of the penalties; \$200 of every civil or criminal penalty must be sent to a state training fund.

#### **c. Rewards--Persons Providing Information**

Health and Safety Code section 25517 allows for the payment of up to \$5,000 for information that materially contributes to the imposition of civil penalties or the conviction of a person or business.

Pursuant to the Carpenter-Presley-Tanner Hazardous Substance Account Act (the State Superfund), DTSC is responsible for formulating criteria for the selection and priority ranking of hazardous-waste sites for remedial action. (Health & Safety Code § 25356.) For this purpose, DTSC has adopted a modified version of U.S. EPA's hazard ranking system. DTSC has prepared a priority list of sites for cleanup that it updates monthly. In addition to this priority list, DTSC prepares site-specific plans of expenditures for removal and remedial actions to be paid for from the State Superfund. (Health & Safety Code § 25359.5.)

Whenever DTSC determines that a release of a hazardous waste has occurred or is about to occur, it is authorized to investigate

the nature of the release or potential release, to plan and direct appropriate remedial action, and, if no other party has undertaken the appropriate remedial action, to undertake that action itself. (Health & Safety Code § 25358.3(b).) It is also authorized to require the property owner to secure the site. (Health & Safety Code § 25359.5.)

If DTSC determines that a site or release presents an imminent and substantial danger to the public health or the environment, it may immediately order remedial action by the responsible parties, request the attorney general to seek judicial relief, and/or take or contract for necessary remedial actions. (Health & Safety Code §§ 25356.1(g); 25358.3(a).) The attorney general has jurisdiction to recover all costs expended by the DTSC.

- Enforcement

If DTSC finds any violation of the HWCL or its rules or regulations, or if it finds that the owner or operator of the facility has misrepresented or omitted any significant fact in its permit application or in any other information submitted to the Department, it may suspend or revoke the facility's permit. (Health & Safety Code § 25186.)

Alternatively, if DTSC or the CUPA director finds a violation of HWCL or its regulations, he or she may issue an administrative order against the owner or operator of the facility specifying a schedule for compliance. (Health & Safety Code § 25187.) If corrective action is not taken or if it is determined that immediate action is

necessary to prevent an imminent and substantial danger to the public health or environment, DTSC is authorized to take action itself. (Health & Safety Code § 25187.5.)

If the director finds any violation of HWCL or its regulations, DTSC may request the local city attorney, district attorney, or the attorney general to file suit for injunctive relief or civil penalties. (Health & Safety Code §§ 25181-25182.) To the extent that criminal violations are involved, the inherent prosecutorial authority of the district attorney allows for independent criminal prosecution of any violations without regard to the above-listed requests from the DTSC.

Legislation passed in 1990 creates dual criminal jurisdiction in both the district attorney and the city attorney. (Health & Safety Code § 25191.2.) Coordination between district attorneys and city attorneys is critical to avoid double-jeopardy problems.

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# ENVIRONMENTAL PROTECTION DURING MILITARY OPERATIONS

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In this article I have presented the relationship between Army and environmental protection during operations. This is a very complicated relationship, because of the special character the military organizations represent. Here are too many challenges to overcome, related to the new missions that Army accomplish. Even environmental protection is not the main task of the Army; it is one of the tasks in the list of priorities that should be kept in the focus of political and military leaders, especially during operations.

**Keywords:** Environment, Army, Operations, Environmental Protection, Environmental Considerations, Environmental Pollution.

## INTRODUCTION

With the fall of Berlin Wall and the end of Cold War the World underwent big geopolitical changes. In a world divided in two hostile camps, which stood in full readiness to react if the other camp was going to attack, with two superpowers, supported by Allies under their umbrella, now the world is multi polar, with only one superpower, some Big

Powers and some regional powers. The world's states are organized in some global and regional security organizations, with the goal to guarantee national, regional and international security. The Armies of former two camps armed heavily now have reduced their arsenal, which in general remains too high. The deep changes in the missions of Armed Forces in which are included new missions, as Peace Supporting Operations and support of local government in cases of emergencies, is reflected in their organizational structures, armaments and equipments they are using. Once upon a time with too heavy structures, not appropriate for other missions, but only for war, now Armies are more flexible, mobile and adaptable to new era. Once upon a time an organization non accountable for environmental damages, in peace, crises and war time, now Armies, as all other state institutions are responsible to the international and national law for environmental protection during operations, and in the case of damages to restore and compensate. The production of modern armaments has started to considering and the reduction of environmental influence at maximum. Some Armies, especially in

Western European countries have reacted to new situation, but some of them, still behave in old fashion. National political and military leadership should influence to change the way of thinking and acting starting from themselves, and then to raise the awareness of people serving in their national military organizations.

The very fact is that international organizations have reacted to the new geopolitical situation and because of their influence the environmental protection have changed too much. The international conferences, summits, meetings, workshops, working groups, publications, have had a military component, which have obliged the Armies to act in accordance with national and international law.

## **METODOLOGY**

The methodology used in this article is analytical, comparative and descriptive, based on contemporary literature employed to collect, analyze and draw conclusions for the relationship between Army and environment during operations.

## **RESULTS**

The Armies are part of this world and as such they have to obey and implement the requirements of international and national environmental law even during the operations. They cannot react as they want; they have to respect the environment and protect it, no

matter what the situation is. Of course they have to balance the alternatives, giving priority to operational imperatives over environmental protection.

## **DISCUSSIONS**

The Armies possess a huge number of armaments, equipment and modern systems. To accomplish their missions they use permanently and temporarily large areas of land, inside and outside the country, in which they carry out activities in peace, crises and operations. In crises and operations they deploy in large remote areas, which are not in their administration, in order to carry out their missions. As a consequence a considerable number of the population is forced to deploy from the territories where they live, to the other locations which are less comfortable for living and working.

The activities of the Army have impacts in air, land, waters, over flora and fauna and of course over people themselves. The Army influences in environment through these activities: employment of different types of land, navy and air mobile vehicles; military industry, production and testing of nuclear and conventional arms; sewage, urban waste; fire ranges; exercises, etc.

The level of protection of environment depends on the military mission, the situation, time, season. In peace time the level of protection of environment is at the highest level, but it goes at the lowest level during

operations. So, the attention of the commanders has to be focused on the protection of environment during operations.

Environmental issues can have a significant impact on all the phases of operations, from war fighting to the reconstruction. They can be a key strategic consideration because they have the potential to influence operations and end states, they can pose a health risk to soldiers, they can directly disrupt and they can directly affect military operations by creating diplomatic problems.

Threats from natural resources can effect operations or be a key strategic objective for a mission. Dams can be destroyed and oil wells can be set of fire by the enemy to impair the Army's ability to advance. Thus, the Army may take deliberate actions to secure them, either to ensure that operations are not affected by their destruction or to secure them for more strategic purposes such as reconstruction and nation-building.

Environmental problems can also pose significant health risks to soldiers. If enough soldiers become sick, injure or die because of an environmental health risk, such as pollution exposure or disease, the mission can be adversely affected. In addition, since so many of the countries in which contingency operations occur have significant pollution problems and environmental

degradation, the potential for adverse health effects on soldiers can be much higher than it is in the home country.

Environmental problems can degrade, delay, or disrupt mission operations by affecting unit and equipment readiness, efficiency, effectiveness, and force protection. They have disrupted operations at base camps and have even forced some camps to be relocated partially or entirely. Weak environmental management at base camps can put significant and unnecessary burdens on the logistics system that should be available to support military operations, or stability, support, transition, and reconstruction operations.

Environmental issues can directly affect military operations by creating problems with local communities, allies and host nations. Pollution from military activities has created diplomatic problems in several host nations and could affect Army's ability to operate in those nations. Similarly, environmental concerns can affect community relationship, either positively or negatively, which can, in turn, affect reconstruction activities and even insurgent activities.

Environmental issues can be especially important during the post conflict phase. The Army gets involved in many reconstruction activities that seek to provide basic services to the local population or to develop the necessary infrastructures for eventual economic and social stability and viability of a

host nation. Although these activities usually have large environmental components, the environment is often not the driving force. Projects can be aimed at addressing either local issues or more strategic issues that affect a wider area or long term concerns. Environmental considerations are very important during the post-conflict phase, because basic environmental issues such as clean drinking water and sewage treatment can be very important to the local population, particularly in poor countries that have legacy environmental problems. Army reconstruction activities such as building water infrastructure, rebuilding cultural resources and landfill projects can help improve local attitudes about the presence of military forces. There are examples from some countries that problems with clean water, trash and sewage can contribute to the insurgencies. To the extent that reconstruction projects improve cooperation and build trust with local people, they can lower security risks, improve intelligence and speed reconstruction.

More strategic environmental projects, such as addressing regional and national water flow and infrastructure concerns, can be important for broader national reconstruction. The health of agricultural systems is also an important long-term environmental consideration. Addressing such basic societal concerns can be critical for the country's ability to function and sustain itself, possibly allowing military forces to leave.

Base camps are a major environmental concern for the military forces in the post-conflict phase. Camps must be properly managed to minimize pollution, hazardous-waste spills, avoid damage to natural resources. Left unchecked, base-camp problems can affect soldier health and unit readiness. They can also affect community, regional and national relations in the country of conflict or nearby countries that support military operations. Pollution and other environmental damage can incur financial costs for the Army when it closes because it often has to pay to clean up damage.

Environmental issues and conditions are very different in contingency operations from what soldiers are accustomed to in the home country. Soldiers may face significantly higher environmental exposure risks in contingency operations. Countries where military forces are involved in operations may have serious environmental degradation, including the presence of

hazardous wastes, air and water pollution, disease and degraded natural ecosystems. Many basic community services and infrastructures have been damaged by conflict or not maintained or developed sufficiently to begin with. Thus the practical realities of providing clean drinking water, treating wastewater, disposing of solid and hazardous waste, and avoiding illness from exposures to toxins and disease become common major environmental concerns for the Army in contingency operations. Moreover, deployed

forces must handle these issues themselves, because they do not have the support from the public works staff and contractors that they rely on in home country. And compliance requirements are often different in operations. Sending Nation's Troops and international laws usually do not apply, and the countries of conflict often do not have many environmental laws. Without strict legal regulations and compliance concerns to compel action, some parts of the Army find it difficult to consider environmental issues as a serious concern.

When environmental issues are improperly identified, managed, or addressed, they can turn into bigger problems that have higher costs and risks to health, safety and the mission. In fact, if they are not properly handled, the effects often get worse and can cross over into other media. A fuel spill contaminates the soil, but left unchecked, it can pollute water sources. It is usually more costly to clean up spills than to prevent them, cleaning up a spill that has had time to leach into the soils is even more expensive. It is also more costly to address exposure-related health concerns than to avoid the exposure. And it is usually more expensive and difficult to reassure locals after an environmental incident than it is to avoid the incident. The effects can multiply, partly because many environmental problems can have high risks, such as the health and safety risks associated with the uncontrolled release of or exposure to hazardous materials, hazardous wastes and chemicals.

Some parts of the Army do not fully appreciate the important role that environmental issues can play in contingency operations, particularly in the post-conflict and reconstruction phases. As a result, they do not incorporate environmental considerations into their plans and operations as well as they could. In particular, the strategic aspects of environmental considerations, including desired end states for the operation, are not being sufficiently addressed in planning. Operations in Iraq and Afghanistan suggests that establishing clean-water and sewage infrastructures is important for achieving stability. Yet planners did not understand the importance of these systems or the poor shape they were in before major combat operations ended. This points to the need for high-quality information about environmental conditions and infrastructure before an operation is initiated.

There is a lack of attention to or consideration of environmental issues in operations throughout much of the Army. Many Armies personnel assume that environmental considerations are someone else's responsibility. Commanders often do not know much about such considerations and do not adequately consider them in their planning and other decision making processes. Many soldiers have similar attitudes.

Each operation faces unique country specific needs based on the environmental and ecosystem conditions, culture, local laws and practices, and the technological level of the

existing infrastructure. In many cases, the extent and locations of specific legacy pollution problems and unique ecosystem conditions are not known by military decision makers. Understanding and planning for such conditions can be important for protecting soldier health and also for infrastructure and reconstruction projects that meet the local population's needs and that can be maintained after military forces leave. Cultural issues are also important; because it is important to know what practices are acceptable and sustainable in the culture of the country.

In general Armies focus more on short-term issues than on long-term environmental considerations. Although longer-term issues are typically the responsibility of Joint Force Command, the fact that the Army often ends up staying in operations for much longer than it originally planned argues for more attention being paid to longer-term environmental implications in base-camp infrastructure, health exposure, reconstruction projects, and natural-systems concerns. Issues such as the health of ecosystems, watersheds, biodiversity, species, and agricultural systems may warrant additional attention because of their importance for reconstruction and long-term natural-system sustainability. Better understanding of these concerns and the impact of the Army's actions on them could improve success in the reconstruction and nation-building activities.

Operational planning also does not comprehensively incorporate environmental

issues. Environmental annexes focus on mundane day-to-day issues, not on how to achieve end states. Unit planning appears to incorporate environmental issues even less. Although units are not expected to determine the environmental components of end states desired by the national leaders of military force, their plans should incorporate them where appropriate. Moreover, units often do not have standard environmental procedures for field operations and sometimes leave their equipment for spill response and other environmental emergencies at home when they deploy.

Also there is a lack of training and awareness across much of the Army about environmental considerations, even among those who are supposed to be responsible for environmental issues. Most military units receive little training about how to operate in an environmentally appropriate way in the field and are therefore often unaware of the proper environmental procedures.

Environmental considerations must be addressed sufficiently in contracting. This is an important loophole, because contracting is now fundamental to Army operations, particularly for the construction and operations of the base camps. Contracts for base-camps construction and support are usually written from scratch at each base camp by engineers and base-camp staff who have little knowledge or training in environmental contracting. As a result the environmental aspects of the contract are often poorly written, and

statement of work often does not specify the contractor's environmental responsibilities and liabilities. Moreover, the contracts usually do not include incentives for contractors to minimize wastes. Finally, there is often insufficient oversight when the contracts are implemented, because there are not enough trained people to devote the needed attention and time to the task.

Lessons learned from latest operations have been documented by military structures, but have not been incorporated into doctrine, guidance, training and practice. Also, innovative practices and technological approaches have been developed and implemented by people in the field, but these are often not transferred throughout the theater or to other parts of the Army.

And furthermore, available resources are not sufficient to cover environmental programs and activities in the field, including programs, equipment, and staff. Often the base-camps do not have the funds or the staff to address environmental problems before they get worse or to obtain such environmental supplies and equipment as proper waste-storage facilities.

## **CONCLUSIONS**

Operational imperatives take priority over environmental protection during operations. But commanders must include environmental protection into consideration as early as possible in the planning process and execution of operations.

But they are often underrepresented when they compete for attention, investments and manpower with war fighting considerations. Balancing environmental considerations with other factors that contribute to mission success is a constant undertaking and requires better awareness, training, information, doctrine and guidelines. The lessons learned during latest operations will require changes in policy, planning, training, soldier attitudes, resource allocation and overall awareness. Furthermore, the required changes work in parallel, the Army will not likely be able to implement one without the others.

Implementation of lessons learned should be carefully planned and executed. It will require involvement of authorities at the highest levels of the Ministry of Defense, General Staff and the Services. It will also require resources. The implementation process for the Army strategy for the environment provides a means for incorporating environmental considerations into operations and instituting some conclusions of this article.

Properly accounting for environmental considerations in planning, combat operations, and stability, support and reconstruction operations can help the Armies to achieve strategic, operational and tactical goals and desired end states. Improvement of Armies considerations of environmental issues is important because it can affect mission success and operational effectiveness in operations.



## ACKNOWLEDGEMENTS

And finally, I would like to thank all the commanders of contingents having participated in operations abroad that helped me to elaborate and conclude this article, through lessons learned, experience and practices collected from operational field.

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# THE FACTOR AFFECTING RETURN ON EQUITY (ROE), IN THE BANKING SECTOR IN ALBANIA, THROUGH THE DUPONT MODEL

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The purpose of this paper is to find out which factor affects the Return on Equity (ROE) of the banking sector in Albania, using the DuPont model. The paper will use the DuPont model, through multivariate regression, to look at the influencing factor of return on equity. The banking sector of Albania has experienced constant fluctuations in terms of profitability indicators. The results of the paper show that the factor affecting ROE in Albania's banking sector is ROA, or returns to Assets, i.e. the banking sector of Albania, the return on equity depends on the efficient management of bank assets (ROA).

***Key words: DuPont Model, Banking Sector, Albania, ROE, ROA, EM***

## ***1.Introduction***

The banking sector in Albania has various challenges, it is generally controlled by the Bank of Albania as a regulator of monetary policy. The banking sector continues

to play the main role in financial intermediation in Albania, with a structure that has remained unchanged in recent years, consisting of 16 banks with all private capital and dominance of foreign banks with centers in the Union countries European. For the financing of the activity, the main factor remains deposits, which account for about 82.1 percent of all liabilities of the banking sector. Despite falling economic activity in the country, deposits grew 3.4 percent in 2013, up from 7.3 percent a year earlier, reaching a total of ALL 1.026 billion (Albanian Banking Association, 2013).

The banking sector's profitability in Albania is dominated by an efficient asset management, with an expected return on solid capital. The banking sector's vulnerable challenge in Albania is prevalent in the problems of interest rates and FPS and DPS.

The paper will be organized in this form, the second part will be the review of the literature, the third part of the methodology of the paper and the working hypotheses, the

fourth part will be the econometric model, the fifth part of the results and the interpretation of the model economical and the last part conclusions.

## **2. Literature review**

Work in the field of return on equity through the DuPont model is oriented to two problem-solving segments, first through financial model analysis, interpreting only as a percentage, while the rest through the econometric model.

Professor Ramesh (2015) points out that "The DuPont model is made up of 3 important components, from profitability, operational efficiency, and leverage. Poashti, this author (2015) studying banks in India, is a factor in return on equity, ROA, as asset management is better than banks, because their ownership is predominantly foreign-owned banks, an element that shows that they have easier management, due to the tradition in this sector.

### **2.1. DuPont Models**

The DuPont model is a financial analysis tool, consisting of two influencing elements, ROA (return on assets) and EM Equity Multipliers. Return on Equity (ROE) is the best indicator to see how a share capital of a firm or other financial institution has grown or decreased.

The DuPont model was created by DuPont Corporation in 1920 (Ramesh, 2015). Today there are two variants of this model, the first with 3 steps and the second with 5 steps.

We will discuss the first 3-step model for ROE calculation.

#### **2.1.1. The Net Profit Margin**

The net profit margin of a firm shows how much profit it generates from the sale of short-term assets. Net profit margin depends on competition. In a low-end competitive market, it will be a bad indicator for the company, while the company with a high profit margin shows that they have a premium product or service. Net profit margin differs from firm to firm. It is therefore important to compare other financial reports of different firms in the **same industry (ROE)**.

#### **2.1.2. Return on Assets (ROA)**

ROA is a measure of profitability that shows how the bank carries out its services with regard to its full potential. The return on assets measures net income in relation to total assets. This report shows the return on all bank assets after interest and taxes have been paid. Also, this report shows how well a bank is managed since it shows how much profit is generated on average for each asset unit. The Return on Assets is a much-used report in empirical capital adequacy analysis as it allows comparison between banks of various sizes

#### **2.1.3. The capital buyer**

The most recent and important component of the DuPont model is the capital

multiplier, which shows what benefit the firm will have from debt to finance its wealth. A higher multiplier coefficient shows high leverage, which means that the firm relies more on borrowed loans to finance its wealth. The organization can increase its ROE by increasing the capital multiplier. But if a company already has high leverage, taking additional loans will create a situation for not being able to meet the obligation to creditors and the firm may eventually go bankrupt.

### 3. Methodology

To estimate the factor influencing return on equity (ROE), we will rely on quantitative methods, ie multivariably regressive. The source of the data of the work is the secondary data, ie data with a time series. Time series data are quarterly (3 months), which have been received by the Central Bank of Albania from 2000 to 2010, so there are 44 time series observations. The multivariate regression model will be used to explain which independent variable will affect the dependent variables, respectively ROE. The value of the "p-value" coefficients of the explanatory variables to test hypotheses in the model are of significance of 1%, 5% and 10%.

### 4. Working Papers

The working hypotheses are based on the econometric model:

H0 - Return on Assets (ROA) does not affect Return on Equity (ROE);

H1 - Return on Assets (ROAs) Affects Return on Equity (ROE);

H0 - The capital multiplier does not affect the return on equity (ROE);

H1 - The capital multiplier affects the return on equity (ROE);

### 5. Econometric model

The multivariate regression model for the DuPont model is built on the linear system, where this model has been modified by many different authors, while the work will be based on the model built by Tallinn University of Technology:

$$ROEt = C + \beta_1 ROAt + \beta_2 EMt + \varepsilon$$

Where;

ROEt- Return on Equity, measured for:

$$ROE = (\text{Net Income}) / (\text{Share Capital}) \times 100$$

ROAt- Return on Assets, measured for:

$$ROA = (\text{Net Income}) / (\text{Average Assets}) \times 100$$

EMt - Equity multiplier, measured for:

$$EM = (\text{Total Assets}) / (\text{Share Capital}) \times 100$$

C - Constants for variables

E - random error for period t

T - 2000 to 2010

## 6. The results and the interpretation of the econometric model

To overcome the econometric model data, we used the SPSS statistical program. Based on calculations made of the econometric model, the results obtained from the model data show that the dependent variable has a strong correlation with the explanatory variables at the level of .846 and 84.6 percent respectively. While R<sup>2</sup> in our analysis is .716, which indicates that 71.6% of the dependent variables are explained by independent variables. The adjusted R<sup>2</sup> is equal to .702, which indicates that 70.2 percent of the variance of the dependent variable is explained by the variation of independent variables. In our analysis for verification of model stability, serial correlation was used. The Durbin-Watson correlation value may be in the range of 0 to 4. If the Durbin-Watson value is approximately zero, then the serial correlation indicates that the data in the model have a high positive impact between the residual value. If the Durbin-Watson correlation is offered a value of four (4), it indicates that the data have a negative serial correlation. The model can be

considered stable when the Durbin-Watson results are close to the value range of two (2). The Durbin-Watson test is considered to have no serial correlation within the range of 1.5 to 2.5, indicating that the residual value has no serial correlation or there is no autocorrelation between the residual value. Therefore, based on this interval, the findings in our study show that Durbin-Watson is in the value of 1,708, which is within the range value, and this results in the model being stable (Annex, Table 2).

F-test is equal to .000 indicates that all coefficients together are statistically signified and different from zero. Similarly, correlation statistics show that the VIF factor with the highest value at the regression coefficients is 1.374, meaning that all independent variables are less than 10 (VIF < 10), shows that there is not much collinearity but relatively strong, which implies that the multicollenarity of the data within the model does not pose any problems with the data used (Annex, Table 3 and 4).

Linear regression coefficients give us these values of the econometric model:

$$ROEt = -9.936 + 14.552ROAt + .463EMt + \varepsilon$$

Interpretation of this model will be if ROE (return on assets) increases by 1%, then we will have a ROA increase of 14.552%, keeping constant EM (equity multiplier), also with the increase of 1% of ROE (return on assets), we will have an EM (Equity Multiplier) increase of .463%. Seeing that the

two independent variables affect ROE, the largest impact on the ROE economic variables has ROA, because its coefficient is greater than that of EM. Constant interpretation does not make economic sense.

The significance level is at 1% for ROA, rejecting the hypothesis that ROA does not affect ROE (return on assets), while approving the alternative hypothesis that ROA affects ROE (return on assets). Also, the level of significance is at 1% for EM, rejecting the hypothesis that EM does not affect ROE (return to assets), while approving the alternative hypothesis that EM affects ROE (return on assets).

### **Conclusions**

The DuPont model is built for the purpose of finding the determinants of return on equity (ROE). The results of our paper show that in the banking sector in Albania, between 2000 and 2010, two main factors influenced ROE, ROA (return on assets) and EM (Equity Multiplier), but the largest impact on the coefficient has ROA, an indicator that asset turnover in the banking sector is greater and the profit from the sale of assets to net profit has the greatest impact. Generally, the return on equity to the Albanian banking sector is dominated by lower easing values, indicating that EM (E multiplier) will be smaller, while more banks are based on efficient asset management, such as overlaps for one greater return on equity, as the bank debt ratio is large, an economic parameter that results in a larger ROE and a smaller ROA. The conclusion of

the paper is that the factor that has most influenced the ROE of the banking sector in Albania, based on the model's coefficients is ROA.

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**ANEKS**

**Korrelacioni**

		ROE	ROA	EM
Korrelacioni	ROE	1.000	.675	.083
	ROA	.675	1.000	-.522
	EM	.083	-.522	1.000
Sig.	ROE	.	.000	.298
	ROA	.000	.	.000
	EM	.298	.000	.
N	ROE	44	44	44
	ROA	44	44	44
	EM	44	44	44

**Përmbledha e modelit**

Modeli	R	R <sup>2</sup>	R <sup>2</sup> i rregulluar	Gabimi standardi vlerësuar	Ndryshimet statistikore					Durbin-Watson
					Ndryshimi në R <sup>2</sup>	Ndrihi mi F	df1	df2	Sig.	
1	.846*	.716	.702	3.66841	.716	51.761	2	41	.000	1.708

**ANOVA\***

Modeli	Shuma e katrorëve	df	Mesatarja e katrorëve	F	Sig.
1 Regresioni	1393.120	2	696.560	51.761	.000 <sup>a</sup>
Mbetjet	551.745	41	13.457		
Totali	1944.868	43			

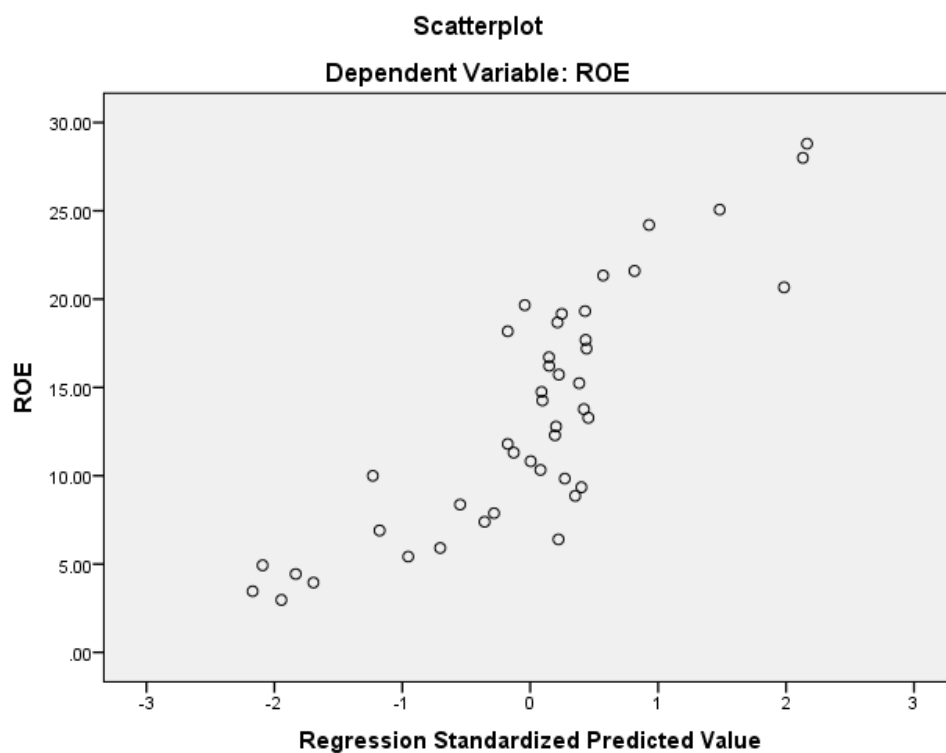
a. Variabla e varur: ROE

b. Vlerësimi: EM, ROA



Modeli	Koeficientët*						
	Koeficientë te pas tandardizuar		Koeficient ët e stand artiz uar	t	Sig.	Statist ikate korrelacionit	
	B	Gabimi st.	Beta			Tolera nca	VIF
(Konsta nj a)	-9.936	2.448		-4.058	.000		
1 ROA	14.552	1.437	.987	10.125	.000	.728	1.374
EM	.463	.076	.598	6.134	.000	.728	1.374

a. Variabla e varur: ROE



# THE SLAVERY OF THE 21ST CENTURY

*Muhamet Lama*

The trafficking of women is a phenomenon of ancient date, its origin It is linked to the era of war and slavery. But always and until now, pursuing a single purpose, which is, the Sexual satisfaction of men.

As a precedent of what is now known as Trafficking, finds a coincidence with what happened in the colonial era; to despite having spent two hundred years, thousands of women with the same purposes such as sexual satisfaction and slave labor.

## **Introduction**

The human trafficking is a silent crime, and difficult to identify such drug trafficking and arms smuggling profitability. It does not forgive any country and constitutes a sad and challenging 21st century reality. July 30 is the date chosen by the United Nations to remind us of the moral precariousness in which we move with an inestimable cost: human dignity. This crime makes men, women and children, often motivated by their dreams and by the expectation of improving their living conditions, subjected to situations of exploitation of all kinds, similar to slavery.

According to figures from the International Labor Organization (ILO), more than 20 million people are forced to perform forced labor (including sexual exploitation) globally, of which 1.8 million in Latin America and the Caribbean.

The vast majority of these people are exploited by companies or individuals . Around 4.5 million are sexually exploited, while almost 70% are forced to work in activities ranging from agriculture, construction to manufacturing and domestic jobs.

## **The global figures**

Women and girls represent the majority of victims of labor exploitation 11.4 million (55%), compared with 9.5 million (45%) of men and boys, although children represent 26% of the (5.5 million child victims).

The figures are terrifying and inaction in the face of this barbarism of the 21st century implies a moral complicity. Since I assumed my position as Secretary General of the OAS , I have proclaimed that my motto of action

during the coming years will be More rights for more people in the Americas.

Nothing more indicated to guide our common action in defense and protection of millions of people in such a vulnerable situation. Therefore, we will also create a Secretary of Access to Rights and Equity that will work in these and other areas of exclusion .

In the hemisphere, there is a commitment on the part of the countries to confront this scourge, with strategies for the prevention and protection of victims, and the punishment of those responsible. It is necessary to translate that commitment into permanent action . In 2000, the Convention against Transnational Organized Crime and its Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially women and girls, was approved.

In a large part of the hemisphere, trafficking in persons was not even defined in the legal system of countries for the definition of crime and legal frameworks were limited or almost nonexistent. Fifteen years later, countries have legal instruments that, in addition to punishing traffickers, protect the rights of victims. We went from a vision restricted to exploitation for the purpose of prostitution, to another in which the different forms of manifestation of this crime are recognized.

And so, thousands of traffickers are in jails, and thousands of victims have been able to rebuild their lives. But it is not enough. We now have a clear Work Plan to Combat Trafficking in Persons in the Western Hemisphere for the period 2015-2018

approved by all OAS member countries. Preventing crime means that potential victims are less vulnerable from the generation of opportunities in economic and social affairs. If the opportunities continue to depend on the social condition, the gender, the race, or the place where one was born, the traffickers will continue to act.

But we can not wait for equality of opportunity to come true to fight crime. On the contrary, it is imperative that the crime be more evident and, therefore, more denounced; that their perpetrators are duly held responsible and punished, and that the people victimized by the criminal networks are protected, assisted and able to rebuild their lives.

This can not be done only by governments. The civil society, the private sector, the trade unions, the church, must be part of the coalition that defeats this scourge and returns to millions of human beings the rights they have violated. We can not accept a world where dreams, rights and freedom are buying and selling.

#### FORCED LABOR, MODERN FORMS OF SLAVERY AND TRAFFICKING IN HUMAN BEINGS

The Global Estimates of Modern Slavery of 2017 focus on two main themes: forced labor and forced marriage. The estimate of forced labor includes forced labor in the private sector, forced sexual exploitation of adults and the commercial sexual exploitation of children and forced labor imposed by the State. The

estimates are the result of a collaboration between the International Labor Organization (ILO) and the Walk Free Foundation, in partnership with the International Organization for Migration (IOM), and benefited from contributions from other United Nations agencies, in particular of the Office of the High Commissioner for Human Rights (OHCHR).

The 2017 Global Estimates of Modern Slavery are presented as a contribution to the Sustainable Development Goals (SDGs), in particular to Target 8.7, which calls for effective measures to end forced labour, modern slavery, and human trafficking, as well as child labour in all its forms. It is intended to inform policy making and implementation of target 8.7 and related SDG Targets. These include eliminating all forms of violence against all women and girls in public and private spheres, including trafficking and sexual and other types of exploitation (SDG 5.2), eliminating all harmful practices, such as child, early, and forced marriage and female genital mutilations (SDG 5.3), ending abuse, exploitation, and trafficking of children (SDG 16.2), and facilitating orderly, safe, and responsible migration and mobility of people, including through implementation of planned and well-managed migration policies (SDG 10.7).

Modern slavery occurred in every region of the world. Modern slavery was most prevalent in Africa (7.6 per 1,000 people), followed by

Asia and the Pacific (6.1 per 1,000) then Europe and Central Asia (3.9 per 1,000). These results should be interpreted cautiously due to lack of available data in some regions, notably the Arab States and the Americas. For forced labour specifically, the prevalence is highest in Asia and the Pacific, where four out of every 1,000 people were victims, followed by Europe and Central Asia (3.6 per 1,000), Africa (2.8 per 1,000), the Arab States (2.2 per 1,000) and the Americas (1.3 per 1,000). While noting limits of the data in key regions, particularly the Arab States, the data suggests prevalence of forced marriage is highest in Africa (4.8 per 1,000), followed by Asia and the Pacific (2.0 per 1,000).

This study examined different forms of forced labour, distinguishing between forced labour imposed by private actors (such as employers in private businesses) and that which was imposed by states. Of the 24.9 million victims of forced labour, 16 million were in the private economy, another 4.8 million were in forced sexual exploitation, and 4.1 million were in forced labour imposed by state authorities.

An estimated 16 million people were in forced labour in the private economy in 2016. More women than men are affected by privately imposed forced labour, with 9.2 million (57.6 per cent) female and 6.8 million (42.4 per cent) male. Half of these men and women (51 per cent) were in debt bondage, in which personal debt is used to forcibly obtain labour.

This proportion rises above 70 per cent for adults who were forced to work in agriculture,

domestic work, or manufacturing. Among cases where the type of work was known, the largest share of adults who were in forced labour were domestic workers (24 per cent). This was followed by the construction (18 per cent), manufacturing (15 per cent), and agriculture and fishing (11 per cent) sectors. Most victims of forced labour suffered multiple forms of coercion from employers or recruiters as a way of preventing them from being able to leave the situation. Nearly one-quarter of victims (24 per cent) had their wages withheld or were prevented from leaving by threats of non-payment of due wages. This was followed by threats of violence (17 per cent), acts of physical violence (16 per cent), and threats against family (12 per cent). For women, 7 per cent of victims reported acts of sexual violence.

### **Conclusions and way forward**

Ending modern slavery will require a multi-faceted response that addresses the array of forces – economic, social, cultural, and legal – that contribute to vulnerability and enable abuses. There can be no one-size-fits-all solution; responses need to be adapted to the diverse environments in which modern slavery still occurs. But it is nonetheless possible to identify some overarching policy priorities in the lead-up to 2030 from the Global Estimates and from experience to date. Stronger social protection floors are necessary to offset the vulnerabilities that can push people into modern slavery. Extending labour rights in the

informal economy – where modern slavery is most likely to occur – is needed to protect workers from exploitation. Given that a large share of modern slavery can be traced to migration, improved migration governance is vitally important to preventing forced labour and protecting victims.

Additionally, the risk and typology of modern slavery is strongly influenced by gender, and this must also be taken into account in developing policy responses. Addressing the root causes of debt bondage, a widespread means of coercion, is another necessary element of forced labour prevention, while improved victim identification is critical to extending protection to the vast majority of modern slavery victims who are currently unidentified or unattended. Finally, we know that much of modern slavery today occurs in contexts of state fragility, conflict, and crisis, pointing to the need to address the risk of modern slavery as part of humanitarian actions in these situations. Further efforts are needed to improve the evidence base on modern slavery in order to inform and guide policy responses in all of these areas.

Key measurement priorities identified through the preparation of the Global Estimates include the improved measurement of modern slavery affecting children and specifically cases of commercial sexual exploitation involving children and child marriage. There is also a need to more effectively capture specific subpopulations such as adult victims of forced sexual exploitation and victims in conflict contexts. The ability to track changes in modern slavery over time will be critical for

monitoring progress in the lead-up to 2030. But perhaps the most important priority is to strengthen and extend national research and data collection efforts on modern slavery to guide national policy responses. International cooperation in addressing modern slavery is essential given its global and cross-border dimensions. Alliance 8.7, a multi-stakeholder partnership committed to achieving Target 8.7 of the Sustainable Development Goals, has an important role to play in this regard.

The Global Estimates indicate that the majority of forced labour today exists in the private economy. This underscores the importance of partnering with the business community – alongside employers’ and workers’ organisations, and civil society organisations – to eradicate forced labour in supply chains and in the private economy more broadly. Cooperation should be strengthened between and among governments and with relevant international and regional organizations in areas such as labour law enforcement, criminal law enforcement, and the management of migration in order to prevent trafficking and to address forced labour across borders.

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# BENEFITS OF USING ONTOLOGIES FOR MODELING E-GOVERNMENT SERVICES

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*Abstract—Government entities offer public electronic services to citizens by providing them efficient solutions for most of their everyday activities. Citizens may have different needs depending on their profile which may include aspects like age, education, health and job status. Due to these differences, users may demand particular information. In this article we discuss about web semantics technologies and the benefits of using ontologies to search through E-Government services. Finally, we propose a case study in which an ontology-based system performs queries on E-Government services which allows the translation from people's life events to services. This solution can improve the usability of government web portals and also can guarantee a better understanding of the services by the citizens.*

*Keywords- E-Government services, ontologies, web semantic systems, domain knowledge.*

## Introduction

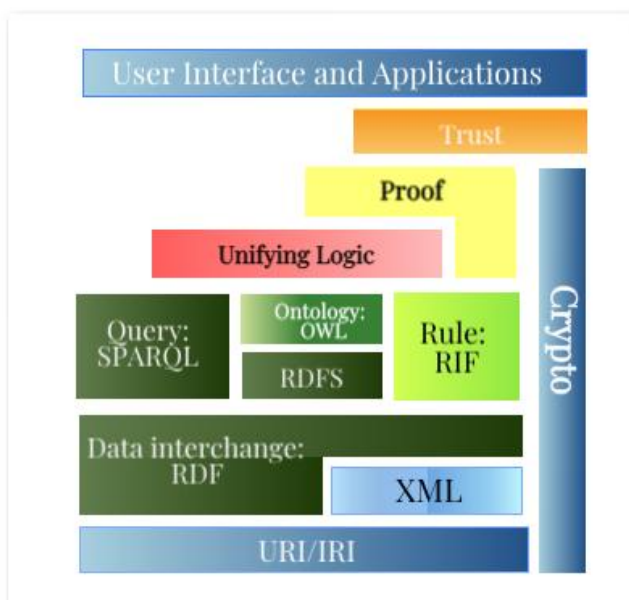
The growth of web today has made users to be increasingly oriented towards online services. Citizens can have access to large amounts of information but it is often challenging to find structured and meaningful information. The reason for this is the lack of linked and structured data, therefore arises the need for semantic web. The Semantic Web is not a separate Web but an extension of the current one in which information is given well-defined meaning, better enabling computers and people to work in cooperation [1].

The need for semantics web techniques is present in many application domains, not only in e-governance. Citizens can access government services offered on web portals but usually these portals are not designed



according to their needs. As discussed by [2], services that are directly related to the solution of a particular problem should be linked or integrated in such a way that the customers gain quick and convenient access to all the services they need in one place.

The infrastructure and architecture of the semantic web provides the right support for managing knowledge and defining concepts, *Figure 1* [19]. In the center of semantic web relies the ontology which allows representation of classes that can describe concepts, it contains attributes of each class and the relationships that may exist between these concepts.



*Figure 1. Web Semantic architecture (Berners-Lee AAAI Boston 2006/11)*

In this article we explain how ontologies are used for web semantic applications today and the benefits of using them in E-Government web portals. We also discuss the design of an ontology-based interface that can be integrated with the services provided by the e-Albania government portal but also other local government portals, in order to serve better the citizens by providing them the services they need.

## USE OF Ontologies

There are a lot of definitions for ontologies by different authors for example “an ontology is an explicit specification of a conceptualization” [8]. In some cases, the term “ontology” is just a fancy name denoting the result of familiar activities like conceptual analysis and domain modeling, carried out by means of standard methodologies [9]. Computational ontologies in the other hand are a means to formally model the structure of a system, i.e., the relevant entities and relations that emerge from its observation and which are useful to our purposes [16].

The importance of ontologies can be examined in some aspects:

- Provides the ability to use domain knowledge.
- Provides a better understanding of information.
- Ensure the use of such knowledge by government systems by establishing a better integration of information between these systems.

As discussed by [9] the role of an ontology can play within an information system is specific. Information systems or IS are combinations of hardware, software, and telecommunication networks that people build and use to collect, create, and distribute useful data, typically in organizational settings [10]. In [9] the author differentiates between two orthogonal dimensions when discussing the impact an ontology can have on an IS:

- A temporal dimension, concerning whether an ontology is used at development time or at run time (i.e., for an IS or within an IS).
- A structural dimension, concerning the particular way an ontology can affect the main IS components.

The structural dimension represents the level of the IS in which the ontology is used, at design or at runtime:

- Database level: this is the most obvious usage of ontologies since they can be compared with the schema component of a database.

- User interface level: ontologies in this level have been used to generate form-based interfaces that check for constraints violation as well as for ontology browsing (Protégé, 2004).

- Application level: at this level ontologies may be used to encode domain knowledge, which, for various reasons is not explicitly stored in the database; some parts of it are encoded in the static part of the program in the form of type or class declarations, other parts (for example business rules) are implicitly stored in the (sometimes obscure) procedural part of the program.

## PREVIOUS RELATED WORK

There are many solutions and researches regarding the use of web semantics technologies to model services, as we can mention the [3] OntoGov project (IST-2002-507237) in which they have developed a platform that facilitates the configuration of governance services based on a meta cluster various ontologies such as legal, organizational, domain etc.

Reference [4] developed another solution based on semantic search that can produce more accurate and relevant search results for a concept-based query, the smart search engine can understand the meaning of multiple concepts entered by a user, and classify and reason about the concepts in the corresponding knowledge domain specified using ontology.

In [5] authors discuss the problem of matching a citizen's needs with available public services and provide a solution based on Governance Enterprise Architecture (GEA) object models and web semantics technologies. The reasoning starts with the need of the citizen and the lack of knowledge about what service can fulfill its

purpose. As the citizen is oriented towards its needs, the aim of the authors in this paper is to associate the needs of the citizen with the services by taking into account the profile that the citizen has. This solution facilitates the communication between service providers and citizens so they don't waste time and energy and in the same time to be less dependent on public administration support.

In article [6] is presented similarly, a goal-oriented ontology-based solution. They again choose a model proposed by the Government Enterprise Architecture-Public Administration (GEA-PA) and its WSMO-PA WSMO implementation [7]. In their approach a user interface is used to specify attribute values that are needed for semantic reasoning. Through the use of intelligent electronic forms that know the current context they are running in, the interaction between public agencies and back office business processes is simplified.

In paper [11] they build a simple life-events ontology with SUO-KIF language and also connect this life-events ontology to SUMO (connecting concepts from both ontologies in appropriate places, i.e. appending concepts from life-events ontology to lower parts of SUMO ontology and deriving life-event ontology concepts from SUMO concepts).

In [12] author developed a working, modular, ontology-driven and easily extensible life-event portal. It is modular since every aspect of their application is handled by definite frameworks or platforms and that communication between them is kept to a strict minimum. Meanwhile Ontology-driven relies in the fact that adding a life-event goal or modifying the underlying profile ontology, or elements to the metadata attached to it, has an immediate repercussion on the whole application.

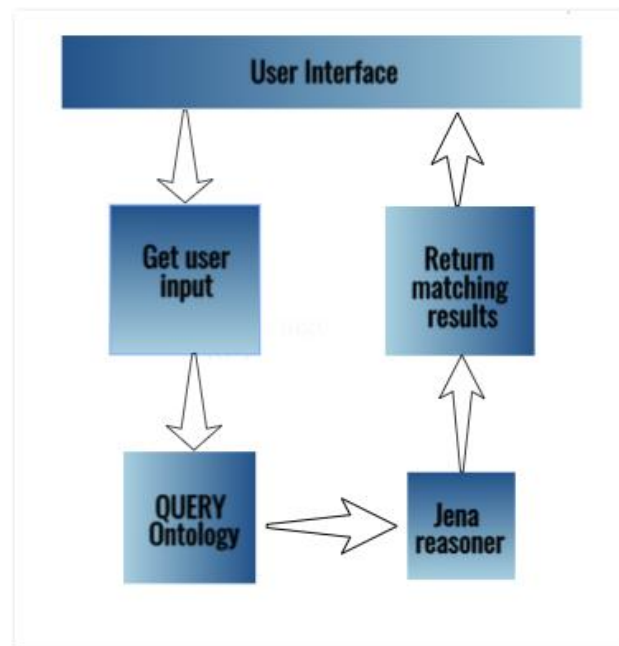
## CASE STUDY

In the previous section, we discussed about many researches based on modeling and building ontologies to connect life events with services provided by governmental instances. They offer solutions to citizens or internal users' needs of these systems. We aim to propose a similar solution that will be based on the services provided by the e-Albania government portal and other local portals. The solution will help citizens to search based on their life events. For example a life event can be defined as "I would like to get permission to build an extension at home." As the citizen manifests this need, he must access the proposed web interface and ask for the services provided for that purpose. The solution must be oriented towards its purpose and according to [13] it is necessary to identify several stages to determine accurately which service is needed.

The first step would be the goal discovery phase, during this phase the user need has to be formulated in a correct way using semantic notations. Second, during the semantic web service discovery phase, a set of semantic web services that might fulfill the goal is retrieved. Finally, the selection phase of the service, in which the web service that will actually be executed is selected from the set of retrieved services.

In the web interface we search the ontology which will be modeled according to government services in order to reflect results as close to the citizen's purpose. For building and modeling the ontology we are using Stanford's Protégé editor. Protégé distribution comes with Pellet reasoner and natively supports SPARQL. SPARQL stands for (SPARQL Protocol and RDF Query Language) it can be used to express queries across diverse data sources, whether the data is stored natively as RDF or viewed as RDF via middleware [14].

We propose the architecture of the system in *Figure 2*.



*Figure 2. The proposed system architecture*

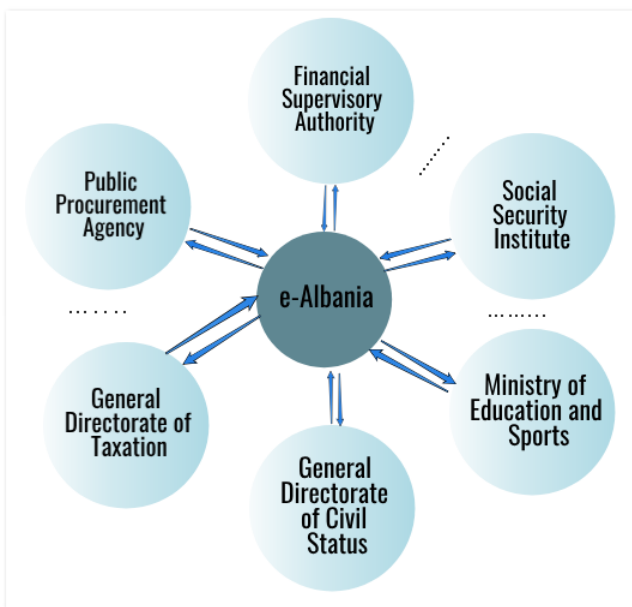
According to the architecture specified above after we receive input from the user, different queries on ontology are made through calls to Apache Jena Server.

Apache Jena Fuseki is a SPARQL server. It can run as an operating system service, as a Java web application (WAR file), and as a standalone server. It provides security (using Apache Shiro) and has a user interface for server monitoring and administration. It provides the SPARQL 1.1 protocols for query and update as well as the SPARQL Graph Store protocol. Fuseki is tightly integrated with TDB to provide a robust, transactional persistent storage layer, and incorporates Jena text query and Jena spatial query. It can be used to provide the protocol engine for other RDF query and storage systems [15].

## Context of services in Albania

In the time when access to online services is indispensable, the Albanian government has made some investments in providing these services. They offer citizens an easy way to solve their problems by saving their time and energy. One of the most centralized service providers is e-Albania government portal that offers over 1344 services from which 782 are provided to citizens, 813 are provided to businesses and 93 services are provided to public administration employees.

The services offered in the web portal are diverse and their main focus is cooperating with other institutions of governmental instances by exchanging data in real time. In *Figure 3*, is presented the interaction of this portal with other institutions, for demonstration purposes we included only a few of them. Some other institutions would be: Electricity Distribution Operator, Courts, General Police Directorate, Ministry of Health, Ministry of Social Welfare and Youth etc.



*Figure 3. List of some of the institutions linked to e-Albania*

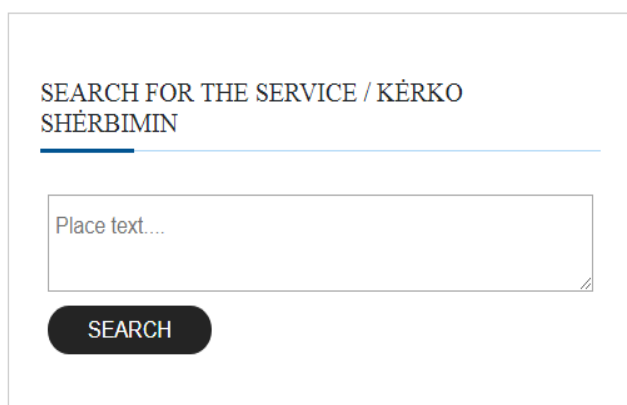
Apart from the institutions that cooperate with e-Albania, there are other portals that offer their services to the citizens but which have not yet interacted with the central government portal. One of these institutions is The High Inspectorate of Declaration and Audit of Assets and Conflict of Interests, which administers the declaration of assets, financial obligations, the audit of this declaration etc. HIDAA collaborates with audit organizations and other institutions responsible for fighting against corruption and economic crime [17]. Another instance is Ombudsman’s Office. The Ombudsman’s Office protects the rights, freedoms and legitimate interests of the individual from the illegal and irregular acts. His mission is the prevention of possible conflicts between public administration and individuals. The Ombudsman’s Office acts based on filled complaints or claims. It also acts on its own initiative in special occasions, but should always take the consent of the interested or the injured [18]. If the services provided by local instances mentioned above would be included in the portal of e-Albania, it would be easier for citizens to have the services in the same place and also this could allow the government to make statistics about the requirements or different citizen complaints, thus providing more effective governance.

A significant project, scheduled to be completed recently by the local government is the construction of a portal with a centralized database to identify social service providers. By this project the local government instances will be aware of the services that non-governmental organizations provide. In the meantime will provide a way to increase collaboration with these organizations. This would also help in designing social policies that best reflect the needs of citizens.

## The design of the proposed interface

The design of the proposed interface *Figure 3* will be straightforward, the user will search in a text field for a service or will set a description of the need he has. During the time the user writes text, we perform calls in Apache Jena Server that executes queries on the ontology. The results will be displayed as suggested services that should match with the user need.

If the search returns results, besides the suggested services, additional information will be displayed. These details might be i.e., the documentation that is needed to obtain this service or the conditions that the person who benefits the service will need to fill in.



*Figure 4. The design of the proposed interface*

In order to achieve even more specific results according to the needs of the citizen, a second search can be made based on attributes related to the characteristics of a citizen such as age, family status, financial status, education, etc. Since more additional information is needed the citizen might fill a form for these features and consequently the second query will consider these attributes and return the matching services.

If the search in the ontology does not return any result, it will become part of the ontology. This process can be achieved by analyzing the text according to the keywords it contains. The aim is for the system to be able to learn from conducted different searches and consequently to be able to return the desired results to the user in the future.

## CONCLUSIONS AND FUTURE WORK

Through this article, we reviewed several aspects related to the importance of using semantic technologies in integration with information systems.

Initially, we discussed the value of accessing the services by the citizens and the difficulties they have to find services modeled in such a way as to resemble their life events. In general citizen's search based on their life events, i.e., "I need health insurance" the ideal situation would be to receive the desired services based on natural languages searches. A solution to fill the gap between life events and services would be to build a system based on ontologies.

The proposed interface in the case study will be based on an ontology that will be modeled according to e-Albania government portal services but not only, it will also include other local portals that are not yet integrated with e-Albania.

The most important work to be done in the future is related to the modeling and construction of the ontology on which this application will be based. Ontology should be rich and should contain knowledge that can be related to:

- The institutions that provide the services.
- Legal acts or various rules.



- Different parts of the documentation of the services.

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