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Institutions, Macroeconomic Policy and the Growth of the Agricultural Sector in Nigeria

By Benson U. Omojimite
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INSTITUTIONS, MACROECONOMIC POLICY AND THE GROWTH OF THE AGRICULTURAL SECTOR IN NIGERIA

Strictly as per the compliance and regulations of :

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I. Introduction

The link between institutions and economic development of nations has commanded much attention in theoretical and empirical research since the emergence of the endogenous growth theories. It is now being increasingly recognized that institutional quality (e.g economic and legal institutions) matter for economic growth, just as other factors such the resource endowment and technical skills. Adebiyi (2004) contends that institutions have direct and indirect benefits on economic growth and development. For example, strong legal institutions that define and enforce property rights attract productive investments from both within and outside the country. They also promote ethical values which promote good conduct and stability in the business environment. These factors have positive effects on economic development.

North (1990) opines that a well designed and functioning institutional framework creates productive opportunities and economic performance. It is further argued that a suitable legal and "economic environment requires reforms of the rules and institutions that govern the strategic interaction of the participants in the political game" (Khalil et al, (2007, p.68).

For a developing country like Nigeria that has embraced macroeconomic adjustment and deregulation, the need for strong institutions cannot be overemphasized. Khalil (2007, p. 68) suggests that for an economy under deregulation, efficient institutions that will :

- Protect property rights, defend the rule of law and fight against corruption;
- Provide appropriate rules or regulation of products, factors and financial markets to offset the sources or cost of market failure;
- Support macroeconomic stabilization, including protecting the value of money and ensuring a sustainable fiscal and monetary balance; and
- Promote social unity and strength.

Of the four roles that efficient institutions play in the development process as listed above, the first, i.e. "good governance" and the forth, i.e., promoting peace, social unity and strength are the more crucial for most sub-Saharan African countries including Nigeria. corruption, "bad governance", social disharmony, political crisis and sometimes armed conflicts have recorded monstrous levels, no meaningful development would take place

One main component of the Structural Adjustment Programme(SAP) in Nigeria and the deregulation measures that followed it, is the deregulation of the financial sector of the economy especially the deregulation of interest rates. This institutional arrangement has had various impacts on the different sectors of the economy especially the agricultural sector, Nigerian agriculture is largely subsistence and access to adequate funds have been a major bottleneck. Against this background this study attempts to empirically establish the impact of some macroeconomic variables including institutions, on the agricultural sector using Nigerian data. The remainder of the paper is structured as follows. Following this introduction, section 2 provides the review of related literature. In section 3, we provide an overview of the agriculture sector in Nigeria. Section 4 provides the empirical methodology. Section 5 reports the results while section 5 concludes.

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II. Literature Review / Theoretical Framework

North (1990) describes "institutions" as limitations which human beings impose on themselves with a view to moderate and modernize human behavior especially in politics, economic and society. Institutions are by and large a means to an end as they facilitate efficiency in resource allocation and the maximization of overall societal welfare function.

Beck et al (2002) classifies institutions based on the unit of analysis. Accordingly, institutions may be classed as legal institutions, political institutions, and economic institutions. Legal institutions are those that oversee the legal system in general and enforce all the laws of the land. Political institutions concern party politics, the political opposition and the political process. Economic institutions define production relations, distribution and consumption process. Jutting (2003) posits that social institutions make and enforce rules concerning access to education, health, sports and community affairs. Adebayi (2004) in a review of the classification notes that institutions may be classed according to the degree of formality embedded in them. Formal rules are made up of "constitutions, laws, property rights, charter, by-laws, statutes and common law and regulations" (Adebiyi 2004, p4). Informal rules in many instances provide the platform for formal rules. They are socially sanctioned norms of behavior, including taboos, customs, traditions and festivals. La Porta et al (1998) contends that economic freedom, political Rights and press freedom are highly correlated to economic growth. In a cross country study Barro (1997) concludes that economic and political institutions are important factors that explain differences in growth across countries. In a study of OECD countries Khalil et al (2007) concludes that more than 80% of the variation in GDP per capita in the OECD countries can be explained by both economic and legal determinants. The study also posits that " counties can develop faster by enforcing strong property rights, fostering an independent judiciary, attacking corruption, dismantling burdensome regulation, allowing press freedom and protecting political rights and civil liberties" (Khalil et al 2007, p.74).

The framework of this study derives from the works of Jutting (2003) and extended by Adebiyi (2004). In its original form income growth (i.e. Gross domestic Gross domestic Product Growth) is determined by both exogenous and endogenous variables. For our present purpose, the growth and development of the agricultural sector is determined by exogenous variables such as climatic conditions, traditional practices, availability of fertile land and other exogenous institutions such as financial institutions. These exogenous variables interact with the endogenous variables such as formal and informal institutions. Such institutions create incentive and disincentives that shape human choices that ultimately impact on cost of transactions. The incentive and disincentive structures determine the extent of political instability, existence of corporate governance, degree of corruption and fraudulent practices and monetary and fiscal policy choice which ultimately determine agricultural sector outcomes.

From the foregoing it is clear that the level of activities and growth in the agricultural sector is influenced not only by macroeconomic variables but also the institutions that have direct and indirect relationship with the agricultural sector.

III. Agriculture Sector in Nigeria

Stylized facts. The agricultural sector in Nigeria is one of the leading sectors in the country in terms of its contributions to income, employment, foreign exchange earnings and domestic food supply. Nigeria with its several ecological zones and climatic conditions supports the cultivation of a wide variety of food and tree crops. Farming in Nigeria is largely dualistic in structure, with a predominantly traditional subsistence segment and a small modern, fairly mechanized commercial segment. Farming systems are many and are fashioned by traditions, land availability and weather conditions. The common systems include but not limited to: crop rotation, mixed cropping, shifting cultivation, terrace farming, sole cropping and irrigated farming.

Many institutions, policies and programmes have been put in place to create incentive and disincentive structures for stakeholders in the sector. Some of such institutions/ programmes are:

- The commodity marketing boards
- Nigerian Agricultural and Cooperative Bank (NACB)
- Agricultural Insurance company
- Agricultural credit Guarantee scheme fund
- Agricultural Research and Training
- Agricultural extension
- Agricultural Development Programmes
- Agricultural pricing and marketing policy

The broad objective of institutions, policies and programmes that were set up in the sector was to improve the performance of the sector over time. Specifically, institutions, policies and programmes were targeted at:

- Promoting self-sufficiency in food and raw materials for domestic industries and possible exports
- Improving the socio-economic welfare of rural people engaged in agriculture Diversifying the economic base of the country and reduce the reliance on crude petroleum oil as the main revenue earner for the country (CBN, 2000).

Although the agricultural sector recorded about the largest number of support institutions, policies and programmes, the targeted goals were not significantly realized in the past four decades. For example, the commodity marketing boards were later abolished due to dismal performance. The River Basin Development Authorities have not done well either. Several reasons have been adduced to the poor performances of the institutional framework for enhancing agriculture in Nigeria. First, it has been noted (Okuneye 2011) that the agricultural sector is underfunded. For example in 2001 only N7.4bn out of the budgeted N10.5bn was released. In 2002, N3.5bn out of the budgeted sum of N12.6 was released, second, it has also been noted that many of the support by the institutional framework went to unintended beneficiaries. And third, the level of official corruption and bad governance also affected the institutional framework and its service delivery.

By and large, the agricultural sector in Nigeria remains the mainstay of the Nigerian economy. The sector remains the leading contributor to national income (GDP). It contributed up to 64% GDP in the 1960s. Although its contribution to GDP has declined over time, it contributed an average of about 40% in the past one decade. Before the advent of crude petroleum oil as the leading export commodity, agriculture contributed the largest portion to merchandise export. Nigeria was the leading producer and exporter of palm produce and second to Ghana in cocoa exports in the 1950s and 1960s. Nigeria no longer enjoy its leading position in the export of these "cash" crops.

In terms of employment the sector is the leading employer of labour. On the average the sector provides employment for about 65% of the adult labour force and 80% in the rural communities. The sector also provides the bulk of food and fiber needs of the country.

The striking feature about the sector since the 1960s is the unstable trend in most of the growth indices. The instability in performance of the agriculture may be attributed to a variety of factors. First, the development of the agricultural sector was neglected following increased revenues from the sale of crude petroleum oil in the early 1970s. Second, as we noted earlier, the sector was grossly under-funded leading to weak performance of the institutional support framework in the sector. The structural Adjustment Programme (SAP) that was introduced in 1986 underestimated the consequences of deregulating the interest rate structure and the contraction in government spending. The deregulated interest rates placed enormous burden on farmers in accessing credits from financial institutions and other credit agencies. Third, the instability in the performance of the agricultural sector may also be attributed to the severe droughts which were recorded in the early 1970 and 1980s.

IV. Materials and Methods

The variables used for this study are:

- Index of Agricultural Production (IAP) is dependent variables.
- Interest Rate spread (IRS) which is computed as the difference between lending and deposit rates;
- Real exchange rate (REER);
- Credit to the agricultural sector (CAG)
- Institutional framework dummy (DUM). This takes the value of one during reforms and zero otherwise
- Deficit financing (DF): defined as government deficit financing;
- Inflation rate (INF)

The data for the study were obtained from the central Bank of Nigeria (CBN) publications (various editions) except REER which was obtained from International financial statistics (IFS), various editions. The interest rate spread is computed, i.e. the difference between the lending and deposit rates. The data for the variables cover a period of 1970 to 2009.

The structure of our model which seeks to explain the role of institutions and other macroeconomic variables on agricultural output performance is of the form

$$IAP = (f(DUM, IRS, INF, CAS, REER\ Df) \quad . \quad . \quad (1)$$

its estimable form equation (1) could be written as :

$$IAP = ao + A_1DUM - a_2IRS - a_3INF + a_4CAS - a_5REER - a_6Df \quad (2)$$

$a_{1,}$ a_3 and a4 > 0; a_2, a_5 and $a_6 < 0$

It is in instructive to justify the inclusion of the variables in the model. The impact of institutional reforms on the agricultural sector is proxied by a dummy variable (DUM) which takes the value of 1 during reforms and 0 otherwise. Mckinnon (1973), Shaw (1973) showed that regulation in some developing countries hindered growth through high interest rates. They contended that deregulation of interest rates will raise the real returns on savings and promote investment and economic growth. Nigeria embarked on a deregulation programme since 1986. A priori, it is expected that the new institutional framework would promote investment and growth in the agricultural sector. The level of investment in the sector also would depend on the rate of interest (IRS) via the cost of capital effect and expected to have an inverse relationship with performance of the sector. The variable representing 'credit to the sector' (CAG), also captures the extent which reforms affect the sector. The exchange rate variable (REER) also enters the equation through the cost of capital effect. The ease with which farmers assess credit from financial institutions will affect the rate and cost of investment in the sector. The way governments finance their deficits (Df) will affect the volume of credit available for private investors in agriculture. If government finances their deficits by borrowing from the public, the volume of credit to the agricultural sector would diminish. And finally, it is our expectation that the rate of inflation (INF) which affects the buying power of consumers would also affect the demand for agricultural products in Nigeria.

a) Unit root test

It is now common knowledge that very often economic data have unit roots. It is therefore necessary to examine the time-series properties of the data to be used in this study as a guide to subsequent multivariate modeling and inference. Hence, we proceed by testing the null hypothesis of autoregressive unit root using the Augmented Dickey-Fuller (ADF) and the Phillips- Peron (PP) tests. The ADF and PP test are based on the test regression.

$$Z_t = a_0 + a_1 z_{t-1} + \sum_{i=1}^{k} \lambda i \Delta z_{t-1} + e_t \quad - \quad (2)$$

Where Δ is the first – difference operator, z is the variable under consideration, the a'_s and λ'_s are parameters to be estimated, and e_t is the error term. The PP test allows for the presence of autocorrelation and conditional heteroscedasticity in the error term based on the test regression (2) except that the λ_s are set equal to zero (Amano and Norden 2001). For both tests, a t-statistic larger in absolute value than the critical value results is a rejection of the null hypothesis of unit root in favour of the stationarity alternative. The results of the ADF and PP tests are reported in table 1 below.

b) Cointegration Tests

We use the system approach developed by Johansen and Juselius (1990) to test for coitnegration among the variables. The tests for cointegration permit us to gauge the adequacy of specifying the long-run value of the dependent variables. For a description of the Johasen and Juselius approach see Amano and Norden 2000, P. 5-6).

Johansen and Juselius (1990) propose two tests with differing assumptions about the alternative hypothesis. They are the Trace statistic which tests the restriction $r \leq q$ $(q < n)$ against the completely unrestricted model $r \leq n$ and the maximum Eigen value statistic which makes the alternative more precise by specifying that only one additional cointegrating vector exists ($r \leq q + 1$).

The log- likelihood ratio test statistics are formed thus:

$$\text{Trace} \quad = \quad -T \sum_{i=q+1}^{n} \iota n(l - \lambda;)$$

$$\lambda^{max} \quad = \quad -T \ \iota n(1- \hat{}\lambda_{q+l})$$

We use the trace statistic and the maximum eigen value statistic to determine whether the variables in our model are cointegrated. The results are reported in table 2 below.

i. *Cointegrating Regression*

As noted earlier many economic time series are difference stationary. Regressions involving the levels of 1(1) series will produce "spurious" results with conventional Wald test for coefficient significance spuriously showing a significant relations where infact none exists (Philips, 1986). Engle and Granger (1987) shows that a linear combination of two or more 1(1) series may be 1(0) in which case we say that the series are coitnegrated. A linear combination of such series defines a cointegrating equation with cointegrating vector of weights characterizing the long-run relationship between the variables.

Consider the n + 1 dimensional time series vector process (y_t, $X^1{}_t$), with cointegrating equation (Startz, 2009):

$$y_t \quad = \quad X'_t \beta + D_{1t}{}' \alpha_t + U_{1t} \qquad -- \quad (3)$$

Where Dt = (D1t$'$, D2t$'$)$'$ are deterministic trend regressors and the n stochastic regressors x_t are governed by the system of equations:

$$X_t \quad = \quad \theta_{21}{}' D_{it} + \theta_{22}{}' D_{2t} + e_{2t} \qquad -- \quad (4)$$

$$\Delta e_{2t} \quad = \quad U_{2t}$$

The $P_1{}^-$ vector of D_{1t} regressors enter into both the cointegrating equation and the regressors equations while the $p_2{}^-$ vector of D_{2t} are deterministic trend regessors which are included in the regressors equations but excluded from the cointegrating equation.

Following startz (2009), the innovations $U_t = (U_{1t}, U_{2t}{}')'$ are strictly stationary and egodic with zero mean, contemporaneous covariance matrix ∑, one sided covariance matrix Ω, each of which may be positioned as

$$\sum \quad = \quad E(u_t U'_t) = \begin{pmatrix} a_{11} & a_{12} \\ a_{21} & \sum_{22} \end{pmatrix}$$

$$\wedge \quad = \sum_{i=0}^{\infty} E\,(u_t u_{i-j}/) \quad = \begin{pmatrix} \lambda_{11} & \lambda_{12} \\ \lambda_{21} & \lambda_{22} \end{pmatrix}$$

$$\Omega \quad = \sum_{j}^{\infty} E\,(u_t u_{i-j}/) \begin{pmatrix} b_{11} & b_{12} \\ b_{21} & \Omega_{22} \end{pmatrix}$$

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The assumption ^ + ^/ - ∑ imply that the elements of y_t and X_t and 1(1) and cointegrate but exclude both cointegration among the elements of X_t.

ii. *Fully Modified Ordinary Least Squares (FMOLS)*

Phillips and Hansen (1990) develop an estimator which employs a semi-parametric correction to eliminate the problems caused by the long-run correlation between the cointegrating equation and stochastic regressors innovations. The FMOLS estimator is asymptotically unbiased and has fully efficient mixture normal asymptotic allowing for standard wald tests using asymptotic chi-square statistical inference. The FMOLS largely helps to overcome the main weakness of the static ordinary least squares. We employ the FMOLS approach is used in the study to estimate equation (1) in log form and in first differences. The results of the cointegrating regression are reported in table 3.

V. Presentation and Analysis of Results

Table 1 presents the results of the ADF and PP tests on the variables of model (1).

Table 1 :

ADF				PP		
Variables	At level	At first difference	Order of Integration	At levels	At first difference	Order of integration
IAG	0.47929	-7.12046*	1(1)	1.29282	-7.25999*	1(1)
RGDP	1.98397	-5.3310*	1(1)	2.43448	-5.30903*	1(1)
IRS	-0.23153	-7.35692*	1(1)	-1.32286	-11.51322*	1(1)
DUM	-1.20611	-6.16441*	1(1)	-1.20611	-6.16441*	1(1)
Df	3.29300**	-2.15913	1(0)	-5.22339*	-13.85809*	1(0)
REER	0.36815	-5.39146*	1(1)	0.23517	-5.40515*	1(1)
CAG	5.48899*	0.50983*	1(0)	-0.42312	-4.52932*	1(1)

*significant at 1%, **at 5%; *** at 10%

From table 1, the unit root tests are unable to find significant evidence of stationarity in the variables used except DF which 1(0). All the other variables can be well characterized as 1(1) using the ADF and PP unit root tests.

Table 2 :

Date: 11/08/11 Time: 10:43
Sample (adjusted): 1972 2008
Included observations: 37 after adjustments
Trend assumption: linear deterministic trend
Series: LAG CAG IRS DUM RGDP DF ER
Lags interval (in first differences): 1 to 1
Unrestricted Cointegration Rank Test (Trace)

Hypothesized No. of CE(s)	Eigenvalue	Trace statictic	0.05 Critical value	Prob**
None*	0.771443	153.6936	125.6154	0.0003
At most 1*				

At most 2	0.615978	99.08260	95.75366	0.029
At most 3	0.540335	63.67151	69.81889	0.1402
At most 4	0.465934	34.91299	47.85613	0.4528
At most 5	0.165348	11.70529	29.79707	0.9416
At most 6	0.126695	5.017894	15.49471	0.8069
	0.000148	0.005478	3.841466	0.9403

Trace test indicates 2 cointegrating eqn(s) at the 0.05 level
*Denotes rejection of the hypothesis at the 0.05 level
** MacKinnon-Haug-Michelis (1999)p-values
Unrestricted Cointegration Rank Test (Maximum Eigenvalue)

Hypotehsized	Eigenvalue	Max-Eigen Statistic	0.05 Critical Value	Prob**
None*	0.771443	54.61096	46.23142	0.0051
At most 1*	0.615978	35.41109	40.07757	0.1529
At most 2	0.540335	28.75852	33.87687	0.1807
At most 3	0.465934	23.20769	27.58434	0.1648
At most 4	0.165348	6.687399	21.13162	0.9652
At most 5	0.126695	5.012416	14.26460	0.7403
At most 6	0.000148	0.005478	3.841466	0.9403

Max-eigenvalue test indicates 1 cointegrating eqn(s) at the 0.05 level
*Denotes rejection of the hypothesis at the 0.05 level
** MacKinnon-Haug-Michelis (1999) p-values

Source : Authors computations

Table 2 reports the results of the Johansen cointegration tests. The Trace test indicates 2 cointegrating equations at the 0.05 level while the λ^{max} eigen values test indicate 1 cointegrating equations at the 0.05 level. Regardless of which tests are used, there is significant evidence that the variables in our model are cointegrated. This implies that a long-run relationship exist among the dependent and independent variables. This implies that the explanatory variables can adequately capture all the permanent innovations in the performance of the agricultural sector over our sample period.

Table 3 :

Dependent Variables: LIAG
Method: Fully Modified Least Squares (FMOLS)
Date: 11/07/11 Time: 10:43
Sample (adjusted): 1971 2008
Included observations: 38 after adjustments
Cointegrating equation deterministic: C
Long-run covariance estimate (Bartlett Kernel, Newey-West Fixed Bandwidt = 4.0000)

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Variable	Coefficient	Std. Error	t-Statistic	Prob
LCAG	0.217572	0.058313	3.731123	0.0008
LIRS	-0.063659	0.080250	-0.793262	0.4337
DUM	0.287786	0.152696	1.884702	0.0689
LRGDP	0.752701	0.073116	10.29456	0.0000
LDF	0.129536	0.050886	2.545588	0.0161
LR	-0.321518	0.073354	-4.383086	0.0001
C	0.531742	0.492481	1.079721	0.2886

R-Squared	0.960462	Mean dependent Var	11.02030
Adjusted R-squared	0.952809	S.D. dependent var	1.5577790
S.E. of regression	0.342751	Sum squared resid	3.641819
Durbin-Watson stat	2.271756	Long-run variance	0.041928

Source : Author's computations.

Table 3 reports the results of our cointegrating regression. We recall that the focus of this paper is to establish a link between public institutions and the performance of the agricultural sector in Nigeria for the period under study. There is no doubt, public policy in general and economic reforms have had varying impacts on the performance of the agricultural sector. We should also recognize that beside the effect of institutions, other factors such as the level of rainfall and climate change affected the sector over the period under study. Our model did not capture such other variables.

We also wish to note that the deregulation of interest rates, the creation of agricultural support schemes and institutions such as the Agricultural Development Programmes (ADP), the Fadama schemes, and even agricultural extension services, all had some form of direct or indirect benefits to the agricultural sector.

Table 3 reveals that bank credit to the agriculture sector (CAG), the dummy for institutional framework (DUM), are positively related to agricultural productivity and are significant at the conventional level of significance. As expected the interest rate spread (IRS) and exchange rate (REER) carry negative signs but only the exchange rate variable is significant. The behaviour of the interest rate variable reflects the practice by financial institutions which make the cost of agricultural loans too prohibitive for farmers.

Table 3 indicates that the role of institutions in promoting agricultural productivity is significant as more credits were channeled to the sector during the deregulation period. The negative sign of REER indicates that a rise in the price of foreign currency diminishes agricultural productivity by way of a rise in the domestic prices of imported inputs. The results also show that as income (RGDP) rises, agricultural performance rises.

VI. Conclusion

In this paper, we set out to examine the relationship between public institutions and the productivity of the agricultural sector in Nigeria. Over the years government provided several institutional support to boost agricultural production. Some of these institutions have had various direct and indirect impacts on the agricultural sector. Specifically, the World Bank/IMF inspired economic reforms have had significant impacts on the sector. In particular, the deregulation of interest rates is one significant phenomenon which has mixed impacts on the agricultural sector.

In this study time series data were collected and analyzed by means of a simple cointegrating regression proposed by Phillips and Hansen (1990). The time series properties of the data were examined using the ADF and PP tests. The tests revealed that except for DF, all the other variables were difference stationary. The Johansen cointegration test on the variables revealed that the variables are cointegrated.

The results for the model indicate that there is a positive and significant relationship between the volume of credit to the agricultural sector and the growth performance of the sector. This indicates that the institutional support programmes and policies in the agricultural sector raised the volume of institutional credit to that sector and impacted significantly on the sector. The DF (deficit financing) variable is significant at 1% and positive. This indicates that government expansionary fiscal policy has expansionary effect on growth in the agricultural sector. REER has a negative but significant relationship with growth performance in the agricultural sector. Dum (i.e. dummy for institutional reforms) is significant at 10% level and has a positive sign. This implies that institutional reforms have impacted positively on the agricultural sector during the period studied.

In summary this study has found significant evidence, in support of the hypothesis that institutions matter in economic growth especially the growth of the agricultural sector in Nigeria. Arising from the findings of this study, we recommend that government should liberalize interest rates to the agricultural sector; we also recommend that government should strengthen institutional support to the sector particularly in terms of subsidized inputs and extension services to farmers.

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Nigeria and the Petroleum Resource Curse: What Ghana Can Learn For Improved Management of Oil and Gas Revenues

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Abstract - Nigeria discovered oil and gas resources in 1956, and has had poor economic performance and even civil war between 1967 and 1970. The recent discovery of petroleum resources in Ghana is one of the positive shocks that country has experienced in the recent past. How this initial positive shock is converted into durable all round development benefits is argued in this paper to be a matter of policy. Unlike Nigeria, Ghana has an added advantage. It can learn from other countries' experiences, notably Nigeria and Angola and make better policies to ensure economic growth and sustainability.Casual observation tends to assume that the exploitation of natural resources such as Oil lead to an increase in income with positive knock on effects to poverty reduction. However, research shows that developing African countries that have at least 25 percent of their exports from natural resources are more likely to have conflicts. Resource conflicts seem to be driven by poor governance, greed and corruption. Improved governance of income from petroleum resources in Ghana could reduce the risk of conflict in Ghana provided Ghanaian government is ready to learn from Nigerian's bitter experiences. Collier (2005) argues that conflicts prone countries are more likely to poorly convert their income from natural resources into growth and revenue. He opines that revenue from primary commodities is a risk factor in civil war. This paper argues that Ghana should subscribe to the principles of good governance. Improved governance will help to reduce both domestic as well as regional conflict risks.

Keywords : *Petroleum resource curse, oil revenue, conflict and management.*

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I. Introduction

The recent oil discovery in Ghana may possibly result into a blessing rather than a curse. Ghana has an added advantage to learn from her closest neighbour, Nigeria in this field and make better policies to ensure economic growth and sustainability. Nigeria however is now having conflict and citizenry become who was in the middle of an oil boom in the 70s and 80s poorer. "Africa has become one of the most promising oil exploration areas in the world over the last decade" (Menachem et al 2004). Ghana is no exception since it's on the verge of becoming an oil producing and exporting country. Her oil revenues may possibly result into a blessing rather than a curse because it has an added advantage to learn from Nigeria and other countries in Africa and make better polices to ensure economic growth and sustainability.

Bannon and Collier (2003) agree with this notion, they claim that the discovery of new natural resources greatly increases the risk of conflict in low income countries especially if the resource is oil. They also argue that a country that has 25 percent of its GDP dependant on primary commodity exports, has 33 percent risk of conflict while one with 10 percent dependency on primary commodity exports, only has 11 percent risk of conflict. Several African countries have had civil wars linked to resource wealth, for example , Nigeria, Angola , Liberia, Sudan and Congo to mention but a few.

Nigeria discovered petroleum in 1956 and also had civil war and poor economic performance in the last three to four decades. However, country like Botswana, one of the world's largest exporter of diamond, has sustained rapid economic growth arising from mineral wealth. Ghana could learn from Nigeria's experiences in order to promote sustainable economic growth through petroleum revenues.

II. Issues in Oil and Gas for Development

Environmental Concerns and Ghana new oil find

There is no such thing as an environmentally friendly, hydrocarbon industry. Production is messy and use of the end product pollutes and causes climate change. There is no point in pretending otherwise. But Exxon Mobil's record on controlling local pollution effects at the point of production is abysmal. Their record in Nigeria (and Alaska) is appalling from the point of view of environmental degradation, community relations, repression and major corruption. They have a

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reputation as the most irresponsible polluting oil corporation in the World-with the exception of the Chinese National Petroleum Corporation, who are even worse (Muurray,2010).

It is worth a note in praise of Tullow Oil, partners and operators in the Jubilee field an Irish company, their commitment to Ghana and to local employment and procurement has been exemplary. It is vital for the future trial a large part of the energy generated by hydrocarbons, and the resulting revenue, is devoted to funding the industrial development of renewable energy technologies. Ghana has great potential for wind energy, solar energy and above all wave and ocean current energy. Major projects in these areas should be developed with oil revenue.

Corruption

The Ghanaians who have been fortunate enough to acquire stakes in Ghana's oilfields, are set to become the richest people in the land. Their families may be in a dominant position in Ghanaian society for generations. There is an understandable concern for those Ghanaians and how they acquired their stakes. That seems to be a perfectly legitimate area for investigation, perhaps initially by the parliamentary energy committee.

Many government ministers are at least partly motivated by their opposition to the proposed Kosmos/Exxon Mobil deal by a belief that those close to ex-President Kufuor own a share in Kosmos, with the inference that the share was corruptly obtained. We do not know if that is true. If there is evidence, let it be properly investigated and acted on. If there is no evidence, forget it. But do not let us have policy in the most vital area dictated by partisan rumour.

Strangely, it is bipartisanship which is most worrying, we pray that Ghana will never become corrupt at all levels like Nigeria, even though we know that oil brings that tendency. Yet there appears to be very little vigour in investigating and prosecuting corruption.

Both President John Kufuor and President John Atta Mills, on coming to power after defeating the previous government in election, appear to have taken the same view. As we see it, they judged that in Ghana's new democracy it is essential that when the government changes, it should be seen by all that vindictive action is not pursued against members of the other party. Only a very small number of middle ranking figures have suffered from anti-corruption action.

These were the actions of wise and generous hearted men. But the danger is that this forbearance can result in a toleration of corruption. A situation can even arise where the political class as a whole see the public purse as something they can loot, with the parties taking turns as they go in and out of power and all the politicians agreeing not to pursue each other for corruption.

We are not saying that Ghana has reached that stage so far, we are saying that it is a danger and that we can be too tolerant as fist become known in Ghana when we warned of increasing corruption in the last years of the Rawlings administration. The same thing happened, only on an even bigger scale, in the last two years of the NPP government.

III. Country Experiences

Although Sub-Saharan Africa is blessed with natural resource endowments, there is still a significant amount of people living on less man $1 a day with endless civil wars. Indeed, countries that are greatly dependent on natural resources are more prone to civil wars, which could lead to a reduction in growth and an increase in poverty (Ross, 2003). Furthermore, *"violent secessionist movements are statistically much more likely if the country has valuable natural resources with oil being specifically dangerous"* (Collier *el d,* 2003). According to Otters (2007), the resources from the recent oil boom enabled the sub-Saharan countries to address social needs and accelerate socio-economic development, However, African governments face a risk of excess government expansion that could lead to boom-bust cycles that inhibit poverty reduction.

Although, there are some improvements in oil revenue management in Sub-Saharan Africa, more needs to be done to ensure an adequate accounting for revenue and adoption of a rational fiscal policy stance. In addition, because the fiscal stance in most countries has not fully reflected the IMF advice, there has been high volatility of fiscal spending, lack of diversification of government revenue sources and failure to accumulate foreign assets (Menachem et at 2004).

It is often assumed that countries that greatly depend on natural resources are more likely to have economic growth and sustainability however the converse is true for most Sub-Saharan countries. Ross (2003) argues that a country's reliance on non fuel mineral export or fuel exports tends to create high poverty rates and research also shows that resource-dependent economies grow more slowly than resource-poor economies. Furthermore, the poorer a country is, the more likely it is to face a civil war (Collier and Hoeffler, 2001).

Table 1 below gives an insight on two major puzzles in resource dependent African countries i.e. conflict and poverty. Figure 1 also shows the dependency ratios for both the oil and mineral producing countries. Among the oil dependent African countries, Angola has the highest dependency ratio of 68.5 percent but it is both a highly indebted poor country and has had a civil war. On the other hand, a country like Libya that has the smallest dependency ratio in this example has managed to maintain growth and economic stability.

Among the non-oil dependent countries, Botswana that has the highest dependence ratio of 35.1 percent is neither a highly indebted poor country nor had civil war in the recent years. It is of special interest as to how Botswana has managed to use its revenues wisely although it is highly dependent on diamonds. Perhaps Ghana can learn from Botswana and manage its up coming oil revenues wisely to reduce poverty and ensure economic stability.

Table 1[3]*:* Resource dependent African countries

Minerals [4]	Dependence	Oil [5]	Dependence
Botswana	35.1	Angola [p]*	68.5
Sierra Leone [P]*	8.9	Congo Brazzaville [p]*	40.9
Zambia [P]	26.1	Nigeria	39.9
Liberia [P]*	12.5	Gabon	36.1
Niger [P]	12.2	Algeria	23.5
Guinea [p]	11.8	Libya	19.8
Dem. Rep. Congo [p*]	7.0		
Togo [p]	5.1		
Cent.l Afri. Rep.*	4.8		
Ghana [P]	4.6		
Angola [P]*	3.6		

[p]Represents highly indebted poor countries
*Represents a civil war since 1990
Source: Ross (2003)

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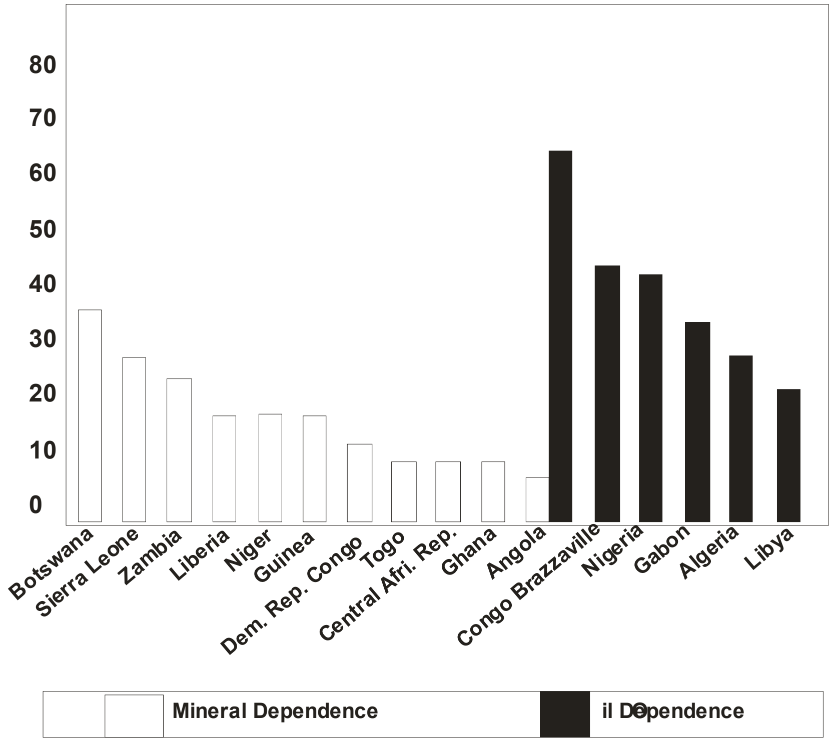
Figure 1: Dependency ratios for resource dependent countries



Source: Ross (2003)

[3] See detailed table 2.4, pp.21 of resource dependent countries in the world. Michael Ross.2003. " The Natural Resource Curse: How wealth Can Make You Poor" The World Bank

[4] Mineral dependence is the ratio of non-fuel mineral exports to GDP

[5] Oil dependence is the ratio of oil, gas and coal exports to GDP

Therefore, two country case studies i.e. Nigeria and Botswana are examined in order for Ghana to learn from their experiences. Nigeria and Botswana were of special interest in this study because Nigeria is highly dependent on oil and has mismanaged its oil revenues and had political instability while Botswana though highly dependent on diamonds has managed its revenue well which has led to economic growth.

Nigeria has suffered political instability, corruption and poor macroeconomic management as a result of oil dependency. Table 1 above shows that Nigeria's oil dependency ratio is 39.9 percent Nigeria discovered its oil and gas resources in 1956 and the government was in control of the resources. Before this oil discovery, Nigeria enjoyed the 1950s agricultural boom. It was an agro- based economy with agriculture contributing 64 percent of GDP. Some of its major exports included cocoa, groundnuts, palm oil and rubber. However after the 1970s oil boom, oil exports increased while agriculture exports were neglected. The oil revenues led to an increase in government expenditure, wage rates and an appreciation of the real exchange rate. Nigeria's loans increased from US $1 billion in the 1970s to US $33 billion by 1991 (Abuka *et al* 2007).

Nigeria experienced fiscal deficits and large public spending that enhanced macroeconomic volatility during the oil booms. Nigeria public spending was quite high, the budget deficit increased from the 1970s as expenditures were rising higher than the revenues. Since 1975, the budget deficit has remained above 4 percent of GDP. The accumulation of this large public sector debt was due to the irreversible rise in expenditures when oil revenue was high (Menachem *et al* 2004). According to Menachem *et al* (2004) analysis, oil price and oil revenue volatility is transmitted to the economy through public spending. Furthermore, weakness in the fiscal administration of the oil sector in Nigeria may lead to inadequate allocation and collection of revenue for the government and that lax audits from the oil companies seem ineffective.

Oil rich Nigeria has a capital-intensive oil sector, which provides 20 percent of GDP, 95 percent of foreign exchange earnings and 65 percent of budgetary revenues. In addition, the agricultural sector only comprises of 17.3 percept of GDP while the industry and service sector constitute 53.2 and 29.5 percent respectively (CIA, 2007,b). Despite all the oil revenues Nigeria gets, 60 percent of the population still lives below poverty line. Corruption, mismanagement of oil reserves and lack of diversification in the export sector could have a big role to play in the slow economic growth and high poverty levels. Nigeria had an oil fund in the past years but the practice was discontinued because of the embezzlement of the funds (Menachem *et al* 2004).

Unlike Nigeria, Botswana has maintained one of the highest growth rates since independence in 1965 and transformed itself from one of the poorest countries in the world to a middle- income country with a per capita GDP of more than $11,000 in 2006 (CIA, 2007,a). Botswana discovered diamonds in 1966 however exploitation did not commence until the 1970s. The sustained economic growth is largely attributed to diamond mining that constitutes 33 percent of GDP and 70-80 percent of exports and 95 percent of government revenues (CIA, 2007,a). Several factors have contributed towards Botswana's success.

Good governance and transparency have played a big role in ensuring sustainable economic growth. Botswana set up National Development Plans (NDPs) to articulate government polices and development priorities. The good fiscal discipline has kept government expenditure from growing as fast as government revenues in the long run. In addition Botswana has been consistent in free market principles, pro-growth polices and strategies in minerals, land, agriculture and social development (Mogae, 2005).

In Botswana, private companies operate most of the mining ventures, although the government of Botswana has a significant share holding (Modise, 2000). This has helped prevent cases of corruption and misuse of economic rents. The returns from the mining have benefited the economy of Botswana. The revenues have been used to develop the infrastructure, human resources and have helped build up foreign exchange reserves.

IV. Oil and Gas Governance in Africa

In order for African countries to use oil and gas for development, it is important to strengthen governance (Van der Veen 2006). It is argued that the basic framework for oil and gas development is a robust petroleum law. Such a law is required to ensure proper governance. The World Bank has been one of the key institutions assisting African countries to develop and establish resources laws. Such laws define the roles of the state, establish key institutions, describe the basic licensing and contractual framework and set the outline of the fiscal regime, in addition, such a law defines the relationship between the oil and gas laws with other existing laws, While countries such as Sao Tome and Principe have established the required laws, in most African countries, the laws remain inadequate and difficult to change.

The institutional frame works also need substantial improvement in Africa in order to ensure successful exploitation of oil and gas resources. Institutions are important because they define how governance is conducted. Countries require assistance to establish strong overseer ministries, national oil and gas companies and accompanying regulatory agencies. Building national capacity in key government institutions has been shown to be important in Angola and Nigeria essentially because the best staff are often taken from government institutions and while international financial institutions such as the World Bank may provide technical assistance when required, it is often difficult to measure the effectiveness of such technical assistance in the oil and gas areas.

Transparency in the management of oil and gas revenues has been shown to be an important attribute. Subscribing to the principles of the Extractive Industries Initiative (EITI) is one means of ensuring success in Africa. Already 8 oil and gas producing countries in Africa namely Cameroon, Chad, Congo, Equatorial Guinea, Gabon, Mauritania, Nigeria and Sao Tome Principe subscribe to this initiative. However, a number of key issues remain because progress varies greatly by country and civil society involvement has tended to be problematic.

Revenue management remains critical because oil and gas revenues require special policies to deal with windfalls. Excessive revenues can lead to corruption and Dutch disease. In addition, due to volatility, revenues tend to fluctuate sharply with oil prices. The solution has typically been to set up an "Oil Fund" that is separate from the regular government budget Examples of countries in Africa that have set up such a Fund include Sao Tome & Principe, Angola and Chad. The key issues relate to the need for strong political authority and consensus to establish the Oil Fund early in the oil development cycle.

The challenge of governance in African oil and gas sectors remains huge despite some progress that has been registered by some countries. Going forward, significant improvements in governance will be key to harnessing the large projected revenues for the sustainable development of the continent. Indeed, EITI remains me only viable continent-wide governance initiative on oil and gas that countries should subscribe to. Ghana's draft oil and gas policy has some good initiatives, however like the other African members of EITI, there will *be* need to go beyond the current content of the initiative to include issues of transparency in expenditure and revenue management as well.

V. Lessons for Ghana

How does Ghana turn its recently oil and gas revenues into a blessing rather a curse? Macroeconomic issues and governance have a great role to play in ensuring that Ghana's oil revenues lead to economic growth and sustainability. Nigeria an oil producing country faces many challenges mainly foreign exchange in flows, oil revenue volatility and the fact the oil is an exhaustible resource. In addition, Nigeria has political instability due to dependence on petroleum resources. Out of 50 years of existence since independent, the military ruled Nigeria for almost 30 years. To avoid the same mistake, Ghana should have a well defined laws and policies to prevent the re-occurrence of military rule in Ghana and even civil wars. Some possible options:

a) Maintain adequate reserves

With buoyant oil prices, oil export lead to large fiscal revenues and if not well managed, result in boom burst cycles. Therefore, good macroeconomic management policies would help prevent mismanagement of revenues. In order to improve macroeconomic management, Ghana should be encouraged to accumulate reserves to protect herself against the next negative oil price shock. Long term sustainability of fiscal policy should also be encouraged. (Menachem et al. 2004) In addition, the Ghanaian government could set up policies to prevent conflict and corruption as a result of oil revenues.

b) Diversifying the export sector

Since Ghana is likely to export oil in the near future, it could consider diversifying its export sector and not fully depend on oil revenues. Diversification might also help a country safeguard against revenue shortfall especially since oil is a non renewable resource. For example, Nigeria was an agro based economy before the discovery of oil. However, after the discovery oil it became a net food importer and has since experiences serious political instability. In addition the government could establish other long term assets to guard against the future short fall of revenues.

c) Extractive Industries Initiative (EITI)

Transparency in the management of oil and gas revenues has been shown to be an important attribute. Subscribing to the principles of the Extractive Industries Initiative (EITI) is one means of ensuring success in Africa. Going forward, significant improvements in governance will be key to harnessing the large projected revenues for the sustainable development of the continent. Indeed, EITI remains the only viable continent-wide governance initiative on oil and gas that countries should subscribe to. Going forward, there will be need to go beyond the current content of the EITI to include issues of transparency in expenditure and revenue management as well. Improved transparency could reduce the risk of conflicts and political instability. Botswana has not experienced political instability and has maintained economic growth partly because of good fiscal policy and transparency. Transparency would help prevent any re-occurrence of civil wars and improve management of any upcoming oil revenues. To enhance transparency and accountability, the IMF recommends the integration of oil sector related fiscal activities in the central government budget (Menachem *el al* 2004;.

d) Public private partnership in ownership

Ghanaian Government could also encourage both public and private partnerships to avoid corruption and civil wars. The sole ownership of oil companies by government might lead to political instability like Nigeria and full private ownership may lead to exploitation. Therefore, private-public partnerships seem to be more efficient and more likely to prevent unnecessary political instability.

e) Be aware that oil and gas revenues are volatile

Oil and gas revenues are very volatile compared to other export commodities due to market conditions (Menachem *et al* 2004). The foreign exchange inflows from the oil revenues could affect macroeconomic stability and the economic structure. Frequent adjustments of fiscal expenditures can be costly therefore; good fiscal policy is needed to protect the economy from volatility of oil revenues. Volatility of oil revenues can be reduced through creation of financial assets from fiscal surpluses as precautionary savings and interest income would in turn reduce the overall volatility in government revenue. Volatility could also be reduced through hedging against oil price fluctuations on international commodity exchange (Menachem *et al,* 2004).

f) Manage the likely appreciation of the exchange rate

Oil production is capital intensive and this increases foreign exchange inflow. Excessive foreign exchange inflows could lead to an appreciation of the exchange rate that could in turn lead to a lack of competitiveness in the non-oil tradable sector. This is what is sometimes referred to as the Dutch disease. Menachem et al (2004) argues that the economic structure would then shift from the production of tradable goods to non-tradable goods, which would lead to a rise in import goods. It would be wise for the government to accumulate savings that would help prevent the over appreciation of the Cedes. One method to prevent real exchange rate appreciation, is to design government policies that encourage private sector saving, reforms on pension and banking system, greater reliance on indirect taxes and business profit taxes could be implemented. In addition, fiscal policy should aim at accumulating savings in the form of foreign financial assets in years with high oil revenues, which could then serve to finance deficits in years with revenue shortfalls.

g) Ensure durable financial investments

Olters (2007) argues that most Sub-Saharan oil producing countries cannot maintain their fiscal position after the depletion of oil reserves regardless of increase in oil prices and a respectable real rate of return on the financial assets. He advises that governments need to devise effective financial investment strategies to overcome institutional obstacles. They also need to implement structural reforms aimed at increasing the productivity of public investments to stimulate growth and increase the suitable level of government expenditure. Governments should ensure that non-oil taxes don't fall as a share of non-oil GDP for reasons other than changes in tax policy.

h) Ensure prudent management of public expenditure

Governments could use their revenues to finance public expenditure rather than financial assets and to reduce taxes to eliminate distortions and disincentives. This is important for countries where there is great need to build infrastructure and provide essential services. (Menachem *et al* 2004) Improvement of infrastructure and public services would improve productivity and help reduce poverty in Ghana.

Other considerations for Ghana to learn from Nigerian experience includes Petroleum Industry Bill (PIB) - The petroleum Industry Bill is intended to reposition Nigerian oil and gas industry and ensure investment and transparency in the oil sector. The bill will lead to the incorporation of the Nigerian National Petroleum Corporation, NNPC as a limited liability company . In this case, the company would be subjected to the regulatory power of the upstream regulators. It will establish clear principles of the working of the incorporated joint ventures and guarantee that government continues to secure the maximum benefits from its investment in the joint ventures while relieving government of the problem of 10 percent of the crude oil revenues been provided for the host communities. With this type of arrangement the oil and gas operators would be relieved of carrying out their corporate social responsibilities project while the host communities would have a huge sense of belonging.

The bill will also legislate against unimpressive and non profitable leases that are usually awarded to indigenous and marginal field operators. This will encourage growth of individual companies up to a thresh hold of about 50,000 barrels per day. Nigeria's long term energy security depends on her ability to deliver petroleum products in domestic market at cost effective prices. Deregulation is one of the issues that the petroleum industry bill would address which Ghana can from the on set emulate.

VI. Conclusion

Despite the fact that oil dependent Sub-Saharan African countries face a number of constraints, Ghana has an added advantage of learning from other countries' experiences to achieve sustainable economic growth. Oil revenues can indeed become a blessing rather than a curse. With improved macroeconomic and fiscal policy, Ghana should be able to fully enjoy the benefits of oil reserves. This could in turn lead to economic growth and sustainability.

The fact that most developing oil producing countries have not achieved the full benefits of being an oil rich country, more research needs to be done on oil and gas exploitation in Ghana to enable government to devise means of benefiting from the oil reserves. The government needs to implement adequate macroeconomic policies and the required political actions to avoid corruption and resource driven instability.

In order for Ghana to use oil and gas for development and avoid conflict, it is important to strengthen governance. The basic framework for oil and gas development is a robust oil and gas *law.* Such a law will ensure proper governance because it will define the roles of the state, establish key institutions, describe the basic licensing and contractual framework and set the outline of the fiscal regime, in addition, such a law will define the relationship between the oil and gas laws with other existing laws.

In a nutshell, the institutional framework for oil and gas exploitation in Ghana needs to learn from world best practice cases to ensure successful exploitation of these resources. A strong institutional framework is necessary to define how governance is conducted. Building national capacity in key government institutions and departments will be required to ensure continuity.

Transparency in the management of oil and gas revenues has been shown to be an important attribute. Subscribing to the principles of the Extractive Industries Initiative (EITI) is one means of ensuring success for Ghana.

The management of oil and gas revenue will be critical because special policies are needed to deal with windfalls. Excessive future revenues could lead to corruption and Dutch disease, In addition, due to volatility, revenues tend to fluctuate sharply with oil and gas prices. The solution may be to set up an "Oil and Gas Fund" that is separate from the regular government budget.

There should be at least 10 percent of Crude oil revenue provided for the host community which will go a long way at assuaging the feeling of the communities.

The challenge of governance in Ghana's oil and gas sectors is huge, but there are a number of best practice cases to learn from. Going forward, significant improvements in governance will be key to harnessing the projected revenues for the sustainable development of the country. Ghana needs to subscribe to the EITI because this remains the only viable continent-wide governance initiative on oil and gas, Ghana's draft oil and gas policy has some good initiatives, however like the other African members of E1TI, there will be need to go beyond the current content of the initiative to include issues of transparency in expenditure and revenue management as well.

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The Paradigm Examples of Polar Concept In Shakespeare's Hamlet

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Abstract - The present article tries to make a fresh analysis of Shakespeare's touchstone Hamlet taking into consideration the term polar concept argument. Polar concept is a postmodern hermeneutical form of reading and analyzing texts which sprung from the mind of the British philosopher and critic Gilbert Ryle. Polar concept, as a reading strategy, is a kind of argument that affirms the understanding of one concept, from the mere understanding of its polar opposite. English literature is replete with write-ups that tackle readers in a dilemmatic situation, and this has always caused the dualistic concepts to come to the fore; however in a polar concept strategy understanding occurs because the existence of one concept paves the way for its contrary and consequently leads to a dialectical monism. The polar concept as a literary term has played a very crucial role in Shakespeare's Hamlet, therefore, this study is an attempt to highlight the polarity of different concepts in this tragedy. The author believes that by drawing a paradigm of polar concepts throughout Hamlet, or any other text, readers would be able to enjoy different levels of meanings without being petered out by the dexterity of literary devices and tropes.

Keywords : *Hamlet; Polar concept; Meaning; Balance.*

GJHSS-C Classification : *FOR Code : 200405*

THE PARADIGM EXAMPLES OF POLAR CONCEPT IN SHAKESPEARES HAMLET

The Paradigm Examples of Polar Concept In Shakespeare's Hamlet

Nasser Maleki

Abstract : The present article tries to make a fresh analysis of Shakespeare's touchstone *Hamlet* taking into consideration the term polar concept argument. Polar concept is a postmodern hermeneutical form of reading and analyzing texts which sprung from the mind of the British philosopher and critic Gilbert Ryle. Polar concept, as a reading strategy, is a kind of argument that affirms the understanding of one concept, from the mere understanding of its polar opposite. English literature is replete with write-ups that tackle readers in a dilemmatic situation, and this has always caused the dualistic concepts to come to the fore; however in a polar concept strategy understanding occurs because the existence of one concept paves the way for its contrary and consequently leads to a dialectical monism. The polar concept as a literary term has played a very crucial role in Shakespeare's *Hamlet*, therefore, this study is an attempt to highlight the polarity of different concepts in this tragedy. The author believes that by drawing a paradigm of polar concepts throughout *Hamlet*, or any other text, readers would be able to enjoy different levels of meanings without being petered out by the dexterity of literary devices and tropes.

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I. Introduction

The present article is divided into two parts: it first introduces Gilbert Ryle's Polar concept as a postmodern reading strategy in analyzing literary texts, which is then followed by utilizing the term polar concept in achieving meaning in *Hamlet* that is one of the most frequented tragedies among literature students in Iranian universities. The author therefore starts analyzing the text of the play to foreground the possible traces of polar concepts of dualisms, ambiguities, and simultaneous encounter of concepts. The article ends, conclusively, by briefly monitoring on the polar concept as a philosophical doctrine that views reality as a unified whole, and the extracts cited in the main body of the article serve mainly to contextualize and support such a manifestation.

II. Discussion

a) What is Polar Concept?

A polar concept argument is a kind of reading technique which posits the understanding of one concept, from the mere understanding of its polar opposite. In some more cunning way, one can say that in this kind of research the polar or as its postmodern counterpart stands the binary oppositions supplement each other in a Derridian way. However, Anthony Grayling's crusade against Scepticism or metaphysical reading of tests and fixity of meaning provides the foundation for this kind of reading strategy and forms the subject matter of one of the landmark terms in which he propounds the theory of duality in the form of a present being in a text drawing chiefly on the linguistic model, and this term was polar concept. In the words of Blackburn, "the term is used to suggest both Saussurean emphasis on meaning as the function of differences or contrast within a network of terms, meaning determining relationship with the extra-linguistic world" (2005, p. 100).

This kind of reading like that of any eschatology is an accomplice of the reduction of structurality of structure that is conceived on the basis of polarity of different concepts. Put differently, in this strategy, in reading any text when one grasps the essence of one polar concept, one also grasps immediately the essence of its polar opposite. Ryle's highly controversial discussion on the polar concept argument runs as the following:

> A country which had no coinage would offer no scope to counterfeiters. There would be nothing for them to manufacture or pass counterfeits of. They could, if they wished, manufacture and give away decorated disks of brass or lead, which the public might be pleased to get. But these would not be false coins. There can be false coins only where there are coins made of the proper materials by the proper authorities. In a country where there is a coinage, false coins can be manufactured and passed; and the counterfeiting might be so efficient that an ordinary citizen, unable to tell which were false and which were genuine coins, might become suspicious of the genuineness of any particular coin that he received (1960: 73).

This, I believe, might implicitly occur in different areas of knowledge even science and technology, and the result it has always propounded has been an unconscious dialectical monism. Somehow referring to the monism created by the polar concept in literary text, Norman Fruman says that "Unity as an aesthetic category is not something that exists objectively in the work of art. It is projected by the beholder" (qtd. In Swanepoel, 2010, p. 191). This further can highlight the

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postmodern notion of the reconciliation of the opposites in literary criticism, which shows the overall tendency of the researchers to direct their notion toward discovering the polarity of concepts in reading and analyzing literary texts, even when they are lost in no centrality in any text (Ibid).

To put it in a different stylistic feature, it is conceived that when an event in a text emerges itself, it becomes a structure, or the structurality of structure which has always been neutralized or reduced. And this is a process which gives it a center or referring it to a point of presence, a fixed origin, but this law of the central presence is never itself, and has always already been transported outside itself for anything which has somehow pre-existed it (Maleki & Navidi, 2011, 310). From then on it is probably necessary to assume that there is no center in the text under the study, that its center has no natural locus, therefore the concept of sign, and the relation between signifier and the signified is very fluid and enables a free play of the latter, hence there might happen to be a chain of signifiers and nothing is signified. When it is applied to literature or literary texts like *Hamlet* it becomes a revolutionary activity. Consequently, it is transparently sensible to assume that, Hamlet's, or any other text's, opposite statements, in one way or the other is connected to Grayling's polar concept argument, which ultimately leads to the interpretation or meaning of that text. According to him, "there cannot be counterfeit coins, unless there are genuine ones, nor crooked paths unless there are straight paths, nor tall men unless there are short men" (1995, p. 54). Embroidering in the same sense, Franceeschi (2003) suggests that

> Paradigm examples of polar opposites are positive/negative, small/large, static/ dynamic, internal/external, and so on. But let us provide an explicit definition. To begin with, polar opposites are polar concepts, i.e. concepts which intuitively come in pairs, and are such that each one is defined as the opposite of the other. For example, internal can be defined as the opposite of external, while symmetrically external can also be defined as the opposite of internal. Both poles are the contrary of one another. In a sense, there is no primitive notion: neither pole of the A/Ā duality can be regarded as the primitive notion (1 of 7).

Such duality is consistent with trends in meanings and language, because meaning is not present outside, words and language, and inside objects, thoughts, mind, ideas, or mental images; rather it is a function of the system of signs, of the language itself. Sign as what Soames (1999) believes is viewed as "a structure whose structurality has always offered a fixed position which limits its freedom, and is the disruption of presence" (67). The presence of an element is always a signifying and substitutive reference inscribed in a system of differences and the movement at a chain. Freeplay as depicted by Maleki & Navidi "is always an interplay of absence and presence" (p.31). And in the same token, Levi-Strauss high lighting the freeplay of repetition and repetition of freeplay says, "turning toward the presence, lost or impossible, of the absent origin, this structuralist thematic of broken immediateness is the sad, negative, nostalgic, guilty" (1963, p. 57).

Here, it is significant to note that many of Derrida's encounters with the tradition of Western thought attempt to reveal and undermine what he sees as the fundamental binaries which betrays Western metaphysics of presence that of speech over writing. He claimed that

> Western thought had been structured in terms of hierarchical oppositions where one of the terms had been given a qualitative and/ or temporal priority over a supposedly derivative, inferior, or undesirable other (1982, p. 84).

Derrida turns language into an experience, which exemplifies that sings are independent of the signified. He says,

> by decentering the structure, by freeing ourselves of the notion of a non-representative ground of our signs (representations). As long as the absolute signified retains authority, sings are restricted to accurate representations of it. Only by erasing this centre can genuinely free interpretation occur, by which we mean that all propositions and sings are conventionally meaningful as relations, differences, and functions of other propositions and sings (1978, p. 62).

b) *Polar Concept in Hamlet*

Such a postmodern manifestation, that is, polar concept in a literary text like *Hamlet* written more than half century ago , at first glance, seem difficult and even impossible. However, after reading the main body of the text, it becomes interesting to know that the author has consciously or unconsciously extrapolated the term polar concept in his write ups from the beginning till the end of the play. After reading the main text of the play, one is amused by detecting several instances of polarities which are dominating or captaining the tragedy. It is interesting to discover that Shakespeare who has lived in the sixteen century has applied this post-modern term. He is so intelligent that his thoughts were out of the limitations of his time and place. His approaches to the main context of the play reside in the reality of the dual opposites and dichotomies either in the concepts, or ideas.

For Derrida such dichotomies tend to privilege identity, immediacy, and presence over difference, deferral, and absence in a text. The difference is one of the two forces of each sign in words. The other force of the sign is its power of deferment, the capacity to postpone. Therefore Hamlet's famous soliloquy, "to be or not to be, that is the question", reveals meaning referring to absences, that which is not there, something to be discovered. Hence, half of the sign is what it is not, and the other half is not there. These two forces inhabit each sign. Then, no sign is fully adequate, it is written 'under erasure', which expresses the inadequacy of the sign. Shedding more light on Derrida's argument, Grant believes:

> A particularly important type of discrimination is that where one concept, so to speak, includes by exclusion. Concepts related in this way constitute the most important concepts of our thinking, we denoted as polar concepts (1955: 48).

One of the four great tragedies of Shakespeare is Hamlet. The plot centers round prince Hamlet's inability to take action against his uncle who has killed his father and married his mother. Before I take an eagle's-eye view of the paradigm instances of the polarity of concepts in this tragedy, I must say that these instances might not be attributed to Shakespeare the man. The reason behind this goes to the collaborative nature of the Renaissance drama (such as the original *Hamlet* being written by Kyd, or Saxo Grammaticus) or its being refashioned by Shakespeare. However, of the play I shall mention that Shakespeare is certainly the author, either wholly or mostly. The first outstanding clash of the opposites occurs in the beginning of the play, the time when Hamlet has changed into a permanent mourner and a disguiser of lunacy. In an occasional encounter with his uncle, King Claudius makes a fictitious question from the prince, as he says:

> *How is it that clouds still hang on you?*
> And Hamlet answers:
> *Not so, my lord, I am too much in the sun.*
> *[Act I, Sc. II]*

These lines show how impossible it is to escape the differential nature of language, or the undecidable flow and counterflow of all significations. Speaking subjects are caught up in the interminable wearing, unwearing and rewearing of the fabric of discourse. The pairs of terms like clouds accompanying shadow/ sun are assumed to from a hierarchy of value or truth. In some other parts of the same act Horatio says:

> *My Lord, I came to see your father's funeral.*
> And Hamlet replies:
> *I pray thee, do not mock me, fellow-student;*
> *I think it was to see my mother's wedding.*
> .
> .
> .
> *Would I had met my dearest foe in heaven.*
> *[Act I, Sc. II]*

'Funeral' is a ceremony of burying or burning a dead person, and 'wedding' is also a ceremony though the marriage ceremony, hence the newly asserted hierarchy is itself displaced and is not allowed to install a new truth or structural fixity; such polarity of oppositions creates a state of unstable disequilibrium. The brief formulation of polar concepts is encapsulated in the phrase 'my dearest foe'. The word 'dear' means loved precious one, and 'foe' implies enmity or strangeness. To the phrase 'my dearest foe' involves in performing another purpose, which takes on a different meaning or function. This example provides the ambivalence evidence of difference entity. In some other parts of the tragedy or the play in the play scene, I found Polonius saying:

> *Hither, my lord.*
> *Hamlet: Buzz, buzz.*
> *Pooniusl: Upon my honour*
> *Ham: Then came each actor on his ass [Act III, Sc. II]*

Hamlet's statement supplies a rejoinder to the phrase 'upon my honour', in order to degrade Polonius, to maintain the balanced vision of truth. The most outstanding example of polarity of concept can be witnessed in Hamlet's important paradox:

> *To be, or not to be, that is the question:*
> *[Act III, Sc. I]*

Here the play of difference makes an unanswerable question. The metaphysical question raised by this sentence concerns Being and Non being. Does the thought (exist)? It is a thing; on the other hand, its origin, destination, meaning, nature, and very existence are in doubt. The snow white doubt, in the phrase, is the very presence of the thought, and this discourse is subject to the play of difference. This includes the meanings to differ, to dispense and to deffer. The signifiers (including spoken or written words) can never have settled the signified (concepts of things); that is language cannot capture presence. Language is a system of differences and not a collection of units of meaning. Signifiers disperse meaning and defer presence.

There is a sense that none being and being are one, that the thought, though nonexistent has the force of being. This being is really the non-being; that there is something which is determined by the repetition. It returns, not to be repeated, but marks its existence. It implies that, every movement towards determinate meaning is blocked, and the concept of indeterminacy and difference erode all notions of knowledge, objectivity, and identity. Extrapolating on the same issue, another example of the polar concepts is implicitly revealed in Hamlet's sentence to Ophelia:

> *You should not have believed me; for virtue cannot so inoculate our old stock but we shall relish of it. I loved you not. [Act III, Sc. I]*

And in the final act, Hamlet speaking to his mother about Ophelia says:

> *I loved Ophelia. Forty thousand brothers*
> *Could not, with all their quantity of love*
> *Make up my sum [Act V, Sc. I].*

The comparison of the two statements by Hamlet implies the polarity of concepts. This sense is repeatedly implied in Hamlet's conversation on marriage with Ophelia, he says:

> *Or if thou wilt needs, marry a fool; for wise men know well enough what monsters you make of them. [Act III, Sc. I]*

Here Hamlet toys with the words 'fool' and 'wise', just opposing them as if one causes the other to exist in both lingual and conceptual polarity and the consequence, I think, is a sense of unification in the unconscious part of the reader's mind. In the proceeding lines of the same act, Hamlet says:

> *I have heard of your paintings well enough. God hath given you one face and you make yourselves another. [Act III, Sc. I]*

Here again the ambivalence words such as 'one face' and 'another' can possibly be considered as another example of polarity. In fact, the way Hamlet shapes and moulds the words in reader's mind and thought is transparently determined by a preexisting system of differences which operates through language. Later, Hamlet speaking to his mother says:

> *Look here, upon this picture, and on this,* [He shows her pictures of his father and his uncle],
> *The counterfeit presentment of two brothers.*
> *See, what a grace was seated on this brow-*
> *Hyperion's curls, the front of Jove himself;*
> *An eye like Mars,to threaten and command;*
> *A station like the herald Mercury*
> *New lighted on a heaven-kissing hill,*
> *A combination and a form indeed*
> *Where every god did seem to set his seal,*
> *To give the world assurance of a man.*
> *This was your husband.-look you now, what follows:*
> *Here is your husband, like a mildewed ear,*
> *Blasting his wholesome brother. Have you eyes?*
> *Could you on this fair mountain leave to feed,*
> *And batten on this moor? Ha, have you eyes?*
> *You cannot call it love; for at your age*
> *The hey-day in the blood is tame, it's humble ……..*
> *but sure that sense*
> *Is apoplexed; for madness would not err,*
> *Nor sense to ecstasy was ne'er so thralled*
> *But it reserved some quantity of choice*
> *To serve in such a difference …….*
> *When the compulsive ardour gives the charge,*
> *Since frost itself actively doth burn*
> *And reason panders will. [Act III, Sc. IV]*

In the above extract, and given this definition, we are in a position to distinguish the polar concepts revealed in the delicate balance of the Queen's previous husband (Hamlet's father), and her present husband (king Claudius). He compares the previous king to Hyperion, Jove, Mars, Mercury. By these comparisons, Hamlet lays bare his father's grace and dignity in contrast to the present king calling him 'a mildewed ear blasting his wholesome brother'. In addition, he steps fort to declare another pair of opposites by comparing 'frost' and 'burn' accompanying the young love, and the old one. Hamlet even confesses these differences in the line, 'But it reserved some quantity of choice/ to serve in such a difference'. These and many other instances of polarities implanted in the text of this tragedy, as spoken by the hero, now seem to have been anachronic for the literary context of the first half of the 16^{th} century, and it is, I believe, a tangible testimony to the existence of postmodern facts in Hamlet the tragedy. Embroidering in the same token and content, the following example can be of great use in which the queen is addressing his son Hamlet:

> *O Hamlet, thou hast cleft my heart in twain.*
> And Hamlet replies to her:
> *O, throw away the worser part of it and live the purer with the other half.*
> *[Act III, Sc. IV]*

This line is structured throughout by an underlying dualism of thought which moves between 'the worser part', and 'the pure one'. Hamlet holds the object of thought in a dynamic tension between the poles of dualistic visions. He, consciously or unconsciously moves between the two halves of destroying the concept of transcendental signified. Knitting to the forgoing notion, one can't stop monitoring the conceptual oppositions prevailing the atmosphere when Rosencrantz inquires Hamlet for Polonius's corpse, he asks:

> *Rosencrantz: My Lord, you must tell us where the body is and go with us to the king.*
> *Hamlet: The body is with the king, but the king is not with the body. The king is a thing-*
> *Guildenstern: A thing, my Lord?*
> *Hamlet: Of nothing-Bring me to him [Act IV, Sc. III]*

These retorts imply that the two commands are one; the body should be in the place where the king is. The body of Polonius is here in the palace 'with the king', but the king, not being, as it is, dead, is 'not with the body'. On the other hand, the other illustration suggests that, the body of the king is necessarily where the king is, but his kinship, that which makes him king, is no more in the body. The other part of the sentence implies that, this particular king is a thing of no importance. Thus a metaphysical profundity is turned in to a deliberate anti climax. Therefore, it is conceived that, these lines serve the balance of probabilities. Here, it is worth highlighting some of the king's and Hamlet's statements, as they speak:

> *King: Now, Hamlet, where's Polonius?*
> *Hamlet: At supper.*
> *King: At supper? Where?*

Hamlet: Not where he eats, but where he is eaten. A certain convocation of politic worms are e'en at him. Your worm is your only emperor for diet. We fat all creatures else to fat us, and we fat ourselves for maggots. Your fat king and your lean beggar is but variable service-two dishes, but to one table. That's the end.
King: Alas, alas!
Hamlet: A man may fish with the worm that hath eat of a king, and eat of a fish that hath fed of the worm.
King: What dost thou mean by this?
Hamlet: nothing but to show you how a king may go a progress through the guts of a beggar.
[Act IV, Sc. III]

Here, he fiddles with the ambivalent phrase 'at supper' in which either Polonius eats supper, or he is eaten at supper; in other words he provides a delicate monism which appears in the sentence 'your worm is your only emperor for diet ....', however, this implies that the emperor is the food of worms, and the heart and life of a mighty and triumphant emperor is but the breakfast of a eely little worm. The other line provides the same notion, 'a man fish with the worm that eat of a king, and eat of the fish that hath fed of that worm', here Hamlet implicitly hint to the cyclic operation of food, that is, the fish, the worm, and the man who simultaneously eat one another, indeed here he compares the king to beggar like two opposite poles, hence, he says. '...... how a king may go a progress through the guts of a beggar', therefore he provides polar concepts again. Last but not the least, it is worth considering the term, polar concepts, when Hamlet in response to Osric's comment on whether says:

Hamlet: No, believe me, tis very cold, the wind is northerly.
Osr: It is indifferent cold, my lord, indeed.
Hamlet: But yet methinks it is very sultry and hot for my complexion. [Act IV, Sc. II]

Here, Hamlet provides ambivalence for the readers, the weather condition is not signified, since on one hand Hamlet believes that weather is cold against Osric's sentence, and on the other hand, while Osric believes him, Hamlet nullifies him. It seems, while the truth comes to the fore Hamlet nullifies it to assure the non-existence (non-being), he intends to make a delicate balance between signifiers being and non-being, though nothing is signified.

III. Conclusion

The present argument aims at reinforcing that polar concepts exist in the artistic vocations of Hamlet who is the most philosophic man among the characters of Shakespeare's plays; as it was seen, those instances by him approve the existence of duality in this play, more than other characters. The dual concepts intuitively come in pairs, and are such that each one is defined as the opposite of the other, for example 'sun' can be defined as the opposite of 'clouds', while symmetrically 'clouds' can also be defined as the opposite of 'sun', or the others concerning 'funeral' and 'wedding', or Hamlet's oft-sighted cliché 'to be, or not to be that the question', and may other hidden ones. These evidences provide some grounds in the support of the postmodern hypothesis, that polar concepts have been applied in Shakespeare's Hamlet. In the finality of the discussion, one can transparently come to the point that a polar concept argument in any literary text bears on some more or less strong version of dialectical monism, a philosophical doctrine that views reality as a unified whole, due to the complementarily of polar concepts.

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Morphological and Lexical Contrastive Analysis of Turkish and English

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Abstract - This study explores the differences and similarities between Turkish and English in the areas of morphology and lexical meaning. The discussion leads to different major conclusions. Personal endings(-im(I),-sin(you/singular),-dir(he,she,it),-iz(we),-siniz(you/plural),-ler(they) which stand for (Be) and (NP subject) in Turkish are attached to nouns and adjectives as the following examples:Ben **Ŏ**ğretmenim /ben əʊretmenım/ ((- im) attached to noun)I + teacher +personal suffix stands for Be (-im) (I am ateacher)BenHastayım /ben hæstæjəm/ ((- ım) attached to adjective)I + sick+(y) buffer sound between two vowels+personal suffix stands for Be(-im) (I am sick) Ben (I) in both examples could be omitted without changing the meaning because of the personal endings as follows: **Ŏ**ğretmenim / əʊretmenım/ teacher +personal suffix (-im) stands for Be and the subject (I am a teacher) The personal endings stated above are attached to the word "değil" /deɣıl/(not) to make the present tense "Be" negative as the following example: Ben hasta değilim/ben hæstæ deɣılım/ I +sick +negative morpheme (değil)+personal suffix stands for Be (-im) (I am not sick.) Such conclusions are helpful in language teaching materials, syllabuses and test construction.

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Ben Ŏğretmenim /ben əʊretmenım/ ((- im) attached to noun)
I + teacher +personal suffix stands for Be (-im) (I am a teacher)

Ben Hastayım /ben hæstæjəm/ ((- ım) attached to adjective)
I + sick+(y) buffer sound between two vowels+personal suffix stands for Be(-im)
(I am sick)

Ben (I) in both examples could be omitted without changing the meaning because of the personal endings as follows:

Ŏğretmenim / əʊretmenım/
teacher +personal suffix (-im) stands for Be and the subject
(I am a teacher)

The personal endings stated above are attached to the word "değil" /deɣıl/(not) to make the present tense "Be" negative as the following example:

Ben hasta değilim/ben hæstæ deɣılım/
I +sick +negative morpheme (değil)+personal suffix stands for Be (-im)
(I am not sick.)

Such conclusions are helpful in language teaching materials, syllabuses and test construction.

I. Introduction

Linguistic aspect of contrastive analysis (CA) is based on structural linguistics. In the 1950s and 1960s, behaviorism and structuralism were of great popularity and CA was formulated by Fries (1945) and developed by Lado(1957).It was regarded as the comparison of the structures of two languages or more and finding out the points of differences which are the main source of difficulty for language learner and they form the basis for the preparation of language texts.

After the Second World War, foreign language learning gained importance and CA became the landmark of teaching foreign languages. Larsen - Freeman and Long (1991: 52) state that "The most effective materials (for foreign language teaching) are those that are based upon a scientific description of the language."

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Stockwell and Martin(1965)assure the main source for predicting the difficulties is the interference between native language and target language. They introduce a hierarchy of difficulty where the teacher or the linguist can predict of the difficulty of a given aspect of the target language.

Brown claims that "the principal barrier to the second language system is the interference of the first language system with the second language system, and that a scientific, structural analysis of the two languages in question would yield a taxonomy of a linguistic contrast between them in which in turn would enable the linguist to predict the difficulties a leaner would encounter." (2000:208).

It must be noted that contrastive analysis hypothesis exists in a strong and a weak versions. These two versions are equally related to the notion of L1 interference. The strong version claims that all the errors in L2 can be prepared by identifying the differences between the learner's native language and the language being learned, but the weak one claims to have the power to diagnose errors in L2. James (1980: 63) adds that "the job of diagnosis belong to the field of error analysis." Wardhaugh (1970: 123) states that according to the strong version, all L2 errors that will occur can be predicted through the differences between L1 and L2 and weak version claims that only some of the errors can be identified through these differences.

This paper basically attempts to compare Turkish and English with the aim of describing the similarities and differences between them in the areas of morphology and lexical meaning.

II. Sound Inventories of Turkish and English

English and Turkish have 20 consonants in common. Almost every consonant that exists in Turkish also exists in English. English has a total number of 24 consonants; whereas Turkish has 21. Tables 1 and 2 display the phonetic nature of consonants in both languages.

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Table 1: English consonant phonemes (Adapted from Roach, 2000, see Appendix No. 1).

Place of articulation

Manner of articulation	Bilabial	Labiodental	Dental	Alveolar	Palato-alveolar (Post-alveolar)	Palatal	Velar	Glottal
Plosive	p b			t d			k g	
Fricative		f v	θ ð	s z	ʃ ʒ			h
Affricate					tʃ dʒ			
Nasal	m			n			ŋ	
Lateral				l				
approximant	w				r	j		

Turkish consonants differ from those of English in terms of their place of articulation, as table 2 displays

Table 2 : Turkish consonant phonemes (Adapted from Göksel and Kerslake, 2006:3-6;see Appendix No.3)

Place of articulation

	Bilabial	Labio-dental	Dental	Palato-alveolar	Alveo-palatal	Palatal	Glottal
Stops Vl	p		t			k	
Vd	b		d			g	
Fricatives Vl		f		s	ʃ	ɣ	h
Vd		v		z	ʒ		
Affricates Vl				tʃ			
Vd				dʒ			
Nasals	m			n			
Laterals				r	1		
Approximants					j		

English has 12 vowel phonemes with three degrees of tongue height such as high, mid and low as illustrated in Table 3:

Table 3 : English vowels (Adapted from Roach,2000 ;see Appendix 2).

	Front	Central	back
High	i:		u:
	ɪ		ʊ
Mid	e		ɔ:
		ə ɜ:	ɑ:
low	æ	ʌ	ɒ

Turkish, on the other hand, has 8 vowels with two positions of tongue height; high and low as it is shown in table 4.

Table 4 : Turkish vowel phonemes (Adapted from Göksel and Kerslake, 2006:9; see Appendix 3)

	High		Non-high(mid and low)	
	Rounded	Unrounded	Rounded	Unrounded
Front	ü	i	ö	e
Back	u	ı	o	a

III. Vowel Harmony in Turkish

Vowel harmony is a phonological process which determine what vowel will appear in all but the first syllable of a word .If the vowels in the root are formed in the back of the mouth ɑ/ æ /, undotted i /ə/, o/ ɔ: / , u / ʊ / as in araba / æræbæ/ (car), we add – lar (plural suffix) to make araba<u>lar</u> (cars). If the vowels are made in the front of the mouth (e /e /, i / ɪ /, ö / əʊ / , ü / y /), we add – ler to ev / ev/ (house) to make ev<u>ler</u> (houses). Likewise banka<u>lar</u>/ bænkælær/ (banks) but otobüs<u>ler</u> / ɔ:tɔ:bysler / (buses). Turkish language is an agglutinative language, which means that it attaches its grammatical information to the end of a root-word according to the vowel harmony rule.

A suffix is sometimes preceded by a buffer letter such as "y" for smooth pronunciation. It is used between two vowels as follows:

Gitmeyiz /gɪtmejɪz/

Go + negative suffix (-me) + buffer sound (-y) + personal suffix stands for (we)(-iz)

(We do not go.)

As a result of vowel harmony, only the following sequences are permissible in native Turkish words:

Back Vowels	'a' can only be followed by 'a' or 'ı' 'ı' can only be followed by 'a' or 'ı' 'o' can only be followed by 'a' or 'u' 'u' can only be followed by 'a' or 'u'
Front Vowels	'e' can only be followed by 'e' or 'i' 'i' can only be followed by 'e' or 'i' 'ö' can only be followed by 'e' or 'ü' 'ü' can only be followed by 'e' or 'ü'

(Göksel and Kerslake,2006:21)

IV. Morphological Contrastive Analysis

Turkish is classified as a head-final language with an SOV word order in main and embedded clauses. Since Turkish morphology is agglutinative, Turkish verbs are inflected for person, number, and tense (Haznedar, 2003). Dressler states that Turkish language is an agglutinative language which has the inflectional in both noun and verb (2003). Unlike Turkish, the word order of English sentence can be described as SVO.

A morpheme is a minimal unit of meaning or grammatical functions. The following example consists of one element "speak" and a number of other elements which are called morphemes (-s, -er ,-ed ,-ing):
Speak, Spoke, Speaking, Speaker

There are two types of morphemes: free morphemes which can occur by themselves as a single word (speak); whereas, bound morphemes which cannot stand by themselves, always attached to another form (-s, -er,-ed,-ing).These free and bound morphemes can be seen in detail in Table 1(Yule, 2001).

Table 1: Different categories of morphemes

Free morphemes	Bound morphemes
Lexical	Derivational
Functional	Inflectional

In the free morpheme category, lexical morphemes carry the content of the message as boy, man, house, etc. On the other hand, functional morphemes are functional words in the language such as conjunction, preposition, articles and pronouns. The set of bound morphemes is divided into two: derivational morphemes which are used to make new words in the language and new words of a different grammatical categories such as –ness which changes the adjective to the noun "happiness". The other type is inflectional morphemes which are used to show aspects of the grammatical function of a word such as singular-plural (s),past tense (-ed), comparative (-er) or possessive ('s) form.

In Turkish, the parts of a word combine in a particular order. Inflectional morphemes are always used in the word final position whereas derivational suffixes precede inflectional suffixes. But there may be possibilities in which more than one inflectional and/or derivational suffix can be used in a word. A change in the order of the morphemes leads to ungrammatical forms (Yavuz and Turan, 2000).

Example:
hasta /hæstæ/ (ill,adj.)
hasta<u>lan</u> /hæstælæn/(to get sick,v.)
hastalandı /hæstælændə/
ill+verb suffix(-lan) +past suffix(-dı)(got sick)
hastalandım /hæstælændəm/
hasta(sick/noun stem) +-Lan(derivational morpheme /verb suffix)+-dı (past tense marker)+ -m (1st person marker stands for BE). (I was sick)

At first, the morpheme –lan as a derivational morpheme, is attached to the noun stem (hasta).As a result, we produce verb (hastalanmak /to get sick) and then past tense marker –dı and first person singular marker –m come respectively.
Note : (-mak) that is attached to the verb in Turkish stands for (to)

The vast majority of derivation in Turkish is formed through suffixation. Prefixation is used in a very limited extent for reduplication and in a few loan words. Reduplication is the repetition of a word or part of a word as the fallowing examples:

uzun / ʊzʊn/ (long) upuzun / ʊpʊzʊn/(very long)
eski /eskı/ (old) epeski /epeskı/(very old)
yavaş yavaş /jævæʃ jævæʃ/ (slowly)
rahat rahat /ræhæt ræhæt/ (comfortably ,easily)

Apart from the reduplication prefixes discussed above, the Turkish prefixes are used in a few loan words as the following examples :

<u>gayri</u>müslim /gæjrımyslım / (non-muslim)
<u>post</u>modern /pɔ:stmɔ:dern/ (postmodern)

The derivational suffix attaches to a stem to produce a new word connected in meaning to that stem .The suffix -ılk /-əlk/ can derive nouns from nouns as the following:

Kral (n.) / kræl / (King) krallık (n.) /krælək/ (kingdome)

These are a number of different sets of Turkish personal possessive endings, depending on the use. When the personal pronoun is the possessor of the noun, the following are used:

1. (ı) m (my) kitab<u>ım</u> /kıtæbəm/ (my book).
2. (ı) n (your) kitab<u>ın</u> /kıtæbən/ (your book).
3. (s)ı (her/ his/ its) kitab<u>ı</u> /kıtæbə/ (his / her book) if the noun ends with a vowel, (s) is added as çanta /tʃæntæ/ (çanta<u>sı</u>) /tʃæntæsə/
4. (ı) mız (our) kitab<u>ımız</u> /kıtæbəməz/ (our books)
5. (ı) nız (your/plural) kitab<u>ınız</u> /kıtæbənəz/ (your books).
6. Lerı (their) kitab<u>ları</u> /kıtæblærə/ (their books).

It must be noted that the plural form of "our" (-mız) is used for the polite singular, as in English language and most other European languages. These possessive endings follow the plural noun, so Çocuklar<u>ım</u> /tʃɔ:dʒʊklærəm (my(-<u>ım</u>)children), Çocuklar<u>ımız</u> /tʃɔ:dʒʊklærəməz/ (our(-<u>ımız)</u> children) could be used both for singular. The latter is used for polite singular.

It must also be noted that the personal suffixes (. im, . sin, . dir, . iz, . siniz, . ler) in non - verbal Turkish sentences stand for "Be" and link the subject with the predicate. They are attached to nouns or adjectives as follows:

A. Turkish personal endings attached to nouns:

1. -(y) im (I am) (Ben) Ŏğretmen<u>im</u> /ben əʊretmenım/ (I am a teacher).
2. .-sin (you are) (Sen) Ŏğretmen<u>sin</u> /sen əʊretmensın/ (you are a teacher). (singular)
3. .-dir (he, she, it) is (O) Ŏğretmen<u>dir</u> / ɔ: əʊretmendır/ (He/ she is a teacher).
4. .-(y) iz (We are) (Biz) Ŏğretme<u>niz</u> /bız əʊretmenız/ (we are teachers).
5. siniz (you are) (Siz) Ŏğretmen<u>siniz</u> /sız əʊretmensınız/ (you are teachers).(plural)
6. Ler (they are) (Onlar) Ŏğretmen<u>ler</u>/ ɔ:nlær əʊretmenler/ (They are teachers).

B. Turkish personal endings attached to adjectives:

1. (Ben) hastay<u>ım</u> /(ben) hæstæjəm/ (I am sick)
2. (Sen) hasta<u>sın</u> /(sen) hæstæsən/ (you are sick) (singular).
3. (O) hasta<u>dır</u> / (ɔ:) hæstædər/ (He/ she is sick).
4. (Biz) hastay<u>ız</u> /(bız) hæstæjəz/ (we are sick).
5. (Siz) hastas<u>ınız</u>/(sız) hæstæsənəz/ (you are sick) (plural)
6. (Onlar) hasta<u>lar</u> /(ɔ:nlær)hæstælær/ (They are sick).

We can omit the NP (subjects) Ben (I), Sen (you, singular), O (he, she), Biz (we), Siz (you, plural), Onlar (they) without changing the meaning because the personal endings standing for (Be) and (NPS.) (. im, . sin, . dir (. dır) . niz, . siniz, . ler (. lar) carry the same meanings.

The Turkish nominal sentences (non-verbal sentences) are negated by using the word "değil" /deɣıl/ (not) which is used as a separate word after the predicate(nouns and adjectives). The personal suffixes (-im, -sin, ∅ ,-iz, -imiz ,-ler) are attached to "değil" to make the present tense of "Be" negative as the following examples:

a. *"değil" is used after adjectives:*

1. Ben hasta değil<u>im</u> /ben hæstæ deɣılım /(I am not sick).
2. Sen hasta değil<u>sin</u>/sen hæstæ deɣılsın/(you are not sick).
3. hasta değil<u>dir</u> / ɔ: hæstæ deɣıldır/(he / she is not sick).
4. Biz hasta değil<u>iz</u> / bız hæstæ deɣılız/(we are not sick).
5. Siz (plural) hasta değili<u>siniz</u> / sız hæstæ deɣılısınız/ (you are not sick).
6. Onlar hasta değil<u>ler</u> / ɔ:nlær hæstæ deɣıler/(They are not sick)

b. *It is also used after nouns as follows:*

1. Ben Ŏğretmen değil<u>im</u> / ben əʊretmen deɣılım / (I am not a teacher).
2. Sen Ŏğretmen değil<u>sin</u> /sen əʊretmen deɣılsın/ (you are not a teacher).
3. Ŏğretmen değil / ɔ: əʊretmen deɣıl /(he/she is not a teacher)
4. Biz Ŏğretmen değil<u>iz</u> / bız əʊretmen deɣılız/(we are not teachers).
5. Siz Ŏğretmen değili<u>siniz</u> / sız əʊretmen deɣılısınız/ (you(plural) are not teachers).
6. Onlar Ŏğretmen değil<u>ler</u> / ɔ:nlær əʊretmen deɣıler/ (they are not teachers)

The following endings (-m,-n, ∅,-uk,-nuz,-lar)are used to indicate the subject of a verb in some of tenses such as the past tense taking into consideration the past suffix(-di) and its eight allomorphs (-di ,-dı ,-du,-dü,-tı ,-ti ,-tu,-tü).They are based on the vowel harmony rule. The suffix vowel and stem vowel have to share the same specification for both backness and rounding as follows:

1. .-m (I) unutu<u>m</u> /ʊnʊtʊm/ (I forgot)
2. .-n (you) unutu<u>n</u> /ʊnʊtʊn/ (you/singular/ forgot).
3. -. ∅ (he, she, it) unutu /ʊnʊtʊ/ (he/ she forgot).
4. -k (we) unutu<u>k</u> /ʊnʊtʊk/ (we forgot).
5. .-nuz (you) unutu<u>nuz</u> /ʊnʊtʊnʊz/ (you/ plural/ forgot).
6. Ler (they) unutu<u>lar</u> /ʊnʊtʊlær/ (they forgot).

It must be seen that the auxiliary suffixes in Turkish follow the vowel harmony rule, meaning that a word usually has all vowels of a single class as stated above.

V. Contrastive Analysis of Turkish and English Plural Morphemes

Some errors in English made by the Turkish learner of English are due to the differences between Turkish and English in terms of singularity and plurality.

a) Plural morpheme (- LER) in Turkish Form:

This morpheme (- LER) has two allomorphs (- ler), (- lar) .They are based on the vowel harmony rule stated above. The suffix vowel and the stem vowel have to share the same specification for both backness and rounding. Accordingly,(- ler) is used after the nouns having front vowels in their last syllables (e, i, ö, ü) but (- lar) is used after the nouns having back vowels in their last syllables (a, ı, o, u). The allomorphs (-lar,-ler) are

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semantically similar and which are in complementary distribution belong to the same morpheme (-LER) as the following examples:

Ev /ev/ (house) evler /evler/ (houses)
Silgi /sılgı/ (eraser) silgiler/sılgıler/ (erasers)
Köy /kəʊj/ (village) köyler /kəʊjler /(villages)
Top /tɔ:p/(ball) toplar /tɔ:plær/ (balls)
Oda / ɔ:dæ/ (room) odalar / ɔ:dæl/ær/ (rooms)
Kapı /kæpə/ (door) kapılar/ kæpəlær/ (doors)

b) *Plural morpheme (- z) in English:*

This morpheme (- z) has three allomorphs (- s,- z, - iz) according to the sound preceded as follows:

/. s/ after countable nouns ending in voiceless consonants other than sibilant and affricates.

/. z/ after countable nouns ending in vowels and voiced consonants other than sibilant and affricates.

/. iz/ after countable nouns ending in sibilants and affricates.

Examples:

map	maps	/. s/
cat	cats	/. s/
hero	heroes	/. z/
eraser	erasers	/. z/
bridge	bridges	/. iz/
church	churches	/. iz/

Plural morpheme in Turkish is /. ler/ which has two allomorphs /. ler/ and /. lar/. And the plural morpheme in English is /. z/ which has three allomorphs /. s/, /. z/, /. iz/, so English and Turkish are alike in terms of morphemes and allomorphs; however, they are different in the following areas: All the nouns in Turkish are pluralized by means of the morpheme /. ler/ but only the countable nouns in English are pluralized by means of the morpheme /. z/.

Examples:

a. sular kirlidir /sʊlær kırlıdır/
water+plural suffix (-lar)+dirty+Be suffix -dir (present)

It means wrongly in English (waters are dirty) but the correct structure in English is (water is dirty).

b. Karlar erriyor /kærlær erıjɔ:r/ (snows are melting)
snow +plural suffix(-lar) +melt +-ing suffix (-iyor)
but the correct structure in English is (snow is melting).

In Turkish, numerals are normally followed by nominal in singular although there are certain compounds with the pattern "numeral + nominal + plural suffix /- ler/".

Example:

iki kalem /ıkı kælem/ (two pencil) not iki kalemler /ıkı kælemler/ (two pencils) .Proper nouns and book titles are pluralized after numerals e.g. kirk haramiler /kırk hæræmıler/ (forty thieves); however, in English, numerals are followed by nominal in plural. e.g. 'two books'.

Normally, there are not irregular nouns in Turkish in terms of plurality, but regular and irregular plural formation take place in English e.g. book vs books; child vs children, but not childs.

The demonstrative adjectives preceding plural noun in English are plural, e.g. these pencils; however, in Turkish plural nouns are preceded by singular demonstrative adjectives, e.g. bu kalemler /bʊ kælemler/ (this books), in place of (these books) in English.

VI. Lexical Contrastive Analysis

Words are essential for communication. Learners of English ought to manipulate correct and appropriate words in their production for communication. To show how to eliminate the difficulties they face in this process, contrastive analysis at word level will be dealt.

Form:

The form of words consists of sound segment and stress.
Examples:
Telephone (v.)/ t, e, L, e, f, o, n/: seven sound segment (English).
Telefon et (v.) /t, e, l, e, f, o, n, e, t/: nine sound segment (Turkish).

Meaning:

We can say meanings are the same in all languages; that languages differ only in the form used for the meanings. Lyons (1968: 433) states that the language of a particular society is an integral part of its culture; the lexical distinction drawn by each language will tend to reflect the culturally important features of objects, intuitions, and activities in the society in which the language operates. It can easily be said that some meanings found in one culture may not exist in another as "baklava" /bæklævæ/ in Turkish which means sweet pastry generally cut into diamond shaped pieces and various meanings of a word in English can appear according to the context; e.g. 26 meanings of the word "get" has been listed in the Longman Dictionary of contemporary English. And thus, the difficulty coming from the differences between L1 and L2 may cause learning problems.

Distribution is defined as one word in a language which may belong to more than one word class e.g. the word "water" in English can be used as (a) a verb as in "to water the garden" (b) a noun as in "a glass of water" and (c) an adjective as in a "water meter." Words may be restricted geographically and socially. Lado (1957: 82) "assures that similarities and differences from the native language in form, meaning and distribution will result in ease or difficult in acquiring the vocabulary of a foreign language." If we want to compare the foreign language vocabulary with that of the native language effectively, we will take into consideration words which are:

1. Similar in form and meaning (true cognates): The cognates are words which are similar in form, meaning and distribution in both English and Turkish such as civil in English and sivil /sıvıl/ in Turkish. In the case of true cognates, the meaning of the English word is the same as the Turkish word. Meaning is no problem but pronunciation is a problem and practice on pronunciation will be necessary.
2. Similar in form but different in meanings in English and Turkish (false cognates) Boy in English and Turkish has different meanings, but same form. Boy in English has the meaning of male child, but in Turkish it has the meaning of size. These cognates are especially difficult to teach because the student must avoid the meaning in Turkish and learn a new one in English. Such words must be practiced with the new meaning.
3. Different in form representing meanings which are strange to Turkish learners (strange meanings). "First floor" in English is literally translated 'birinci döşeme"/bırındʒı dəʊʃeme/ which is meaningless because "döşeme" means floor (the part of a room on which one stands) in Turkish, but the correct equivalent meaning in Turkish is 'birinci kat" /bırındʒı kæt/ which means "the first storey". Another example is 'catch a cold" which is active in form but the equivalent meaning in Turkish is"soğuğa yakalanmak"/sɔ:ɣʊɣæ yækælænmæk/ which is passive (. al passive suffix) in form. Such words are strange to the Turkish students who need ample practice from the beginning.
4. Similar in primary meaning, but different in connotation (different connotation) so the difficulty appears. In "Thank you love" in English and "Teşekkür ederim canIm"/teʃekyr ederım dʒænəm/ in Turkish, love and canIm are different in connotation. Love implies the assurance of love but canIm implies respect (my dear).
5. Similar in meaning but with restrictions in geographical distribution. They may cause difficulty as follows:

American English	British English
Fall	Autumn
Gas, gasoline	Petrol
Railroad	Railway

Railroad and railway are two English words which are equivalent to one Turkish word "Demiryolu"/demIrjɔ:lʊ/so the Turkish learners will face problems in learning such English words.

With the above classification of problem concerning words, a sample contrastive analysis of the vocabulary (Lexical contrastive analysis) of English and Turkish in terms of "form" and "meaning" will be stated as follows:

Form :

a. The words that are different in form

English	Turkish
– First floor literally translated (birinci döşeme) "/bırındʒı dəʊʃeme/	Birinci Kat /bırındʒı kæt/
– To telephone (simple verb)	Telefon etmek (compound verb)

b. The words that are similar in form

English	Turkish
– Sympathy (n.) (seven phonemes)	Sempati (n.) /sempætı /(seven phonemes)
– Telephone (n.) seven phonemes	Telefon (n.) /telefɔ:n / (seven phonemes)

Meaning:

a. Those that are similar in meaning:

English	Turkish
– Telephone (n.)	Telefon (n.)/telefɔ:n /
– First floor (n.)	Birinci kat (n.) /bırındʒı kæt/

b. Those that are different in meaning

English	Turkish
– Sympathy (n.) (feeling pity, favor or support).	Sempati (n.) /sempætı /(liking, or giving affection).

Although they have the same form, they differ in meaning, so this is a difficult area for Turkish learners.

VII. General Pedagogical Implications

Contrastive Analysis was the result of the need to teach a L2 in the most efficient way. As Lado makes clear in Ellis(1985:23)"the teacher who has made a comparison of the foreign language with the native language of the students will know better what the real problems are and can provide for teaching them. The origins of Contrastive Analysis, therefore, were pedagogic." The underlying assumption of CA is that second Language learners tend to transfer their native language to the target language. In the light of this assumption, linguists started identifying the areas of difficulties to second language learners. This was carried out by comparing and contrasting the structure of the learner's native language with the target language. Accordingly, instructional materials and methods of teaching were prepared by taking CA into consideration to prevent learners from committing errors as much as possible.

Contrastive Analysis was developed and practiced in the 1950s and 1960s and it is based on the following assumptions:

a. The main difficulties in learning a foreign language are due to interference from the first language.
b. Such difficulties coming from interference can be predicted by contrastive analysis.
c. Teaching materials can make use of CA to reduce the effects of interference (Richard, et, al, 1992).

Consequently, CA is inevitable parts of language learning and teaching. Teachers should regard them as signals of progress and diagnosis of problems when they get the areas of similarities and differences between two languages or more. In this respect, teachers, syllabus designers and test developers should make use of CA studies to acquire new insights.

Turkish is an inflectionally rich language in which the past tense and plural morphology is totally rule-governed. In English, there are many examples of irregular inflection such as past form of verbs and plural forms of nouns. The majority of English verbs have a simple past tense form that can be described as the addition of one of three allomorphs of the "–ed" (–d, –t, –ed) suffix to a base stem. A significant minority take a so-called "irregular" form which may or may not be systematically related to the stem form or to the forms of other words. This distinction is helpful for teaching English for Turkish learners because irregular inflection is closed and unpredictable.

The other feature of inflectional morphology which needs to be looked more closely while teaching English for Turkish learners is the usage of copula Be and auxiliary Be. Brown states that "I separated out the several allomorphs and distinguished copulas from auxiliaries. It was clear fairly that the copula-auxiliary distinction was a functional one and that auxiliary use in obligatory contexts developed more slowly than copula use." (1973: 306). Teachers of English for Turkish learners will focus on the distinction between the use of copula Be and auxiliary form. "children acquire Be as a main verb before they acquire Be as an auxiliary verb. So, children produce sentences that have a copula verb (e.g. He is hungry) before they produce sentences that include an auxiliary plus a main verb (e.g. He was working)" (O'Grady et al, 1997, 493).

Lexical contrastive analysis previously stated show that the difficulty may result from the differences between Turkish and English as follows:

1. "Floor" is translated literally in Turkish as "döşeme" /dəʊʃeme/, (the part of a room on which one stands)but the compound word "first floor" stands for "birinci kat"/bırındʒı kæt/ (first storey) not "birinci döşeme""/bırındʒı dəʊʃeme/.
2. Telephone as a verb is simple word in English whereas the equivalent verb in Turkish is "telefon etmek" /telefɔ:n etmek/ which is a compound verb. The Turkish learners may produce wrongly such verbs "to make a telephone" instead of "to telephone".
3. "Boy" in English has the meaning of "male child". In contrast the same word "Boy" /bɔ:j/ in Turkish gives the meaning of "size", so the Turkish learners may use "boy" in the meaning of size not male child. Therefore, a learning problem appears.

Teachers of English who teach Turkish learners should place greater emphasis on the differences indicated above in order to eradicate the problems which may appear in learning the English plurality. According to the differences given above, since the learner tends to transfer his Turkish pattern to the English, the problems occur as follows:

1. Turkish learners may use <u>childs</u> instead of <u>children</u> since all the nouns in Turkish are pluralized by the means of the morpheme /- ler/ and its two allomorphs /-ler/ and /-lar/.

2. Turkish learners may use waters in place of water because the uncountable nouns can be pluralized in Turkish e.g. karlar /kærlær/ (snows).-lar stands for plural suffix.
3. They may use "two book" instead of "two books" because Turkish employs singular nouns after numerals e.g. iki kalem /ıkı kælem/ (two pencil) which is used wrongly in English.

We can say contrastive analysis helps in discovering the problems and difficulties which will occur during learning L2

VIII. Conclusion

The paper attempts to compare Turkish and English in terms of describing the similarities and differences between them in terms of lexical meaning and morphology. The paper finds the following conclusions:

1. The personal possessive endings in Turkish are used as follows;-(ı)m(my) kitabım /kıtæbəm/ (my book), -(ı)n (your) kitabın /kıtæbən/ (your book), (s)ı (her/his/its) kitabı /kıtæbə/ (his/ her book), -(ı)mız (our) kitabımız /kıtæbəməz/ (our books), -(i)nız (your) kitabınız /kıtæbənəz/ (your books), Lerı (their) kitabları /kıtæblærə/ (their books).
2. The personal endings for the present tense of Be (-im,-sin,-dir,-iz,-siniz .-ler)are attached to noun as the following example:

   (y) im (I am) (Ben) öğretmenim / ben əʊretmenım/ (personal suffix (-im) stands for Be). (I am a teacher)
3. The personal endings (Be) are also attached to adjectives in Turkish as the following example:

   (Ben) hastayım /ben hæstæjəm/ (I am sick).
4. The personal endings are attached to the word "değil" /deɣıl/ to make the present tense of "Be" negative as the following example:

   Ben hasta değilim /ben hæstæ deɣılım / (I am not sick).

   I +sick +negative morpheme (değil)+pronoun suffix stands for Be(-im)
5. Turkish plural morpheme (- LER) has two allomorphs (–ler) and (–lar) used according to the vowel harmony rule.

   Examples:

   Ev /ev/ (house) evler /evler/ (houses).

   Top/tɔ:p/ (ball) toplar /tɔ:plær/ (balls).
6. Unlike English, uncountable nouns can be pluralized in Turkish as the following example:

   Su /sʊ/ (water) sular /sʊlær/ (waters)
7. In Turkish, numerals are normally followed by nominal in singular.

   Example:

   iki kalem / ıkı kælem/"two pencil" in place of "two pencils" in English.
8. Unlike English, Turkish plural nouns are preceded by singular demonstrative adjectives as the following example:

   bu kalemler /bʊ kælemler/ "this books" in place of "these books".

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Appendix 1

The symbols of English consonants from the International Phonetic Alphabet (IPA,1992)

IPA	examples
b	bad, lab
d	did, lady
f	find, if
g	give, flag
h	how, hello
j	yes, yellow
k	cat, back
l	leg, little
m	man, lemon
n	no, ten
ŋ	sing, finger
p	pet, map
r	red, try
s	sun, miss
ʃ	she, crash
t	tea, getting
tʃ	check, church
θ	think, both
ð	this, mother
v	voice, five
w	wet, window
z	zoo, lazy
ʒ	pleasure, vision
dʒ	just, large

Appendix 2

The symbols of English vowels from the International Phonetic Alphabet (IPA,1992)

IPA	examples
ʌ	cup, luck
ɑ:	arm, father
æ	cat, black
e	met, bed
ə	away, cinema
ɜ:ʳ	turn, learn
ɪ	hit, sitting
i:	see, heat
ɒ	hot, rock
ɔ:	call, four
ʊ	put, could
u:	blue, food
aɪ	five, eye
aʊ	now, out
eɪ	say, eight
oʊ	go, home
ɔɪ	boy, join
eəʳ	where, air
ɪəʳ	near, here
ʊəʳ	pure, tourist

Appendix 3

THE TURKISH ALPHABET AND WRITING CONVENTIONS

Adapted from Göksel and Kerslake (2006,p.xxii)

The list below provides a rough guide to the pronunciation of the 22 consonants and 8 vowels in Turkish.

Letter	Pronunciation
A, a	pronounced as *u* in 'c*u*p'
B, b	*b* as in '*b*it
C, c	*j* as in '*j*am'
Ç, ç	*ch* as in '*ch*ip'
D, d	*d* as in '*d*eep'
E, e	*e* as in 't*e*n'
F, f	*f* as in '*f*it' or 'full'
G, g	g as in '*g*et' or 'gull'
ğ	either lengthens the sound of the vowel preceding it or is silent between two vowels
H, h	*h* as in '*h*ope'; pronounced also in word medial and final positions and sometimes silent between two vowels
I, ı	pronounced as *a* in '*a*mong', '*a*lone'
İ, i	a shorter form of *ee* as in 'b*ee*t' or *i* as in 'b*i*t'
J, j	*s* as in 'lei*s*ure'
K, k	*k* as in '*k*ept', '*c*ure' and '*c*alf'
L, l	*l* as in '*l*amp', 'bu*ll*' or '*l*urid'
M, m	*m* as in '*m*ilk'
N, n	*n* as in '*n*o'
O, o	*o* as in 'off'
Ö, ö	resembles the sound which is produced when *e* as in 'b*e*t' is pronounced with the lips rounded, as in the German sound 'ö'
P, p	*p* as in '*p*in'
R, r	produced with the tip of the tongue touching the alveolar
S, s	*s* as in 'hi*ss*'
Ş, ş	*sh* as in '*sh*eep'
T, t	*t* as in '*t*ime'
U, u	*u* as in 'c*u*te' or p*u*t'
Ü, ü	resembles the sound which is produced when *i* as in 'b*i*t' is pronounced with the lips rounded, as in the German sound 'ü
V, v	*v* as in '*v*ery'
Y, y	*y* as in '*y*ou'
Z, z	*z* as in '*z*ig*z*a

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Local Communities' Perception on Rural Tourism

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Abstract - This paper presents a review of attributes for rural tourism to be a sustainable tourism product. It also covers an overall review and conceptualization of rural tourism within the community development perspective. Rural tourism involves activities that make the rural community to directly engage in tourism either by them having full control or having their culture serves as the attraction. Evidence shows that very few studies have attempted to understand the impact of tourism from the rural peoples' point of view. Focusing on the community's participation is very important, as they are the industry's key players involved in tourism. An extensive study of the literature on the local peoples' perception and participation in tourism business is essential to draw a crystallized conceptual framework. The understanding of the rural communities' opinion on perceived impacts is important before implementing any tourism related development by the outsiders. The developed framework will be useful to understand the host-tourism system and relationship that will emphasize co-management approach to promote a sustainable tourism practice.

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LOCAL COMMUNITIESPERCEPTION ON RURAL TOURISM

Strictly as per the compliance and regulations of :

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I. Introduction

The purpose of this paper is to understand the perception of tourism from rural community's point of view. Detailed review of the past studies is essential to have better understanding regarding the involvement of the local people in tourism activities. The local community often have unused land as well as underutilized premises such as unused lands and rooms. These 'dead' assets can easily be turned into a profit-making home stays. This home stay business is a flexible enterprise, unlike rigid 'hotel' structures; it can expand and contract according to the market demands (Hjalager, 1997).

Tourism draws outside capital into the host community which can lead to positive economic benefits. The benefits include a diversification of the local industry base, increased employment, higher incomes and better life style. However, the issue of sustainable tourism practice and its benefits to the community is still unclear. This concern is evident by the number of hotels, travel agencies operated by outsiders (Lepp, 2006). For instance, although the government has initiated homestay programmes in Sungei Ruil, Malaysia in 2009, the direct benefits from the tourism to the indigenous community is questionable. An initial naturalistic inquiry done recently in Sungei Ruil showed that the Semai people are not enjoying any advantages from tourism;

"Although the homestay program was a good move, we do not get any money from it…in fact, the biggest homestay in our village is being operated by an outsider...how we will get any income? We may get some money only if the tourists buy our handicrafts when they are brought here by the travel agents.." (Tok Batin (village headman), Sungei Ruil, Cameron Highlands,Malaysia, 2011)

Hence, important to monitor and understand the perception of the local people in the recently developed tourism programs by the government.

II. Rural Tourism

In rural regions, tourism takes place as a business set up for the local community. The earliest study of rural tourism began in the 1950's, with farm tourism study by Ager (1958), who was cited in Opermann (1997) by emphasizing the importance of tourism in mountainous areas. Then, in the following decades, the study of rural tourism, particularly in regards to farmers, mostly focused on the economic contribution, problems faced by farmers and the social and psychological impacts of tourism to the farmers (Oppermann, 1996). Studies in rural tourism were more concentrated in wilderness areas or National Parks, rather than in the other attractions of the rural areas, such as farm tourism and non-farm tourism (Owens 1984, as cited in Oppermann 1996). Oppermann also supported this argument by classifying different types of tourism in rural areas in terms of the level of involvement by the community.

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Table 1: Non-Urban Tourism

Wilderness Tourism	Rural Tourism
Outdoor Recreation In Wilderness Areas	Farm Tourism
National Parks	Non-Farm Tourism in Rural Areas
National Forests	
Generally Uninhabited Areas	

Source : Oppermann (1996)

Table 1 shows the categorization of non-urban tourism. According to Oppermann (1996), non-urban tourism could be classified as either, wilderness tourism or rural tourism. Wilderness tourism consisted of activities with less human intervention, such as outdoor recreation in wilderness areas, national parks, national forests and uninhabited areas. Unlike wilderness tourism, rural tourism involved human involvement in the farm areas and non-farm tourism in rural areas.

Tourism activity in rural areas has increased remarkably since the 1970s in all developed countries. Perales (2002) also defined the difference between traditional versus modern rural tourism. Traditional rural tourists are tourists who migrated to cities who then come back to their own village for vacation during holidays. Whereas, modern rural tourists are those tourists who are originally from cities, that visit the rural areas during the holidays.

This situation takes place when huge migrations occur in modern and developing countries. Urbanization happens due to modernization and industrialization. Those city dwellers, originally from rural zones, usually spend their vacations in their "hometowns". However, it is considered as an agro tourism tour only if it is not for the purpose of homecoming (Abiche, 2004).

Similarly, farm tourism (a subset of rural tourism), has clear ingredients of small-scale enterprises with local roots based on local traditions (Nilsson, 2002). Nilsson studied the driving forces of farm tourism, and distinguishing it from rural tourism, stated that farm tourism has ideological roots in the loving of nature and community tourism.

Apart from that, tourism also helps the rural community to stay together. It maintains them as a productive unit by offering work to all members and particularly to the women (Dernoi, 1983). Providing services for the tourists represents a break in the normal hunting and agriculture routine and can lead to new varied human contacts and to rise in the quality of life through the creation of new conveniences and comforts of the residential area. For instance, the indigenous community also should be introduced to new programmes aimed at their deculturalisation (Nicholas, 2000).

III. Community Development

The communities can participate within three levels. Their participation can be at the decision-making level, implementation level or benefit sharing level. If the community are in the decision making level, the project can be considered as community development. If the residents are only needed during the implementation stage, then it can still be considered as a community development project. Nevertheless, the sustainability of the project in the long terms can be questionable.

Community development also helps to develop people in the rural areas of Malaysia. Research in Taman Negara, Malaysia showed that responsible tourism helps to alleviate poverty in rural areas. The indigenous people believe that tourism creates positive socio-cultural impacts, such as communications and tourism activities (Ramachandran, Shuib, Mohd Rusli, and Mat Som 2006). They are also happy accepting tourists to their area. Ancestral worshipping and animism remains core to their believe system, although some are converting to Islam, Christianity and Bahai.

Economically, this community development program creates better job opportunities, higher earnings, and a potential for small and medium enterprises. Apart from that, Foreign Direct Investment, such as international hotel chains, reduces unemployment and poverty. From an ecological aspect, researchers have found that international tourists are more sensitive towards environmental conservation. The community development process emphasizes that environmental impact is an important issue.

Political impacts show empowerment implementation. The community participation in decision-making is employed, especially on the issues related to the livelihood of the community. The governance of Taman Negara emphasized the welfare of the local community. The locals also welcome participations from Non Governmental Organizations (NGO's) to organize awareness creating programs.

Apart from these aspects, in terms of technological development, the government has set up telecommunications, such as telephone and internet facilities. This scenario allows the community to communicate with the outside world, which creates knowledge enhancement.

However, researchers also found that the community development program creates some negative impacts. Although tourism activities do not disturb traditional activities, such as hunting, farming and gathering, some locals are concerned that the younger generations have started to behave like the tourists with whom they mingled. This situation might result in the fading of indigenous cultures and values.

IV. Perception

Perception is influenced by a variety of factors, including the intensity and physical dimensions of the stimulus; such activities of the sense organs, as effects of preceding stimulation; the subject's experience; attention factors, such as readiness to respond to stimuli; and motivation and the emotional state of the subject (The Columbia Electronic Encyclopaedia, 2007).

In earlier studies, the understandings of the perception of the community, towards tourism, were mainly conducted using stages or step models. The relationship between host and guest was studied using a four stages model: euphoria, apathy, irritation and antagonism, by Doxey (1975). In 1980, Butler developed a stage-related model, in the context of the host community's effort, and supports the evolution of a particular tourism area.

According to Butler, following the stages of exploration, involvement and development, the impact of tourism activities can be seen in the consolidation and stagnation levels. The process will later reach the final stages of either decline or rejuvenation. In the past decades, most studies of perception intended to understand the impacts of tourism on the community. However, some studies were also conducted before tourism activities took place in an area, to obtain the residents opinions of the possible impacts that could be brought by tourism to the community in the future.

Studies on rural residents' perceptions were done to understand the perceived impacts and attitudes of the host community, on the various types of tourism activities, (especially those related to rural settings). An earlier study by Perdue, Long and Allen (1987) examined the influence of participation, regarding outdoor recreation. Their analysis of the tourism perceptions and attitudes was done on outdoor participants and nonparticipants.

It was found from the study, that the perceptions and attitudes of participants and nonparticipants are the same. Participation of the local community in tourism development is essential. Timothy and Tosun (2003) defined participation as:

"Participation, in the decision making process, means that residents have opportunities to voice their hopes, desires and fears for development and contribute to the planning process, from their own expertise and experiences."

However, it was also concluded that, intention to create more tourism development decreases significantly, and the favourability of special tourism taxes also increase when the perceived affects of tourism on outdoor recreation increases.

Similarly, Smith and Krannich (2005) conducted a tourism dependency study, to understand the attitudes of the community towards tourism. Unlike Perdue, who classified the community into participants and nonparticipants, Smith and Krannich suggested the topology of the rural community, according to their level of involvement in tourism activities. The impacts study was conducted specifically for four community types: tourism-saturated, tourism-realized, tourism-hungry and non-tourism. This classification helps to analyze and compare the perceptions and attitudes of each group, according to their own characteristics.

Longitudinal studies of residents' perception of tourism also allowed the researcher to analyze the attitudes and perceptions over a longer period. A study by Soutar and McLeod (1993) on residents' perceptions towards the impact of the Americas Cup in Fremantle, Australia, clearly shows the way that residents' expectations changed over the period of the entire event. The study covered before, during and after the event, to record the changing perceptions of the community. The result of the survey showed that the residents' quality of life improved after the event and created a platform for a long-term improvement of the city's economic development.

Similarly, another longitudinal study by Johnson, Snepenger and Akis (1994) to investigate residents' perceptions regarding the tourism facility development in the Rocky Mountains, gave the same results as Soutar and McLeod. At the beginning of the project development, the local community had high expectations and gave their full support. However, the expectations and support diminished over time gradually. In the study, which was conducted over a 6-year period, they concluded that there is a significant relationship between the communities' perception of tourism with the economic and cultural history of the area.

Besides longitudinal studies, some authors have also conducted studies to develop a scale to measure residents' attitudes and perceptions towards tourism. A high reliability of the scale and a significant content and construct validity, always becomes the priority in developing the scale (Kang, Long and Perdue, 1994).

The study by Kang et al (1994) was carried out to develop a scale measurement of residents' attitude towards legal gambling. After identifying 17 items, a confirmatory factor analysis was conducted. Kang et al (1994) also supported confirmatory factor analysis for the study, because this technique allows alternative solutions by not only testing internal items co-consistency, but also by testing external item consistency. Confirmatory factor analysis is the best procedure to test unidimensionality items of the scale development (Kang et al, 1994).

Cluster analysis, allows the community to be segmented into several groups before the interview is conducted. By employing cluster analysis, the researcher can obtain and analyze different opinions from each group. A study by Perez and Nadal (2005) was carried out to examine the perceptions of different opinion groups regarding the impact of tourism on the community. In the study, clusters of five groups were examined: development supporters, prudent developers, ambivalent and cautious, protectionist and alternative developers.

Generally, respondents from all groups were aware of the development in their residential areas due to the existence of tourism activities. However, some groups had significantly different opinions to others on some factors. Development supporters did not agree with the statement that tourism development causes destruction of the environment. They believed that the introduction of tourism brings many positive impacts to the residents. In contrast with the development supporters' opinion, the prudent developers argued that tourism brings negative impacts, such as traffic congestion, inflation and environmental problems. However, both groups agreed that tourism still produces greater employment opportunities (Perez and Nadal 2005).

Dissimilarly, the perceived positive and negative impacts from tourism were analyzed from different angles using the social exchange theory. Social exchange theory proves that some residents, who perceive that the emergence of tourism in their area leads to development, will support tourism. However, if the local community feels that they do not get anything from tourism development or tourism causes negative impacts, they will not support tourism, as they believe that exchange does not happen. Thus, by employing the cost and benefit technique, the exchange that occurs between the resident and the reward or cost, can be evaluated (Andreck et al., 2005).

The study by Andreck et al, to investigate the residents' perceptions of community tourism impact, was conducted using social exchange theory. Tourism impact factors, like community environment, community problems, community life, community image, community services, and community economy, were analyzed. The result of the study does not contradict the social exchange theory. Those who are actively involved in tourism business activities have a greater perception of the positive impacts, but still agree with others about the negative impacts occurring.

Studies to improve current models from literature have also been conducted. A study by Gursoy and Rutherford (2003) aimed to collect and repackage the determinants of residents support towards tourism. Findings show that the host support and contributions towards tourism development in the rural areas were affected directly and indirectly by nine factors: the level of community concern, eco-centric values, and utilization of a tourism resource base, community attachment, the condition of the local economy, economic benefits, social benefits, social costs and cultural benefits. This study is also an extension of the study by Gursoy, Jurowski and Uysal (2002), which suggested that cost and benefit factors of tourism impacts, must be segregated to improve the understanding of the communities' attitude towards tourism.

Mazilu and Iancu (2006) who conducted a series of studies in Austria, Sweden, Ireland and Romania, also agree that the implications of agro tourism can be both positive and negative. According to the authors, agro tourism can prevent depopulation, by preserving employment for the local residents, by involving them in tourism activities like providing accommodation and transport. This finding is similar, to an earlier study by Dernoi, explaining that rural tourism is able to dissuade residents in the rural areas from migrating. Apart from that, a few other advantages found were:

- Agro tourism diversifies work force usage in the particular areas, rather than concentrating only on agriculture.
- Involvement into rural activities by allowing farmers to offer services or rental accommodation to tourists, whilst taking care of agriculture, at a same time.
- Extra profit gained through tourism activities can be used to improve electricity supply, communication facilities, and upgrading the condition of the roads.
- The production of local food and handicrafts also helps to capitalize the cultural heritage of the community

Despite the number of positive impacts of tourism, researchers also found some negative impacts caused by tourism:
The negative implications include:

- An increasing pressure on the environment
- A dramatic change in the socio culture of the community
- The increasing number of tourists causes a lack of accommodation
- Problems of planning, public participation in tourism activities and partnership with other stakeholders emerge
- Farmers' lack of competencies and awareness

V. Conclusion

Overall, five attributes were found to be common discussion by many past researchers. Figure 2.2 shows that the economical, social and developmental attributes are been studied by most of the researchers.

Attributes Studied

Authors	Gender	Economical	Social	Cultural	Developmental	Environmental
1. Perdue, Long and Allen (1987)		X	X		X	
2. Soutar and McLeod (1993)		X	X	X	X	
3. Johnson, Snepenger and Akis (1994)		X	X		X	X
4. Kang, Long and Perdue (1994)		X	X	X	X	
5. Smith and Krannich (1998)		X	X		X	
6. Mason and Cheyne (2000)	X	X	X	X	X	X
7. Gursoy and Rutherford (2003)		X	X	X	X	
8. Andreck, Valentine, Knopf & Vogt(2005)		X	X	X	X	X
9. Perez and Nadal (2005)		X	X	X	X	
10. Mazilu and Iancu (2006)		X	X	X	X	X
11. Zamani and Musa (2008)		X			X	
Total	1	11	10	7	11	4

Figure 2 : Attributes studied on rural tourism perception

Only one researcher addressed the perception of the local community in term of gender development. The result indicates that most of the studies to understand the rural communities' perception concentrate on economic and social impacts of the tourism on the local community. If the key players' perception is well understood, proposed tourism projects might be more sustainable.

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Environmental Information Utilization and Requirements in Solid Waste Management Organisations

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Abstract - The study among other things investigated the availability and accessibility of environmental information to their information requirements and the sources consulted. A descriptive survey design was adopted for the study. A purposive sampling technique was used to select the sample and method produced 205 respondents that consisted of 185 policy implementers (P.I) and 20 policy formulators (P.E). A total of one hundred and forth seven cases were finally analysed which included 16 policy formulators (8% of the total sample) and 131 policy implementers (71% of the total sample). Two research questions addressed in the study were analysed using descriptive statistics such as percentage and frequency counts. The findings revealed that both the policy formulators and implementers consulted environmental – related journals and publications from international organizations such as UNESCO, WHO, UNICEF, UNDP, and World Bank. However, both the policy formulators and implementers rarely consult important government documents.

Keywords : local community, rural tourism, perception, sustainable tourism.

GJHSS-B Classification : FOR Code : 050205

ENVIRONMENTAL INFORMATION UTILIZATION AND REQUIREMENTS IN SOLID WASTE MANAGEMENT ORGANISATIONS

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Environmental Information Utilization and Requirements in Solid Waste Management Organisations

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I. Background

The concern about the quality of the environment has been heightened over the past two decades, due to the strange manifestation around the globe, which include; ozone layer depletion as a results of global warming, climatic changes and resultant health hazards. The Brundtland Report of 1987 defined the environment of man as being consisting of the natural environment (including man made landscape). Man's life relies on the environment for survival because every act of living utilizes one resources or the other from the environment either for basic living exercises or as input of production. For too long, the society has taken the environment for granted, utilizing resources rather than conserving it. This has resulted into environmental problems now calling for special attention. These problems related to soil and wind erosion, air and water pollution, and those arising from drought, agricultural activities, transport development and road building, mining and industrialization, etc.

The case for a clear understanding of the physical environment; land, water and air in which man operates can not be made too strongly, as observed by NEST (1991), because the more sound the understanding of the environment is, the more effectively it can be put at the service of human beings. There is, therefore, a need to educate people, especially at grassroot level to be aware of their responsibility for nurturing and wisely utilizing the environment and taking urgent steps towards resorting environmental balance wherever such balance has been upset.

The interdependency of man with or within the earth's ecosystem according to Okorodudu-Fubara (1998) is obviously fundamental to human existence. It is, therefore, a must for man to live in harmony within the earth's ecosystem because the components of the earth's ecosystem cannot function in disunity. Okorodudu-Fubara (1998) further stated that, in the awake of scientific and technological advancement, man has greatly intruded on the supporting web of the environment, which has continued to threaten the very existence of man. The environment must, therefore be secured if the survival of man is to be secured, and there must be regulation of man's activities regarding the abuse of the natural environment in order to ensure a reasonably harmonious and healthy relationship with the environment. The United Nation Environment Data Report of 1994 stated that, since the advent of industrial times, human activities have resulted in the release of chemical contaminants into the biosphere and have become major agents of environmental change on global, regional and local scale. Issues such as green house effect, global warming and stratosphere ozone depletion have dominated environmental discuss in the past, and more regularly is the localized environmental pollution problem such as trace elements and organochlorine contamination which have even reached an extent which can be described as global occurrence.

Consequence upon the rate at which environmental degredation occurs and the attendant concerns at abating the rate at which the environment is being destroyed, environmental issues have assumed a global discuss. It has become a priority on the World's political and economic agenda with remarkable impact in lifestyles, investments and religion (Umoren, 1995).

In recognition of these problems, according to Okorodudu-Fubara (1998) many international conferences were held, new treaties and conventions were proposed, and the need for regulatory power over the environment at inter-governmental levels were stated

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frequently. A number of international programmes were put in place. The World Health Organisation (WHO) and the World Meteorological Organisation (WMO) began a global programme to monitor pollution levels. The United Nation Educational, Scientific and Cultural Organisation (UNESCO) also launched a major scientific programme directed towards the problems of man and the biosphere' the international conference of environmental problem held at Stockholm in June 1972 culminated into the establishment of United Nations Environment Programme (UNEP). The UNEP in collaboration with other international bodies such as the International Union for Conservation of Nature Resources (IUCN) and the World Wide Fund (WWF) for Nature have published a lot of data reports on the environment and have evolved strategies for the rational use of the environment.

The 1992 United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro, otherwise referred to as the Earth Summit, captured the growing consensus and dramatically accelerated the momentum for a drastic change in people's environment more than one hundred nations are trying to build environmental concerns into their planning processes and in about half of those nations substantial changes in policy and investment priorities are evident.

II. Environmental Information and Solid Waste Management Problems

The problems of solid waste management in Nigeria have been catalogued by Sridhar and Ojediran (1983), Federal Ministry of Housing and Environment (1982) and Wahab (1998). These include: lack of meaningful waste management strategy; lack of public awareness concerning waste recycling practices, economic value of wastes and the effect of improper disposal of waste both on the people and physical environment. In the same vein, Ayodele, (1997) categorized solid waste management problems into technical, institutional, financial and sustainable/human aspects. The problems identified, among others, include the inadequacy and poor maintenance of refuse vans and equipment, role conflict between state and local government, lack of continuity of governance with attendant shift in policies, structures and focus. The human/sustainability problems identified in the paper are lack of environmental awareness and poor attitude of people to waste management practices. Furthermore, as part of many problems militating against waste management practices, Babajide (1998) and Taiwo (1998) also identified lack of reliable data on waste generation. It was also observed by Okpala (1994) that waste are not really disposed of in Nigeria, but are transferred from one location to another where their nuisance value is thought to be less. Sridhar et al (1983), Johnson (1991) and Ologhobo (1994) listed the following among other things: communicable diseases, contamination of the underground water, pollution of the landscape, urban flooding, unsightliness and odour nuisance as parts of the main environmental consequences of improper solid waste management practices.

III. The Problems with Solid Waste Management

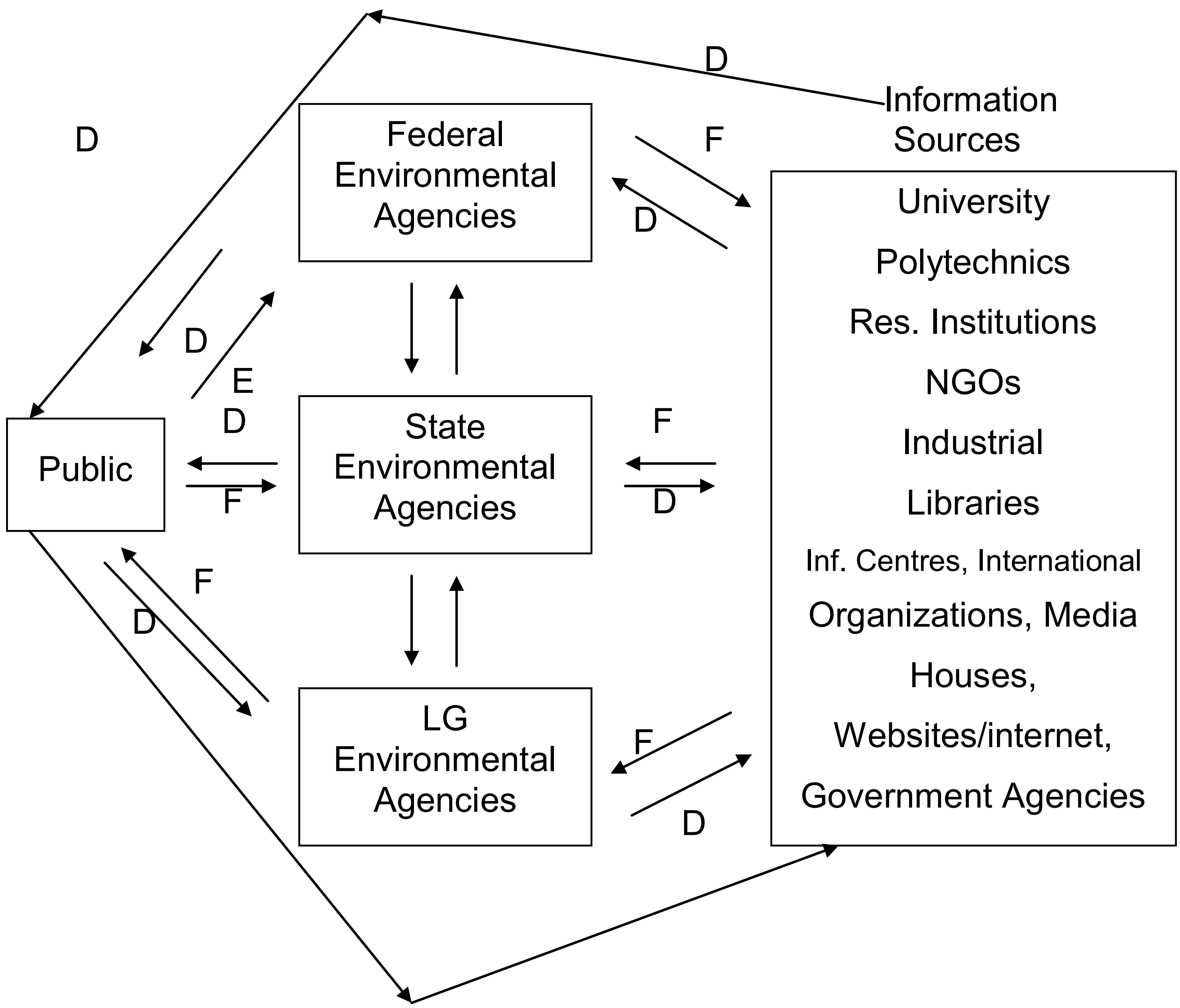
The problems with solid waste management are two fold, the attitude of the populace in embracing the culture of clean and health environment on one hand and the declining effort of the government agencies in evolving strategies to achieve same on the other hand. This therefore, raises the question on the information that is available and accessible to the environmental workers, who are involved in solid waste management. It is therefore, important to find out how information flow to the solid waste policy formulators and implementers, their information requirements, the sources they consult in order to meet their information requirements and their utilization capacity for environmental information for managing waste for a clean and health environment. Obviously, there exist a gap between the information requirement of solid waste policy formulators and implementers and their access to information presently. This seems to prevents them from effectively performing their functions of managing solid waste and creating public awareness. Environmental information on solid waste management seems rather scare for the policy formulators and implementers. This set of workers are thus incapacitated by the lack of access to information sources and the absence of information utilization capacity to enable them perform the task of managing waste and sensitizing the public on the importance for a clean and healthy environment.

Aiyepeku (1984) in an African Regional Centre for Information Science (ARCIS) seminar series gave some sets of assumption on effort at developing indicators for the assessment of information activities. The assumption deals with the role of information.

a) Assumptions about the role of information:

- Information is produced or collected to satisfy societal needs at all levels, recognizing that "society" is a heterogeneous concept and that information can be misused.
- Societal needs are satisfied through various kinds of activities, each of which require information as an input. These include, for example, education, policy formulation, research and development, personal needs, business decision – making, mass communication, public goods, and private goods.
- Societal needs are also satisfied at different levels, from individuals through to global communities.

The information flowchart in figure 1 shows the pattern of information flow from the various sources available to the environmental workers at both the Federal, State and Local Government levels and the Public. It is expected that these information sources should reach out to the environmental agencies and vice versa. The Environmental Agencies themselves are also expected to reach out to the public and assess the feedback in terms of environmental knowledge and attitudinal change.



KEY D = Dissemination of Information F = Feed Back

Fig. 1 : Information flow chart between the information sources, the Environmental Agencies (Federal, State and Local Government) and the public

IV. Statement of Problem

This study therefore investigated environmental information requirements, utilization and dissemination by policy formulators and implementers for solid waste management in Oyo State, Nigeria. Essentially, the study determined the environmental information requirements and utilization of policy formulators and implementers in solid waste management agencies in Oyo State.

V. Objectives of the Study

The following specific objectives were addressed in the study.

1. To determine the information requirements of solid waste policy formulators and implementers in Oyo State.
2. To identify prevailing sources of environmental information for solid waste management availability to policy formulators and implementers.

VI. Research Questions

The following research questions were addressed in the study.

1. What are the information requirements of solid waste policy formulators and implementers in Oyo State?
2. What are the sources of environmental information available for use by solid waste policy formulators and implementers?

VII. Methodology

This is essentially a survey research.

VIII. Sampling

Oyo State of Nigeria was selected for this study. The state represents typical urban cities with their attendant solid waste management problems. The study therefore employed the use of total enumeration technique for the policy formulators and implementers in the following organizations. The sample consisted of 20 policy formulators and 20 policy implementers drawn from Oyo State Environmental Protection Agency (OYSEPA) and the Ibadan Waste Management Authority (IWMA) and 165 policy implementers drawn from the 33 Local Government Authorities in Oyo State.

IX. Instrument

A questionnaire was used in the collection of data for the study.

X. Procedure for Data Collection

After the due processes of selecting the various organizations involved in the study, the researcher visited the organizations to establish the requisite functions and activities of the organizations concerned with solid waste management in Oyo State, Nigeria. The questionnaire were then administered to the solid waste as well as policy implementers in all the selected agencies. A total of two hundred and five questionnaires were administered on the respondents, however, one hundred and forty-seven of the questionnaires (which represent 72%) were recovered. The completed questionnaires were later collated and analysed.

XI. Data Analysis

Data collected from this study was analysed using descriptive statistics. This being an essentially survey study, descriptive statistics of percentages, mean, etc constituted the main procedure for data analysis.

XII. Findings

Table 1 : General, Scientific/Technical, Commercial/Industrial, Legal And Scientific Information Requirements For Solid Waste Management.

TYPE OF ENVIRONMENTAL INFORMATION	POLICY IMPLEMENTERS	POLICY FORMULATORS
General Information	n(%)	n(%)
Proper Handing of Wastes	102 (77.9)	10 (62.5)
Data Analysis	74(56.5)	12(75)
Programme Planning	69(52.7)	11(68.7)
Innovative Approach To Waste Management	81(61.8)	9(56.3)
Administration and Supervision	78 (59.5)	12 (75)
Project Implementation	65 (49.6)	12 (75)
Information Gathering	58 (44.3)	9 (56.30)
Scientific Technical Information		
Design and Fabrication of Equipment	79 (60.3)	12 (75)
Landfill Management	87 (66.4)	12 (75)
Environmental Impact Assessment of Industries Concerning Waste Generation	102 (77.9)	13 (81.3)
Commercial/Industrial Information		
Recycling Waste for Cost Recovery	103 (78.6)	11 (68.7)
Cleaner Production	52 (39.7)	11 (68.7)

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Composting / Maturing for Cost Recovery	75 (57.3)	10 (62.5)
<u>Legal Information</u>		
Enforcement of Environment Laws and Legislation	113 (86.3)	14 (87.5)
Acquisition of Land Fill Sites	69 (52.7)	10 (62.5)
International Agreement, Environment Tax/Pollution Tax.	70 (53.4)	9 (56.3)
<u>Statistical Information</u>		
Waste Generation Data	87 (66.4)	9 (56.3)
Population and Demographic Data	66 (50.4)	11 (68.7)
State of Environment Reports	83 (63.4)	10 (52.5)
Waste Management Indicator	78 (59.9)	10 (62.5)

Four categories of information requirements are presented to the two groups of respondents, the policy formulators and implementers. It could be observed from the table that both the policy implementers 86.3% and formulators 87.5% indicated that the area where environmental information is mostly require is enforcement of environmental laws and legislation. This is an indication that the two groups considered enforcement of environmental laws and legislations as their primary duties, which is just a very small aspect of solid waste management. This is followed by information requirements form of environmental impact assessment of industries, with 77.9% and 81.3% of the policy implementers and formulators respectively indicating information requirements in this area as very crucial.

The policy formulators and implementers also indicate general information requirements form of proper handling of waste (P.I = 77.9%, P.F = 62.5%). Programme planning (P.I. = 52.7%, P.F. = 75%) and administration and supervision two groups also conformed information requirement in the area of recycling of waste for cost recovery as indicated by 78.6% of the policy implementers and 68.7% of the policy formulators.

Table 2 : National and International Publications Consulted by Solid Waste Formulators and Implementers

PUBLICATION	POLICY IMPLEMENTERS	POLICY FORMULATOR	POLICY FORMULATORS			
	N n(%)	O n(%)	R n(%)	N n(%)	O n(%)	R n(%)
(a)Journals	35(26.8)	57(43.5)	39(29.8)	4(25.0)	1(6.3)	11(68.7)
(b)Conference Proceedings	59(45.1)	51(38.9)	21(16.0)	5(31.25)	6(37.5)	5(31.25)
(c)World Bank Reports	75(57.2)	40(20.5)	16(12.2)	7(43.75)	2(12.5)	7(43.75)
(d)UNEP Publications	62(47.3)	30(38.2)	19(14.5)	6(37.5)	3(18.75)	7(43.75)
(e)World Resources	90(68.7)	31(23.7)	10(7.6)	6(37.5)	3(18.75)	7(43.75)
(f)UNEP Data Reports	74(56.5)	35(26.7)	22(16.8)	8(50.0)	3(18.75)	7(43.75)
(g)OECD States of Environment Reports	71(54.2)	42(32.1)	18(13.7)	8(50.0)	5(31.25)	3(18.75)
(h)UNICEP Publications	60(52.7)	43(32.8)	19(14.5)	8(50.0)	2(12.5)	6(37.5)
(i)UNDP Publications	60(45.8)	46(35.1)	25(19.1)	5(37.5)	4(25.0)	6(37.5)
(j)DEVINDEX Africa	91(69.4)	26(19.8)	14(10.7)	9(56.25)	3(81.75)	4(25.0)
(k)FEPA Publications	53(40.4)	41(31.3)	37(28.2)	7(43.75)	3(18.75)	6(37.5)
(l)ILED Publication	72(55.0)	41(31.3)	18(13.7)	9(56.25)	2(12.5)	5(31.25)
(m)UNESCO Publications	58(44.3)	55(42.0)	18(13.7)	4(25.0)	4(25.0)	8(50.0)
(n)WHO Publications	58(44.30)	55(42.0)	18(13.7)	4(25.0)	4(25.0)	8(50.0)
(o)UNICEF Publications	48(28.1)	48(36.6)	45(34.4)	5(31.25)	6(37.5)	5(31.25)
(p)UN centre for Human Settlement Publications	73(55.7)	46(33.1)	12(9.2)	5(31.25)	4(25.0)	7(43.75)

Key : N = Never, O = Occasion, R = Regularly.

It could be observed from table 2 that environment related journals appear to be the most consulted materials by both the policy formulators and implementers consulted more publications that emanate from international organizations such as UNESCO, WHO, UNICEF and UNDP. The preference for consulting these publications more regularly, may be largely due to more current information, which they provide. World Bank Reports and UNEP publications were also policy formulators and implementers, publications from these agencies are considered very crucial to solid waste management in particular and environmental education in general.

Apart from the publications examined in table 2, it was also considered important to examine the documentary sources of information consulted by both the policy formulators and implementers for solid waste management.

Table 3 : Other Documentary Sources of Information Consulted by Policy Formulators and Implementers.

Sources	POLICY IMPLEMENTERS			POLICY FORMULATORS		
	N n(%)	N n(%)	N n(%)	N n(%)	N n(%)	N n(%)
Technical Reports	46(35.1)	64(48.9)	21(16.0)	7(43.7)	4(25.0)	5(31.3)
Text Book & Monographs	25(19.1)	47(35.0)	59(45.0)	5(31.25)	4(25.0)	7(43.75)
Conference Proceedings	47(35.9)	55(42.0)	29(22.1)	6(37.5)	3(18.75)	7(43.75)
Manuals, Handbooks & Data Compilation	38(29.0)	53(40.0)	40(30.5)	5(31.25)	2(12.5)	8(59.25)
Directories	68(51.9)	42(32.1)	21(10.0)	5(31.25)	6(37.5)	5(31.25)
Executive Briefs	77(58.8)	38(27.5)	18(13.7)	5(31.25)	5(31.25)	6(37.5)
Brochures	77(58.8)	36(27.5)	18(13.7)	10(62.5)	4(25.0)	2(12.5)
Abstracts & Bulletins	34(26.0)	72(34.9)	25(19.1)	4(25.0)	6(37.5)	6(37.5)
Bibliograhies	59(43.1)	53(40.5)	19(14.3)	5(31.75)	6(37.5)	5931.25
Theses Dissertations	41(33.3)	62(47.3)	28(21.4)	8(50.0)	2(12.5)	6(37.5)
State Gazettes	41(33.3)	62(47.3)	28(21.4)	8(50.0)	2(12.5)	6(37.5)
Federal Gazettes Hansard / State House of Assembly	90(68.7)	30(22.9)	11(8.4)	8(50.0)	5(31.25)	3(18.75)
Hansard of House of Representative	90(68.7)	24(18.30)	17(13.0)	5(31.25)	7(43.75)	4.25.0)
Pamphlets, Posters, Leaflets, etc	33(23.2)	48(36.6)	50(38.6)	6(37.5)	5(31.25)	5(31.25)
Consultancy Reports	57(43.5)	44(33.6)	30(22.9)	9(56.25)	3(18.75)	4(25.0)
Personal correspondence	57(35.9)	42(32.1)	42(32.1)	8(50.0)	4(25.0)	4(25.0)
Government publications	45(34.4)	49(37.40)	37(28.2)	8(50.0)	3(18.25)	5(31.25)
Private Sector Bulletins	68(51.9)	38(29.0)	25(19.1)	7(43.75)	6(37.5)	5(31.25)
Newspaper & Magazines	51(38.9)	23(21.4)	52(39.7)	6(37.5)	5(31.25)	3(18.25)

Key : N = Never, O = Occasion, R = Regularly.

It could be seen from table 3 that whereas the policy formulators indicated manuals, handbooks, data compilation and federal gazettes as the documentary sources most regularly consulted (59.25%) respectively, the policy implements on the other hand indicted textbooks and monographs as the documentary sources they consulted more regularly (45.0%). It could also be observed from the table that the environmental policy formulators consulted more regularly conference proceedings (45.75%) as against their implementers, counterparts (22.1%). Furthermore, it is evidence from the table that a great majority of policy implementers never consulted some important government documentaries such as hansard State House of Assembly (71.7%); hansard of Senate and House of Representatives (58.7% respectively). On the other hand, it is interesting to note that the policy formulators. Actually consulted these government documents more than policy implementers. Documentary sources such as brochures and consultancy reports did not enjoy consultation by both the policy formulators and implementers on solid waste management.

XIII. Conclusion

First and foremost, this study has been able to show that environmental information is very crucial in pinpointing environmental problem arising form improper solid waste management. Environmental information is also found to facilitate intervention for monitoring environmental policy concerning solid waste management as well as the general formulation of environmental policies and decisions. It is also apparent from the study that the concept of information as a resource for policy formulation is becoming more popular among the policy formulators and implementers.

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The Scourge of HIV/AIDS Pandemic and Economic Performance: The Case of Nigeria

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Abstract - The early 1980s marked the beginning of a new devastating chapter in the global epidemic history when the first case of HIV/AIDS was reported in the United States. In Nigeria, the case of the disease was first reported in 1986, and since then the pandemic has continued to spread, moving from a concentrated epidemic to a generalized one, with its concomitant effects on the economic performance of the country. This study analyzed the impact of the scourge of HIV/AIDS menace on the macroeconomic outcomes in Nigeria. Engle Granger Two-Stage Estimation Procedure was used to determine the long-run relationship between real GDP and the explanatory variables, which included HIV/AIDS. The time series data utilized covered the period 1990 to 2010. Two models were estimated. The first model made use of HIV prevalence while the second model adopted the log of number of persons living with HIV/AIDS in Nigeria. Having found that the variables were cointegrated, OLS estimations were conducted on both models. The result of model one showed that HIV prevalence has negative but statistically insignificant impact on real GDP. Model two's result revealed that HIV/AIDS has negative and statistically significant impact on the growth of the economy of Nigeria in the long-run. A 100 percent increase in the number of persons living with the pandemic led to a 19 percent reduction in the level of real GDP. The adjusted R2 of 97 percent demonstrated a good fit and a strong explanatory power of the model. The conclusion drawn from the study based on the result of model two was that HIV/AIDS has significant and negative impact on the economic growth of Nigeria. The implication of this is that the macroeconomic impact of the disease in Nigeria will be noticeable and significant as the disease progresses. Therefore, substantial and sincere efforts should be geared towards combating it to avert its negative consequences on the growth of the nation's economy, mortality and morbidity rates, average life expectance, heath status of the population, level of poverty as well as development. In addition, the attainment of the millennium development goals (MGDs) in the country may remain a mirage if the spread of the disease is not halted.

Keywords : HIV/AIDS, Human Capital, Economic Growth, Infant Mortality, Life Expectancy.

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Keywords : HIV/AIDS, Human Capital, Economic Growth, Infant Mortality, Life Expectancy.

I. Introduction

The early 1980s opened a new devastating chapter in the global epidemic history occasioned by the emergence of the dreaded HIV/AIDS disease. Little did nations of the world realize that the pandemic would exact greater burden on their economies than it began to spread and became substantially noticeable among the most active population group as well as women and children in different parts of the world, particularly in Africa, which has continued to bear the brunt of the disease due to its high rate in the continent. In fact, HIV/AIDS symbolizes global crisis, public health problem, developmental crisis, economic ordeal, challenge to human life and dignity; because of its debilitating impact on people in their most productive ages thereby imparting negatively on the economic wellbeing of nations, labour productivity, life expectancy, income level of nations, human capital formation, health expenditure and household incomes. The Sub-Saharan Africa (SSA) is most affected by the scourge of the disease with East and Southern African countries such as Kenya, Uganda, Botswana and South Africa greatly overburdened by menace of the pandemic.

Facts presented by UNAIDS (2010) indicate that the status of the disease with respect to the number of persons living with it as well as the prevalence and orphans caused by the epidemic globally are still very much high in spite of the declaration of UNAIDS in its 2010 report that the spread of the AIDS epidemic has been halted and begun to reversed. According to the UNAIDS (1998, 2000 & 2010), the number of persons living with the disease globally was put at 33.4 million in 1998 with 5.8 million new infections same year. 36.1 million people were estimated to be living with it in 2000 as well as 5.3 million newly infected. In 2005, about 40.3 million persons lived with the pandemic and new infections were estimated at 4.9 million. As at the end of 2009, 33.3 million people were living with the disease while 2.6 million persons got infected with 1.8 million deaths from the AIDS scourge.

The story of the Sub-Saharan Africa (which Nigeria belongs) as regards HIV/AIDS status is very pathetic. Out of the global 33.3 million persons living with the disease in 2009, 22.5 million were living in the SSA with 5 percent prevalence, 1.8 million new infections and 1.3 million deaths due to the disease (UNAIDS, 2010). Nigeria as the most populous African country is not unaffected by the deadly disease. In 2007, the nation ranked third globally in terms of the number of persons living with HIV/AIDS after India and South Africa but as at 2009 up till this moment, the country has overtaken India and is currently the second after South Africa (UNGASS, 2008 & 2010). Citing the Federal Ministry of Health, Nigeria 2001 and 2004 Hilhorst, Liere

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and Koning, 2006, reiterated that Nigeria is in the grip of a growing HIV/AIDS epidemic, with a national adult infection rate of 5.8 percent in 2001 and 5.0 percent in 2003, which makes significant regional variations. The foregone called for an empirical research into how the scourge of the pandemic has imparted the economic performance of Nigeria taking cognizance of the prevalence and the number of persons living with the disease.

The choice of Nigeria for this work is predicated on the fact that the number of persons living with the disease together with deaths occasioned by the pandemic and the prevalence are still on the high side and yet the nation continues to experience growth in the level of her real GDP. In addition, majority of HIV/AIDS studies on Nigeria are survey and micro level studies, which employ primary data (see Mahal, Canning, Odumosu, & Okonkwo, 2008 and Hilhorst et al, 2006). The only macro study by Abdulsalam, 2010 employed simulation and Computable General Equilibrium (CGE) modeling approach. This study adds to the existing literature by focusing on a time series analysis of how the HIV/AIDS scourge affects the performance of the economy of Nigeria using prevalence and number of people living with the disease. The remaining sections of this work are arranged as follows: Section two presents stylized facts, section three provides information on literature review, section four focuses on theoretical and methodological issues, section five systematizes results while section six gives summary, conclusion and policy recommendations.

II. Stylized Facts

It is pertinent to make bear facts on the system this work is studying to better comprehend the dynamics of the variables employed as well as the nation Nigeria itself. Nigeria has been said to be the most populous Black Country in the world with an estimated population of about 161.605 million people in 2010 according to the data provided by US Global Health Policy. The country is richer in mineral deposits as well as fertile land. In the 60s and early 70s, the nation derived most of her foreign exchange earnings from agriculture and "was among the richest 50 countries of the world and one of the promising economies in Africa" (Dauda, 2011). However, the discovery of crude oil seems to have changed the focus of the economy and today the nation depends on petroleum products for a large part of her foreign exchange earnings and the sector has continued to contribute positively to the growth of the country's GDP over the years. But as pointed out by Sanusi (2010), the the economy of Nigeria has continued to underperform going by the enormous resource endowment available in the country. A summary of the performance of the nation, which is still relevant today, is shown below in table 1.

Table 1 : Highlights of Nigeria's Economic Performance

Economic Growth	The Nigerian economy is recovering from two decades of stagnation. Real GDP growth averaged 5.4 percent during the period 2000–2004 and needs to improve further to help reduce the high poverty levels.
Poverty	Fifty-five percent of the population lives on less than one dollar per day. This is one of the highest poverty rates in sub-Saharan Africa
Gender	Gender disparities in Nigeria are great and show up in both education and health
Fiscal and Monetary Policy	New macroeconomic policies have resulted in declining expenditures-to-GDP ratios, a budget surplus in 2004, and an increase in foreign reserves. Inflation remains in the double digits.
Business Environment	Corruption is rampant, though recent government efforts had made modest improvements. Rule of law and regulatory quality are weak. The poor business environment is a severe constraint to doing business.
Financial Sector	Domestic credit to the private sector is strong. The banking system seems to be efficient with interest rate differentials of 6.5 percent.
External Sector	Primary indicators conceal important structural problems, including a heavy dependence on oil exports, protectionism, and a distorted foreign exchange market. With the recent approval of debt relief by the Paris club, debt sustainability does not appear to be a problem.
Economic Infrastructure	Very poor quality infrastructure continues to hamper growth, though recent improvements are impressive. Electricity is the top concern.
Health	Nigeria's health situation is extremely troubling. Reproductive health indicators and HIV/AIDS are of particular concern. Domestic health spending is woefully inadequate and implementation is poor.
Education	The education system needs great improvement in Nigeria as in much of sub-Saharan Africa. Female enrollment is adequate by regional standards, but low in absolute terms. The system is characterized by unqualified teachers, limited pupil–teacher contact, high pupil–teacher ratio, and a lack of materials.

Employment and Workforce	Women's rate of workforce participation mirrors the gender disparities of other indicators. Growth in non-oil sectors has been volatile, hampering job creation. Unemployment remains high. Labor laws, however, are favorable for job creation.
Agriculture	The agriculture sector performs below potential. Growth is not expected to continue in the long term unless productivity-boosting methods and technology are introduced. Poor infrastructure also plays a role in decreasing export potential. The historical maintenance of an overvalued exchange rate related to high oil-export revenues and Dutch Disease have substantially hampered agricultural exports.

Source : Garcia, Kohl, Ruengsorn, and Zislin (2006)

The average growth rates of the nation's real GDP since 1960 according to Sanusi (2010) increased from 5.9 percent between 1960 and 1970 to a record of 8.0 percent between 1971 and 1973; when Agriculture was the main stay of the nation's economy. But from 1976 to 1980, the average growth of the real GDP stood at 3.2 percent and further remained stagnant at 3.2 percent from 1982 to 1990, and then declined to 1.9 percent between 1991 and 1998. It however rose to 8.3 between 2008 to 2009. The initial low performance between 1976 and 1998, and the fluctuating rates (even though, the figure later rose) may not be unconnected with some of the challenges faced by the economy like the 2008 global economic meltdown, prevalence of communicable diseases such as malaria and HIV/AIDS, political challenges, unrest in the Niger Delta and so on. Figure 1 below shows growth, rates of the nation's real GDP as well as that of West Africa from 2002 to 2012.

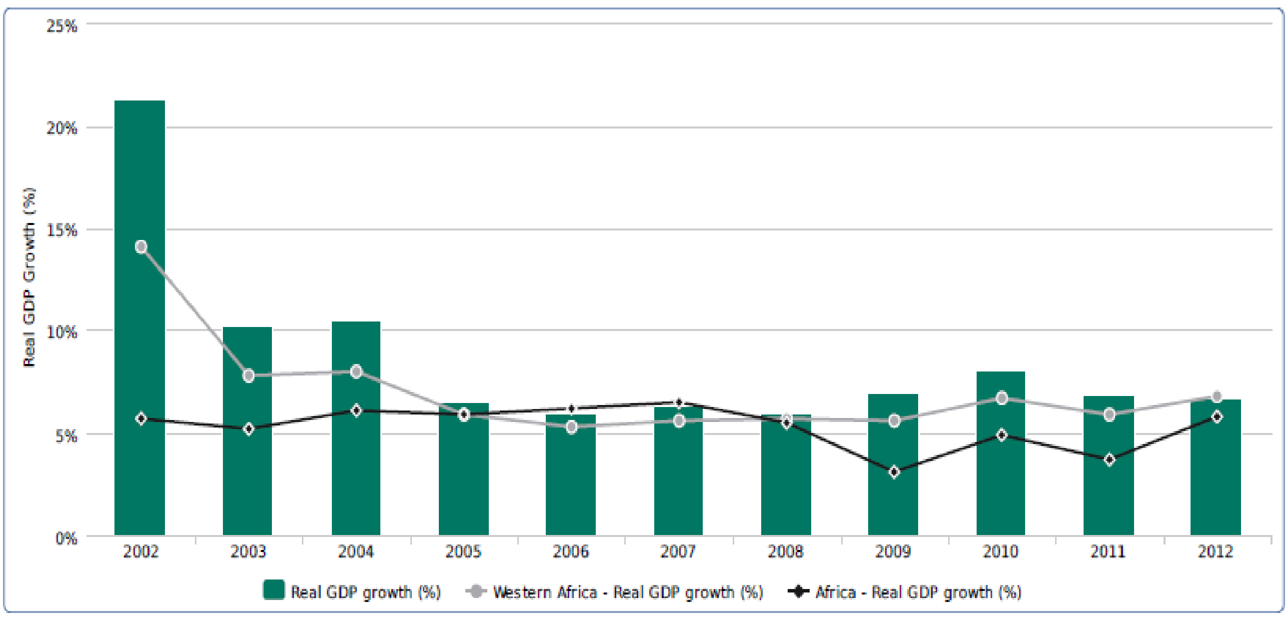


Figure 1 : Growth Rates of Real Gross Domestic Product for Nigeria, West Africa and Africa from 2002 – 2012[1]

Source : AfDB[2], OECD[3], UNDP[4], UNECA[5] (2011)

From the figure, real GDP growth which stood at 10 percent in 2003, declined to 5 percent in 2008 and rose marginally to about 7 percent in 2009. Although, the growth rates look promising, but these are nothing compared with the enormous human and natural resources the country is endowed with. Furthermore, the prevalence of communicable diseases such as HIV/AIDS, malaria and tuberculosis in the economy is an indication that the economy seems not to have gotten its bearing. Table 2 below provides information on the composition of the nation's foreign trade from 1960 to 2009..

[1] Figures for 2010 are estimates while that of 2011 and 2012 are projections.

[2] African Development Bank

[3] Organization for Economic Co-operation and Development

[4] United Nations Development Programme

[5] United Nations Economic Commission for Africa

Table 2 : Nigerian Foreign Trade (N' Million)

Year	Imports			Exports		
	Oil	Non-Oil	Total	Oil	Non-Oil	Total
1960	27.0	404.8	431.8	8.8	330.6	339.4
1965	47.9	502.2	550.1	136.2	400.6	536.8
1970	38.7	717.7	756.4	509.6	376.0	885.7
1975	118.0	3,603.5	3,721.5	4,563.1	362.4	4,925.5
1980	227.4	8,868.2	9,095.6	13,632.3	554.4	14,186.7
1985	51.8	7,010.8	7,062.6	11,223.7	497.1	11,720.8
990	6,073.1	39,644.8	45,717.9	106,626.5	3,259.6	109,886.1
1995	155,825.9	599,301.8	755,127.7	927,565.3	23,096.1	950,661.4
2000	220,817.7	764,204.7	985,022.4	1,920,900.4	24,822.9	1,945,723.3
2005	797,298.9	2,003,557.4	2,800,856.3	7,140,578.9	105,955.9	7,246,534.8
2009	1,063,544.8	3,958,617.8	5,022,162.6	8,543,261.2	289,152.6	8,832,413.8

Source : Compiled by the Author from Central Bank of Nigeria Statistical Bulletins (2010)

Table 2 shows trade composition of Nigeria in terms of exports and imports of both non-oil and oil commodities from 1960 to 2009. From the figure, it can be seen that non-oil exports outweighed oil exports from 1960 to 1970 before oil exports began to rise higher than non-oil exports. This trend has continued till date, which was due to the neglect of other sectors, and this has been the bane of the country making it a mono-economy. In fact, it has been said that rather than the oil been a blessing to the country, it is now regarded as a curse, because the country, which is the sixth major oil producer in the world and the largest in Africa currently depends on import for her refined petroleum products. As rightly pointed out by Odularu (2008), the coexistence of vast natural resources wealth and extreme poverty in Nigeria is a “resource curse”. Furthermore, the growth rates of oil and non-oil exports are shown in the table below.

Table 3 : Growth Rates of Nigeria's Exports

Year	Oil (N' Million)	Growth Rate (%) Oil	Non-Oil (N' Million)	Growth Rate (%) Non-Oil
1960	8.8		330.6	
1965	136.2	1447.727	400.6	21.17362
1970	509.6	274.1557	376.0	-6.14079
1975	4,563.1	795.4278	362.4	-3.61702
1980	13,632.3	198.7508	554.4	52.98013
1985	11,223.7	-17.6683	497.1	-10.3355
1990	106,626.5	850.012	3,259.6	555.7232
1995	927,565.3	769.92	23,096.1	608.5563
2000	1,920,900.4	107.0906	24,822.9	7.476587
2005	7,140,578.9	271.7308	105,955.9	326.8474
2009	8,543,261.2	19.64382	289,152.6	172.899

Source : Computed by the Author from Table 2

The growth rates were computed using the formula

$$N_g = \frac{N_t - N_{t-1}}{N_{t-1}} \cdot \frac{100}{1}$$

Where:

N_g = Growth rate of earnings from exports,
N_t = Earnings from exports in the current year
N_{t-1} = Earnings from exports in the previous year

From the table, while the growth rate of earnings from oil exports remain positive since 1960 till date, growth of non-oil export earnings have been fluctuating between positive and negative. Furthermore, the percentage of oil exports to non-oil exports has been mind bothering as can be seen in table 4 below.

Table 4 : Percentage of Oil to Non-Oil Exports in Nigeria

Year/Component	Oil Exports (%)	Non oil Export (%)
2004	97.5	2.5
2005	98.3	1.7
2006	97.8	2.2
2007	97.9	2.1
2008	99.0	1.0
2009	95.8	4.2

Source : Sanusi (2010)

From the table, the percentage of oil exports has remained high above 90 percent since 2004. In fact, it was 99 percent in 2008, which is not good for an economy like Nigeria endowed with mammoth human and material resources.

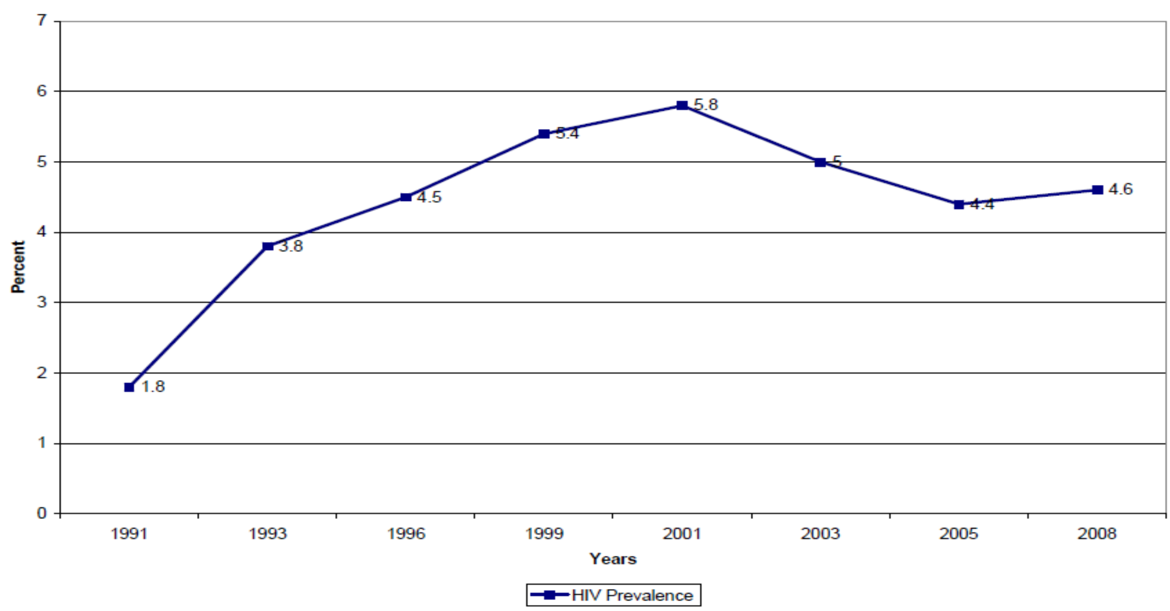
Status Of HIV/AIDS In Nigeria

It was in the year 1986 that the reality of the presence of the disease dawn on Nigeria when the first cases were reported. Ever since this period the pandemic has continued to spread moving from a concentrated epidemic to a generalized one. The World Bank in 1998 had proposed that a 1 percent and above prevalence level of the disease in the general population constitutes a generalized epidemic in any country, and in Nigeria, the prevalence rate is far above 1 percent. Evidences provided by UNGASS (2007 & 2010) reveal an increased in the prevalence from 1.8 percent in 1991 to 5.8 percent in 2001, which was the peak. It declined marginally to 5.0 percent in 2003, 4.4 percent in 2005 and then increased again to 4.6 percent in 2009. The rate as at 2010 according to NACA (2011) was 4.1 percent. The number of persons living with the disease in the country has also remained very high. For instance about 3.3 million Nigerians were estimated to be living with the virus in 2003. The figure fell to a record of 3.2 million in 2005 and further declined to about 2.6 million in 2008. It however has continued to rise again. The 2009 figure was put at 3.3 million while NACA (2011)reported 3.1 million persons in 2010. New infections according to the agency stood at 281,180 in 2010 while the annual HIV positive births the same year was 56,681. In fact, in the UNGAS, (2010) report on the country, it is stated that the nation accounts for about 9 percent of the global HIV burden, with more females affected than males. Below is a table showing HIV/AIDS population in Nigeria from 2003 to 2010 and figure 2 showing a graphical representation of the prevalence of the disease from 1991 to 2008.

Table 5 : HIV/AIDS Population in Nigeria

Year	HIV/AIDS Population
2003	3,392,802
2004	3,295,862
2005	3,191,203
2006	3,138,854
2007	3,083,007
2008	2,600,000
2009	3,300,000
2010	3,100,00

Source : Dauda (2011) and NACA (2011)



Source : UNGASS 2010 Country Progress Report

Figure 2 : HIV Prevalence in Nigeria, 1991 – 2008

From the figure, it is clear that the prevalence of the pandemic, which was 1.8 percent in 1991 got peaked at 5.8 percent in 2001. It reduced marginally to 4.6 percent in 2008, which still indicated a generalized epidemic. One awful thing about the disease is its high rate among the economically active population, which is detrimental to the level of productivity in the economy. For instance in 2008, the prevalence of the disease among age bracket 15 to 19 was 3.3 percent, that of age bracket 20 to 24 stood at 4.6 percent and for the age group 25 to 29, the rate was 5.6, the highest among the age groups. Meanwhile, age bracket 30 to 34 had 4.9 percent, age group 34-39 recorded 4.1 percent while age bracket 40 to 44 had 2.9 percent prevalence. This figures speak volumes about the economy in the future since no cure has yet been discovered for the pandemic, meaning that as the disease progresses, the immune system of the affected people would get weakened thereby leading to less labour hour supply and a complete withdrawal of such services at their demise.

Mode Of Transmission

As in most African countries where the prevalence of the pandemic is high, the channels of transmission are similar. The various and major means through which the disease spreads in Nigeria include: i) heterosexual intercourse, which is the primary mode of transmission in the country, accounting for about 80-95 percent; ii) blood transfusions; iii) mother-to-child transmission; iv) Injecting Drug Users (IDU); and v) homosexuality (UNGASS, 2010 and Avert, 2011). The 2010 UNGASS country report states that about 80 percent to 95 percent of people infected with the virus in Nigeria got infected through heterosexual intercourse. This was underscored by the nation's 2007 IBBSS[6] which indicated that HIV/AIDS prevalence was very high among sex workers and that about 37.4 percent prevalence existed among sex workers based in brothels while non-brothel-based sex workers had 30.2 percent. MSM[7] was 13.5 percent, armed forces, 3.1 percent, police, 3.5 percent, transport workers 3.7 percent and IDU[8] was 5.6 percent. The survey which covered three major cities in the country revealed that Kano and Abuja had 49 percent prevalence while the lowest rate was recorded in Lagos among brothel-based and non-brothel-based sex workers given as 23.5 percent and 12.9 percent, respectively (USAID-Nigeria, 2010). The figure below shows prevalence of the disease among high risk population in Nigeria.

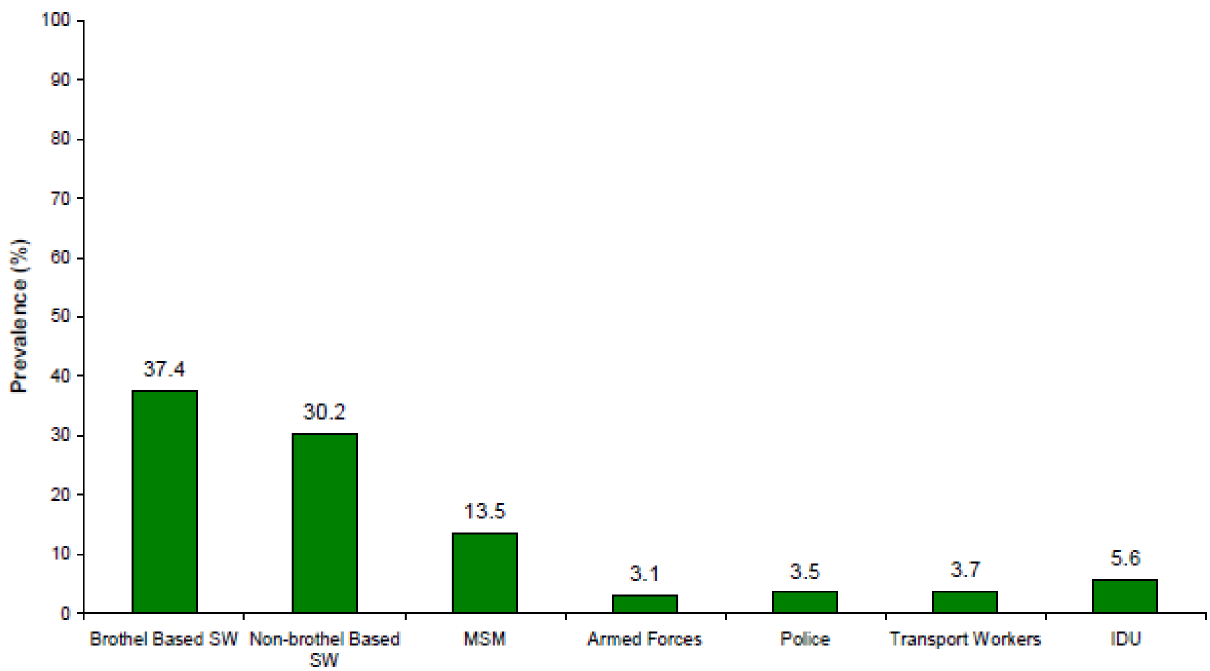


Figure 3 : HIV/AIDS Prevalence among High Risk/ Most at Risk Population/Groups

Source : UNGASS 2010 Country Progress Report

From the figure, 37.4 percent prevalence was reported for brothel based sex workers while non-brothel based sex workers had 30.2 percent prevalence. The least, which was 3.1 percent was found among the Armed Forces. The UNGASS, 2010 country report also revealed that the most affected group were the female sex workers, which was 49.2 percent in the Federal Capital Territory, 49.1 percent in Kano State and 23.5 percent in Lagos. The prevalence among MSM was 25. 4 percent in Lagos, 11.7 percent in Kano and 2.8 percent in Cross Rivers while prevalence among IDU was 10 percent in Kano, 3 percent in Lagos and 3 percent in Cross Rivers.

The above figures notwithstanding, governments at various levels in the country have been proactive together with international agencies and civil society groups including religious bodies in putting in place policy measures and programmes geared towards combating the scourge of the disease in the country. The Federal government established the National AIDS/STD[9] Control Programme (which is currently the HIV/AIDS division of the Federal Ministry of Health) to coordinate national response activities towards fighting the pandemic (NACA, 2008). According to the 2007 IBBSS, one of the key strategies of the Federal government has to do with the continuous monitoring of the HIV epidemic through repeated sentinel surveys, including biennial sentinel surveys among pregnant women attending antenatal clinics in the country. The monitoring task always focuses on groups perceived to be at higher risk, such as: female sex workers (FSW), both brothel- and non-brothel-

[6] Integrated Bio-Behavioural Surveillance Survey

[7] Men who have sex with men

[8] injecting drug users

women in the uniformed services (armed forces and the police). In 2001, the federal government established the Presidential Council on AIDS (PCA) and the National Action Committee on AIDS (NACA) to coordinate and oversee all HIV/AIDS related activities at the federal level while the State Action Committee on AIDS (SACA) and the Local Government Action Committee on AIDS (LACA) were also formed to coordinate and oversee such activities and programmes at the state and local government levels respectively. NACA, which "emphasizes a multisectoral approach to national HIV/AIDS response" (UNGASS, 2010) immediately swung into action and therefore developed the HIV/AIDS Emergency Action Plan (HEAP) in 2001 and in 2009, "a second National Strategic Framework was developed for the 2010–2015 time period and serves as a comprehensive strategic plan covering areas such as prevention, care, and treatment" (USAID, Nigeria, 2010). Most HIV/AIDS response programmes focus on education, prevention, HIV testing, care and support, advocacy, legal issues and human rights, media campaigns and public awareness, monitoring and evaluation as well as research and knowledge management.

Response policies also include funding. As stated in the 2007 UNGASS country report; funds aimed at financing HIV/AIDS activities are sourced from both within and outside the country. According to the report, the federal, state and local governments provide funds for HIV programmes. The report affirms that although, the actual expenditure on HIV/AIDS in Nigeria could not be easily ascertained, the application of the NASA tool for 2006-2007 revealed that a total of about 4.9 billion Naira was spent on HIV/AIDS related activities while a total sum of 5.9 billion naira came from the Global Fund with an unspecified sum from other donors such as: PEPFAR[10], DFID[11], CIDA[12] Canada, World Bank MAP and the UN System, which could not be captured using the NASA[13] tool. Citing the Health Foundation of Nigeria (HERFON), 2007, Avert maintained that the World Bank in 2002 awarded a loan of US$90.3 million to Nigeria to support a 5-year HIV/AIDS Programme Development Project while an additional fund totaling US$50 million was also allocated to the country for the same programme in 2007. In addition, it reported that in 2008, PEPFAR donated about US$448 million to the country for the purpose of "HIV/AIDS prevention, treatment and care" while as at the "end of 2008, the Global Fund had disbursed US$95 million in funds for Nigeria to expand treatment, prevention, and prevention of mother-to-child transmission programmes."

The various response programmes have had some positive impact on the status of the disease in the country. Evidence provided by the 2010 UNGASS report revealed that some marginal progress have been made in combating the menace of HIV/AIDS in the country. According to the report, the percentage of people (both adults and children) with advanced HIV infection receiving antiretroviral therapy increased from 16.7 percent in 2008 to about 34.4 percent in 2010. The percentage of pregnant women who have tested positive to the disease but received antiretroviral medicines in order to reduce "the risk of mother-to-child transmission increased drastically from 5.3 percent in 2008 to about 21.59 percent in 2010. The rate of HIV/AIDS-induced tuberculosis persons who received treatment for both diseases rose from 55.95 percent in 2008 to 69.1 percent in 2010 while the percentage of women and men from age 15 to 49 who underwent HIV/AIDS test and at the same time knew the results increased from 8.6 percent in 2008 to 11.7 percent in 2010. The percentage of young people from age 15 to 24 infected with the virus declined from 4.3 percent in 2008 to 4.2 percent in 2010. In the same vein, available facts have shown reduction in the prevalence rate of the disease in the country, from 5.8 percent in 2001 to 5 percent in 2003, and to 4.4 percent in 2005 with a slight increase to 4.6 percent in 2008 and then 4.1 percent in 2010.

III. Review of Related Literature

The menace of the dreaded HIV/AIDS has continued to be foci points of theorization as well as empirical works since the disease was discovered. Although at the early stage of its discovery, most research works focused on the epidemiological and demographic aspects of the disease with little works done on the economic implication of the pandemic (see Myers and Henn, 1988; Over, 1989, Over et al, 1989; Over and Piot, 1991; Becker, 1990; Chin and Lwanga, 1991; Kambou et al, 1992 and Bell et al, 2003). Currently, attention has so far shifted to the micro and macro economic impacts of the disease as it has progressed to the third decades since the 80s when it was first reported.

There are both micro and macro impacts of HIV/AIDS on any economy. Micro impact is always observed at the household and sectoral levels while the macro impact is seen at the national or economy wide level. At the micro level, when a household member gets infected with the virus, its immediate effect is seen in the rate of absenteeism at work as well as diversion of household income to treating the disease. Also, increased absenteeism at work by an infected worker as well as complete loss of labour hour at the advanced stage of the disease or the death of an infected persons act to reduce the level of productivity of the firm. Citing the work of Bechu, (1998), Stover and Bollinger (1999) reported that the expenditure of households with a

[9] Sexually Transmitted Infections

[10] Presidential Emergency Plan for AIDS Relief

[11] Department for International Development

[12] Canadian International Development Agency

[13] National AIDS Spending Assessment

member infected by the disease is twice as much on medical expenses than households without an HIV/AIDS patient. The United Nations (2004) has maintained that the disease has the tendency to reduce directly the number of workers and that firms could also lose their "institutional memory (the know-how accumulated through many years of experience) if some high level skilled workers that are important become ill or die from the pandemic. At the macro level, the direct burden of the pandemic is obvious on its effect on the population of the country. The disease causes increased morbidity and mortality which indirectly results to reduction in the amount of labour hours supplied by those infected and a complete loss of labour services earlier supplied by a person who dies as a result of the pandemic. In addition, morbidity and mortality caused by the disease tend to shrink a country's population which directly reduces labour force.

The economic burden of HIV/AIDS in this context is viewed from the perspective of decline in the level of output that results from morbidity and mortality rates associated with the pandemic. This is based on the fact that increased morbidity and mortality resulting from the disease would act to reduce the level of productivity in the economy thereby impacting negatively on other sectors of the economy since expenditure would be diverted to handling HIV/AIDS related issues and lower income within the economy would continue to affect the performances of other sectors. Kambou et al (1992) has argued that AIDS epidemic can affect the entire economy by increasing public and private health expenditure as well as destroying human resources. This argument has been substantiated by some research findings in the literature, although some have proved otherwise.

The scourge of HIV/AIDS has significant implications for the level of gross domestic product and per capita income in any economy where the disease is found. Since its discovery in the eighties, its prevalence rate and effect on the economy as a whole have continued to be a major source of apprehension. The reason for this is not farfetched. HIV/AIDS affects majorly the population of those in their productive age through high morbidity and mortality as discussed under the demographic impact above. The results of these are cumulated in overturning and reducing significantly the level of labour force and labour supply in the economy, which invariably have implication for economic growth. Jefferis (2007) maintained that HIV/AIDS can affect output (GDP) relative to the level that would have prevailed without AIDS, by affecting the size, skill structure, experience and productivity of the labour force, and by reducing the rate of investment (gross fixed capital formation) and hence the available capital stock. According to him, because all of the key inputs to production (labour, capital and productivity growth) are likely to be negatively affected, it is highly likely that the rate of GDP growth will be reduced but the impact on average incomes is not clear, a priori, because both GDP growth and population growth are reduced, and the net impact on GDP per capita depends on which one falls further. This argument has been supported by McPherson (2003) who opined that HIV/AIDS burden will lead to a significantly larger economic losses and countries may find it increasingly difficult (when measured in terms of finance, skills, time, and effort) for their economies and societies to recover.

Arndt (2003) pointed out that since the AIDS pandemic would last for an extended period of time, "even small impacts on rates of accumulation of key determinants of growth (such as technical progress, physical capital, and human capital) will cumulate over time with potentially substantial implications for economic growth." The prevalence of the disease would inadvertently reduce the levels of savings and investments as well as aggravate the poverty level in Africa which invariably will act to slow down the growth of the gross domestic product. In addition, the concentration of public and private expenditures on treating the disease will be detrimental to the growth and development of other sectors in the economy. The implication of this for the economy as a whole is that most sectors will perform poorly thereby resulting to decline in growth and the level of standard of living within the economy. Furthermore, as a result of the pandemic, the household may suffer from shortages of fund for children's education as well as consumption of commodities necessary for improvement of the standard of living. The epidemic can also deepen the poverty of the most affected countries, most especially the developing countries that are already beset with a high level of poverty and this can also lead to decrease in the growth rate of per capita income and by selectively impoverishing the individuals and families that are directly affected (Annim and Dasmani, 2010).

The literature is fraught with plethora of empirical evidences relating how the menace of HIV/AIDS pandemic has affected the economies of countries where the disease is prevalent. Since the productivity of workers determines the economy wide level of output, it is not out of place to opine that the demographic impact of the pandemic has implications not only for the labour force and the world of work but also for the output level, which determines the performance of the economy. An ILO study in 2000 gave estimates based on population data analysis from some countries that the pandemic would reduce the work force appreciably. For instance in Botswana, Cameroon, Ethiopia, Cote D'Ivoire, Haiti, Kenya, Malawi, Mozambique, Namibia, Nigeria, South Africa, Tanzania, Thailand, Uganda and Zimbabwe, the organization estimated that there would be about 24 million fewer workers in those countries alone in the year 2020 as a result of the AIDS epidemic.

Although, it has been argued in the literature that the labour lost to the HIV/AIDS pandemic could be replaced in countries where there are labour surplus due to strong population growth (UNDP, 2003 and Cuesta, 2008); but the labour surplus hypothesis may not hold in most African countries where both skilled and unskilled workers are affected in large proportion. For instance those who have acquired some skills either through formal education or other means such as on-the-job training who have acquired some critical experiences through the years of doing such jobs are lost to the disease in African countries where the literacy rate is already low and the level of brain drain seems to be higher compare to most advanced economies. In addition, labour replacement has some costs attached to it and it will be impossible to get them easily replaced, which could reduce productivity level as well as the level of per capita income in the economy. As pointed out by Cohen (2002), the reasoning that the 'unskilled' labour lost through epidemic diseases such as HIV can be easily replaced is based on fallacy because even with agricultural skills as well as other economic activities where it may appear as if the skills can be easily replicated and replaced, "family-based producers, who account for most farmers in Sub-Saharan Africa, face critical constraints in replacing labour lost to HIV and AIDS" because "most producers do not have access to labour markets, and are thus generally limited in the degree to which they can hire labour to meet their needs."

Bonnel (2000) carried out a cross country study to ascertain whether the presence of HIV/AIDS in Africa has increased or decreased growth between 1990 and 97 and found that the disease reduced the rate of growth of Africa's per capita income by 0.7 percentage points per year. The finding of the study which covered a relatively earlier stage of the disease is an attestation to the fact that as the pandemic progresses its impact on the economies where it is prevalent would be quite substantial. The above result was also substantiated by a country-level study undertaken by Zerfu (2002) on the macroeconomic impact of the disease in Ethiopia, using a macroeconometric model which was set up in aggregate demand and supply framework with the individual equations in the model estimated in an ECM format using the Johansen approach in view of the time series properties of the macro-time series variables. The outcome of the study shows that the prevalence of HIV/AIDS has a negative impact on the overall economy through lowering the active labour force, which in turn resulted to a direct negative impact on both the output of the agricultural and nonagricultural thereby leading to decline in private consumption, investment, exports and government tax revenue.In the same vein, McPherson (2003) discovered from his study that HIV/AIDS burden would lead to a significantly larger economic losses and countries may find it increasingly difficult (when measured in terms of finance, skills, time, and effort) for their economies and societies to recover.

Hilhorst et al (2006) carried out an empirical study on the impact of AIDS on rural livelihoods in Benue State, Nigeria and discovered that about 6 percent of the households covered had experienced illness and death classified as AIDS and reported high costs in terms of expenditures and time spent on care, funerals and mourning. The demands on time affected income and productivity while the diversion of resources had implications for investments and savings.

Although, the discovery of antiretroviral drugs have contributed appreciably to the improvement of the immune system of an HIV infected persons, yet the disease impact on growth and development of the economies of countries where it is prevalent would still be grave since no cure has yet been discovered for the disease; implying that in the nearest future virtually all the people suffering from it would eventually die and their labour supply completely withdrawn, which also has negative implications for the level of productivity and economic growth as a whole. This portends a grave danger not only for Nigeria but also for the economy of Africa being the continent with the highest prevalence and incidence of the disease.

IV. Methodology and Conceptual Framework

Since the reported cases of HIV/AIDS, different methodologies have been employed in the literature for economic related studies on the disease. According to Jefferis (2007) some of the methodologies include: econometric estimation where HIV/AIDS variable appears as one of the explanatory variables estimated, aggregate macroeconomic equilibrium growth models, where a simple simulation model is constructed and calibrated to a particular economy, and the growth path of the economy is simulated under different scenarios such as "with AIDS" and "no-AIDS" situation, Computable General Equilibrium (CGE) models; these are like aggregate growth models in that they simulate generally the equilibrium behaviour of an economy under different scenarios, but are more disaggregated and can take into account labour, capital and commodity markets; scale macroeconomic models, where an economy is represented by a number of large econometrically estimated equations that can be used to forecast economic trends, and which can incorporate HIV/AIDS-related factors into model-based forecasts; and the Overlapping Generations Model (OLG) used by Bell, Devarajan and Gersbach (2003) to study the impact of HIV/AIDS on long-term human capital formation.

This study is based on the neoclassical growth theory (as employed in Barro, 1991; Mankiw, Romer & Weil; 1992, Kirigia, et al, 2002, Asante & Asenso-Okyere, 2003; McDonald & Roberts; 2004 and Tandon, 2005) using the production function approach where HIV/AIDS variables are included as one of the explanatory variables. In addition, the econometric analysis follows Engle Granger Two-Stage Procedure since the data point used in the study is less than 30.

Given the function

$$Y = f(D_i) \qquad (1)$$

Y= output or GDP; and

D_i = All explanatory variables employed in the study with HIV/AIDS inclusive.

Equation (1) could be re-specified as

$$Y = D_i^{\beta_i} \qquad (2)$$

Linearizing equation (2) gives

$$\ln Y = \beta_i \ln D_i \qquad (3)$$

Equation (3) can be augmented by introducing more input variables and re-written as

$$\ln Y = \sum \beta_i \ln D_i \qquad (4)$$

Where β_i is a vector of coefficients of the equation/model, D_i are various inputs or right hand variables.

Econometrically, equation (4) can be specified as:

$$\ln Y = \sum \beta_i \ln D_i + \varepsilon \qquad (5)$$

Where: β_i is a vector coefficients of the model, D_i stands as a vector of various explanatory variables and ϵ is error term or stochastic disturbance term.

Model Specification

The study employed two models. Model one used HIV/AIDS Prevalence while model two employed number of persons living with HIV/AIDS in Nigeria.

Model One

Based on the above, model one is specified thus:

$$\ln RGDP = \beta_0 + \beta_1 \ln LBF + \beta_2 \ln GFC + \beta_3 \ln EDUX + \beta_4 \ln HLTX + \beta_5 \ln IMT + \beta_6 HIV + \varepsilon \qquad (6)$$

Where:

InGDP	=	The log of Real Gross Domestic Product, which is the proxy for economic growth;
InLBF	=	Log of Labour Force;
InGFC	=	Log of Gross Fixed Capital;
InEDUX	=	Log of Education Expenditure, a proxy for education capital;
InHLTX	=	Log of Health Expenditure, a proxy for health capital;
InIMT	=	Log of Infant Mortality, another proxy for health capital;
HIV	=	HIV Prevalence.
ϵ	=	Stochastic Disturbance Term.
β_0	=	Intercept of the model
$\beta_1 .... \beta_6$	=	The slopes of the regression or behavioural parameters.

A priori, it is expected that $\beta_{1...}\ \beta_4 > 0$ while β_5 and $\beta_6 < 0$.

Model Two

$$\ln RGDP = \beta_0 + \beta_1 \ln LBF + \beta_2 \ln GFC + \beta_3 \ln EDUX + \beta_4 \ln HLTX + \beta_5 \ln IMT + \beta_6 \ln HIV + \varepsilon \qquad (7)$$

Where all variables except HIV remain as earlier defined. Infant mortality variable is specified in level and HIV prevalence replaced with number of persons living with HIV/AIDS in Nigeria. The a priori expectations remain the same.

Data Sources

The data used for the study were obtained from the following sources: Central Bank of Nigeria's Statistical Bulletins, National Bureau of Statistics of Nigeria, National Agency for the Control of AIDS (NACA), World Development Indicators (WDI), International Financial Statistics (IFS), UNAIDS, WHO, UNData, US Census Bureau, US Global Health Policy and CIA World Factbook.

V. Results and Discussions

Model One

Table 6 : Descriptive Statistics of Model One

	RGDP	EDUX	GFC	HIV	HLTX	IMT	LBF
Mean	391764.2	65788.42	549611.7	3.547368	49685.71	98.89474	64850122
Median	312183.5	31563.80	205553.0	3.700000	18181.80	103.0000	64304516
Maximum	672202.6	242731.0	1915349.	4.000000	348042.9	113.0000	81789142
Minimum	265379.1	2982.500	30626.80	1.300000	658.1000	80.00000	49853380
Std. Dev.	140732.1	70709.56	605676.3	0.686673	80990.52	12.23335	10067379
Skewness	0.814276	1.131685	0.995414	-2.347971	2.831210	-0.336064	0.134011
Kurtosis	2.106529	3.328774	2.528690	7.671214	10.91865	1.451588	1.788870
Jarque-Bera	2.731626	4.141160	3.313541	34.73209	75.02471	2.255724	1.218115
Probability	0.255173	0.126113	0.190754	0.000000	0.000000	0.323725	0.543863
Sum	7443520.	1249980.	10442622	67.40000	944028.5	1879.000	1.23E+09
Sum Sq. Dev.	3.56E+11	9.00E+10	6.60E+12	8.487368	1.18E+11	2693.789	1.82E+15
Observations	19	19	19	19	19	19	19

Source : Author's computation

The descriptive statistic results show that real GDP had an average value of 391,764.2 million naira, which varied between a minimum of 265,379.1 million naira and a maximum of 672,202.6 million naira. Education expenditure averaged 657, 88.42 million naira and varied from a minimum of 2,982.5 million to a maximum of 242,731.0 million naira on the average. During the period under consideration, Gross Fixed Capital Formation stood at an average of 549,611.7 million naira varying between the lowest value of 30,626.80 million naira and the highest average value of 1915349.0 million naira. This pattern is also observed in the average values of HIV prevalence, Health expenditure, Infant Mortality and Labour force. On the average, 3.55 percent HIV prevalence was observed from 1990 to 2010 in Nigeria, which ranged between a minimum prevalence of 1.30 percent and a maximum prevalence of 4.0 percent. Health expenditure averaged 49,685.71 million naira with a minimum value of 658.10 million naira and a maximum of 348042.9 million naira. Infant mortality within the observed period revealed an average value of 98.89 per 1000 live births with a minimum of 80.0 and a maximum of 113.0 averages per 1000 births. Labour force was 64,850,122 people on the average with a minimum of 49,853,380 and maximum of 81,789,142 people.

Engle Granger Two-Stage Cointegration Test

This test involves two procedures of running a static regression of the model and conducting a unit root test on the residual from the regression result. If the unit root is I(0), then cointegration exists among the variables, which also implies the existence of a long-run relationship, which also warrants the conduction of an Ordinary Least Square (OLS) regression on the model.

Estimation of Model One

Here, the Phillips-Perron (PP) Unit Root test was carried out on the Residual of the static regression of model one.

Hypothesis

Null Hypothesis(H_0): RESID01 has a unit root
Alternative Hypothesis(H_1): RESID01 does not have a unit root

Table 7 : Phillips-Perron (PP) Unit Root Test on Residual Series

Variables	PP Statistic at Level	Critical Value (1%)	Critical Value (5%)	Critical Value (10%)	Probability Value	Order of Integration
RESID01	-3.337300	-3.857386	-3.040391	-2.660551	0.0283	I(0)

Source : Author's computation

The result shows that the residual series is stationary at level going by the probability value and the t statistic at both 5 percent and 10 percent levels. Based on this, the alternative hypothesis is accepted. The stationarity of the residual series at level implies that the variables are cointegrated based on Engle Granger two way procedure. The import of this is that there is a long run relationship among the variables this therefore, warranted the estimation of the model using the Ordinary Least Square. The result is shown in table 8 below.

Table 8 : Ordinary Least Square Regression Result for Model One

Dependent Variable: LOG(RGDP)
Method: Least Squares
Date: 09/15/11 Time: 11:55
Sample (adjusted): 1990 2008
Included observations: 19 after adjustments

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-0.087512	15.27162	-0.005730	0.9955
LOG(EDUX)	-0.122192	0.059087	-2.068019	0.0609
LOG(GFC)	0.064302	0.054624	1.177188	0.2619
HIV	-0.058717	0.039186	-1.498441	0.1599
LOG(HLTX)	0.026617	0.021845	1.218416	0.2465
LOG(IMT)	-1.619687	0.659863	-2.454582	0.0303
LOG(LBF)	1.154319	0.791985	1.457500	0.1706

R-squared	0.985705	Mean dependent var	12.82309
Adjusted R-squared	0.978557	S.D. dependent var	0.332916
S.E. of regression	0.048750	Akaike info criterion	-2.926909
Sum squared resid	0.028519	Schwarz criterion	-2.578958
Log likelihood	34.80564	Hannan-Quinn criter.	-2.868022
F-statistic	137.9069	Durbin-Watson stat	1.609668
Prob(F-statistic)	0.000000		

Source : Author's computation

From the OLS regression result above, the coefficient of HIV prevalence (the variable of interest) has negative but statistically insignificant impact on the level of gdp in Nigeria in the long run. The negative sign is consistent with the a priori expectation. Gross Fixed Capital Formation, Health Expenditure and Labour force also conform to theoretical expectation of positive sign. Likewise infant mortality has negative sign and conforms to a priori expectation. Infant mortality has negative and significant impact on the level of the real gross domestic product in the country. A 100 percent increase in infant mortality will bring about 162 percent reduction in the level of real gross domestic product. This result, which is consistent with the findings of Akram (2008) and Dauda (2011) is very worrisome but not unexpected because of the poor state of health facilities in Nigeria coupled with prevalence of communicable diseases such as malaria, tuberculosis and HIV/AIDS as well as poor high rate of illiteracy and poor health habit of majority of Nigerians. Education expenditure has a negative and statistically significant effect on the output level, which may not be unconnected with the problem of corruption involving the diversion of the money earmarked for the sector for personal use. The adjusted R^2 value of 98 percent shows that the model has a good fit and its explanatory power is strong explaining 98 percent of variation in gross domestic product with the remaining 2 percent explained by factors included in the stochastic disturbance term.

Model Two

For this model, the number of people living with HIV/AIDS in Nigeria as against HIV prevalence was used.

Table 9 : Descriptive Statistic for Model Two

	RGDP	EDUX	GFC	HIV	HLTX	IMT	LBF
Mean	391764.2	65788.42	549611.7	2357368.	49685.71	98.89474	64850122
Median	312183.5	31563.80	205553.0	2600000.	18181.80	103.0000	64304516
Maximum	672202.6	242731.0	1915349.	3200000.	348042.9	113.0000	81789142
Minimum	265379.1	2982.500	30626.80	590000.0	658.1000	80.00000	49853380
Std. Dev.	140732.1	70709.56	605676.3	704807.6	80990.52	12.23335	10067379
Skewness	0.814276	1.131685	0.995414	-1.170637	2.831210	-0.336064	0.134011
Kurtosis	2.106529	3.328774	2.528690	3.546063	10.91865	1.451588	1.788870
Jarque-Bera	2.731626	4.141160	3.313541	4.575637	75.02471	2.255724	1.218115
Probability	0.255173	0.126113	0.190754	0.101488	0.000000	0.323725	0.543863
Sum	7443520.	1249980.	10442622	44790000	944028.5	1879.000	1.23E+09
Sum Sq. Dev.	3.56E+11	9.00E+10	6.60E+12	8.94E+12	1.18E+11	2693.789	1.82E+15
Observations	19	19	19	19	19	19	19

Source : Author's computation

The descriptive statistic results show that real GDP had an average value of 391,764.2 million naira, which varied between a minimum of 265,379.1 million naira and a maximum of 672,202.6 million naira. Education expenditure averaged 65, 788.42 million naira and varied from a minimum of 2,982.5 million naira to a maximum of 242,731.0 million naira. During the period under consideration, Gross Fixed Capital Formation stood at an average of 549,611.7 million naira varying between the lowest average value of 30,626.80 million naira and the highest average value of 1915349.0 million naira. This pattern is also observed in the average values of HIV, Health expenditure, Infant Mortality and Labour force. On the average, the number of persons living with HIV/AIDS in Nigeria was 2,357,368 varying between a minimum of 590,000.0 people and a maximum of 3,200,000 persons from 1990 to 2010. Health expenditure averaged 49685.71 million naira with a minimum value of 658.10 million and a maximum of 348042.9 million naira. Infant mortality within the observed period revealed an average value of 98.89 per 1000 live births with a minimum of 80.0 and a maximum of 113.0 averages per 1000 births. Labour force was 64,850,122 people on the average with a minimum of 49,853,380 and maximum of 81,789,142 people.

Estimation of Model Two

Here, the Phillips-Perron (PP) Unit Root was carried out on the Residual of a static regression of model two. The result is presented in the table below.

Hypothesis

Null Hypothesis(H_0): RESID01 has a unit root

Alternative Hypothesis(H_1): RESID01 does not have a unit root

Table 10 : Phillips-Perron (PP) Unit Root Test on Residual Series

Variables	PP Statistic at Level	Critical Value (1%)	Critical Value (5%)	Critical Value (10%)	Probability Value	Order of Integration
RESID01	-3.521984	-3.857386	-3.040391	-2.660551	0.0196	I(0)

Source : Author's computation

From the result, it is obvious that the residual series is stationary at level implying the acceptance of the alternative hypothesis of stationarity. This result shows that the variables are cointegrated and so, a long run relationship exists among the variables, which necessitated the estimation of the model using Ordinary Least Square (OLS) regression.

Table 11 : Ordinary Least Square Regression Result

Dependent Variable: LOG(RGDP)
Method: Least Squares
Date: 09/15/11 Time: 11:11
Sample (adjusted): 1990 2008
Included observations: 19 after adjustments

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-14.27890	14.77254	-0.966584	0.3528
LOG(EDUX)	-0.154022	0.062527	-2.463272	0.0299
LOG(GFC)	0.073274	0.056483	1.297275	0.2189
LOG(HIV)	-0.187486	0.087279	-2.148121	0.0528
LOG(HLTX)	0.034849	0.023080	1.509889	0.1569
IMT	-0.014354	0.006528	-2.198898	0.0482
LOG(LBF)	1.757888	0.860707	2.042377	0.0637

R-squared	0.983284	Mean dependent var	12.82309
Adjusted R-squared	0.974926	S.D. dependent var	0.332916
S.E. of regression	0.052716	Akaike info criterion	-2.770485
Sum squared resid	0.033348	Schwarz criterion	-2.422534
Log likelihood	33.31961	Hannan-Quinn criter.	-2.711598
F-statistic	117.6478	Durbin-Watson stat	1.710698
Prob(F-statistic)	0.000000		

Source : Author's computation

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The OLS regression result is interesting. All the variables except education expenditure comply with the a priori expectation. The variable of interest, which is the log of number of people living with HIV/AIDS in Nigeria has a negative coefficient and is statistically significant at 5 percent level. A 100 percent increase in the number of the persons living with the disease in Nigeria will bring about 19 percent fall in the level of real gross domestic product. This implies that in the long run, the disease has the inclination to reduce the level of economic growth in Nigeria. Education expenditure, infant mortality and labour force are statistically significant, which agree with the findings of Dauda (2011). Specifically, the result could be explained by the fact that the Nigerian economy is labour-intensive in nature. The adjusted co-efficient of determination showed that 97 percent of the total variations in real gdp was explained by the explanatory variables, implying that the regression line gives a good fit to the observed data while the remaining 3 percent of the total variation in level of real gdp in the country was not accounted for by the regression line and this could be attributed to the factors captured by the stochastic disturbance term or due to chance.

VI. Summary, Conclusion and Policy Recommendations

This work attempts to determine the impact of the scourge of HIV/AIDS on the economic performance of Nigeria using time series data that cover the period 1990 to 2010. Since the data size was less than 30, the study then employed the Engle Granger two-stage procedure, and having discovered that a long run relationship exists between the real gdp and the explanatory variables employed in the model, the OLS was performed on the two models used in the study. The result of the first model used, which used HIV prevalence was insignificant statistically, although the negative sign conformed to the theoretical expectation. The second model employed number of persons living with the disease in the country. The result of this model revealed that, HIV/AIDS has significant and negative impact on the growth of the economy of Nigeria in the long-run, with a 19 percent reduction in the level of gdp due to a 100 percent increase in the number of persons living with the disease. The adjusted coefficient of determination of the model was 97 percent, which showed a good fit.

The conclusion drawn from this study is that with the increase in both prevalence and number of persons living with the disease in Nigeria, HIV/AIDS would have negative and significant impact on the growth of the Nigerian economy in the long-run, the oil-rich nature of the country notwithstanding. This then implies that as the disease progresses in the country as more reliable data are readily available the impact on the economy would begin to be felt. Therefore, the Nigerian government must be sincere in putting in place better policies aimed at reducing and preventing the spread of the disease in the country. Specifically, more funds should be allocated to fighting the menace of the disease through intensive counseling and education on preventive measure, particularly abstinence, provision of antiviral drugs, strict monitoring to ensure the use of funds from donor partners on HIV/AIDS related activities, involving local and community people to reach out to those infected and also to educate the citizens on the dangers of unprotected sex as well as engaging religious groups and traditional rulers in educating their subjects.

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Pre-disposing factors to HIV/AIDS Pandemic among Fisher-folks in the Kainji Lake Basin of Nigeria

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Abstract - The paper examined the pre-disposing factors to HIV/AIDS vulnerability in the fisheries sector of Kainji Lake Basin. Thirty fishing communities were selected for data collection through the use of questionnaires. Data were analysed using descriptive statistics, correlation and factor analysis. The findings revealed level of western education among the respondents is very low. The correlation analysis for respondents' socio-economic characteristics and HIV/AID vulnerability revealed that only the respondents' education variable impacted significantly on the level, estimated number, as well as the HIV/AIDS cases reported. . For the socio - cultural factors contributing to HIV/AIDS vulnerability, family planning is believed to offend their gods, Principal component analysis revealed that risky occupation, multiple sexual partners, women don't have control, believed that family planning is offend the gods, forced sex, talking to children and engaging in sex before marriage are the principal respondents' drive factors that makes fisher-folks vulnerable to HIV/AIDS. The study made recommendations to addressing HIV/AIDS in the area.

Keywords : HIV/AIDS, Human Capital, Economic Growth, Infant Mortality, Life Expectancy.

GJHSS-B Classification : FOR Code : 140208, 140219

PRE-DISPOSING FACTORS TO HIVAIDS PANDEMIC AMONG FISHER-FOLKS IN THE KAINJI LAKE BASIN OF NIGERIA

Strictly as per the compliance and regulations of :

Pre-disposing factors to HIV/AIDS Pandemic among Fisher-folks in the Kainji Lake Basin of Nigeria

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I. Introduction

A number of lifestyle factors suggest that fishing communities are prone to HIV/AIDS. Susceptibility to HIV is determined by combinations of biological, social, cultural and economic factors. According to Gordon (2006) several known HIV risk factors converge around fishing activities, though not all of these factors are present in all fishing communities: fishermen tend to fall in the age group most vulnerable to sexually transmitted diseases (15 - 35 years); many people involved in fishing or associated activities are mobile or migratory and therefore less constrained by family influences and social structures at home; It has been suggested that since fishing itself is high risk, a culture of risk denial may extend to other dimensions of fishermen's lives; since fishing is a low status occupation and result to occurrence of multiple sex partners" (Kissling *et al.*, 2005).

Similarly, cash income, poverty, irregular working hours and being away from home places fishermen in a group with disposable income and when not fishing favors the consumption of alcohol and prostitution; the implication of this is that low-income women are drawn to fish landings or ports precisely because of the opportunities to sell food, alcohol or sex; the chance of being exposed to HIV is increased where a small number of women have unprotected sex with a larger number of men, or vice versa (Loevinsohn and Gillespie, 2003) and in places where women compete intensely for the fish catch for small-scale processing and local trade, "fish for sex" is not uncommon; gender inequality, compounded by poverty that puts women at risk of exploitation, makes it difficult for women to insist on condom use; and fishing communities have limited access to sexual health services (Gordon, 2006). Allison and Seeley (2004) caution against stereotyping, pointing out that not all fisherfolk engage in risky behavior, that fisheries in developing countries comprise mixtures of migrants of varying duration and resident farmer-fishers" while Neiland and Béné (2004) support an alternative image of fishermen as hard-working and forward-thinking which can co-exist with the above characterization. Nevertheless, they conclude: that a high-risk subculture exists among some important fisheries in developing countries such as the Gulf of Thailand, the African Great Lakes, and West African coastal fisheries. It is in view of the various scholarly opinions that the study ascertained the predisposing factors to HIV/AIDS scourge among fisherfolk in the Kainji Lake Basin of Nigeria

II. Data and Sample Characteristics

a) Study area

Kainji Lake (the biggest manmade lake in Nigeria) was formed as a result of the impoundment of the river Niger by the construction of the Kainji dam at Kainji Island in 1968. Kainji Lake is located in the North western part of Nigeria with a width of 137km by 24km, 1270km^2 surface area and longitude and latitude of 9°30' and 10°35' N and between 4°20' and 4°40' E

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(Anonymous 2001, Olokor. 1993). Kainji Lake Basin comprises of Niger and Kebbi States with these neighbouring emirates Kontagora, Borgu and Yauri.(figure 3) The basin has 314 fishing communities. On population, there was no record of the total number of the fisherfolk around the lake area; it was estimated by Vakily (1995) at 70,000 people living directly or indirect from the Kainji lake fisheries.

Basically, the lake basin can be divided into two agricultural zones viz upland and drawdown. Essentially, the lake is filled up during the dry season in December to February and begins to reduce in late February or early March, falling to the lowest level in August, after which it begins to rise again. Thus, a section of Kainji lake ecological zone is flooded and submerged between August and February and exposed between February and August.

The primary purpose of the construction of the dam is the generation of hydroelectric power, the creation of the dam offered great opportunities for a variety of development project such as fisheries, irrigated agriculture and also improved navigation from the coast up to the Republic of Niger.

b) Sampling Procedure and Sample Size

The multi - stage sampling procedure was used. According to Babbie and Mouton (2001) multi stage sampling method involves the initial sampling of group of elements, followed by the selection of elements within each of the selected cluster. The sampling procedure was in five stages. The first level is that Kainji Lake Basin is divided into three main strata; second stage was further division of three main strata to eight sub strata. The third stage will be selection of fishing communities considering the following criteria; location in the basin, scale of activities, proximity to services, diversity of fishing activities, composition of communities, landing sites and stable traditional institutions.

The fourth stage of the sampling procedure consisted of purposive selection of five fishing communities in each of the substratum. Simple random selection of fifty respondents from five communities of each of the two substrata upstream (Main Stratum 3) giving a total of one hundred respondents. The central (Main Stratum 2) has four substrata, fifty respondents were selected from five communities in each of the sub strata, giving a total of two hundred respondents and downstream (Main Stratum 1) contains two substrata, fifty respondents were selected from five fishing communities in each of the substrata, giving a total of one hundred respondents. The overall sample size for the study was four hundred (400) respondents. (see the map of Kainji Lake Basin). The tools of analysis used were descriptive, factor analysis, correlation and Mann Whitney analysis.

III. Results and Discussions

Table 1: Sample design outlay for study respondents

Kainji lake strata	Sub -strata	fishing communities/substratum	No of respondents	Total no from stratum
Main stratum 1	2	5	10	100
Main stratum 2	4	5	10	200
Main stratum 3	2	5	10	100
Total				400

Table 1: Distribution of respondent according to age , sex and marital status

Age	Frequency	Percent
Less than 15	-	-
15-20	24	6.0
21-25	53	13.3
26-30	70	17.6
31-35	70	17.6
36-40	40	11.2
41-45	44	11.1
	95	23.1
More than 45		
Sex	257	64.3
Male	143	35. 7
Female		
	50	11.3
Marital status	145	37.5
Single	1	0.3
Married	1	0.3
Divorced	165	41.3
Widowed	33	8.3
Married with two wives	5	1.3
Married with three wives		
Married with more than three wives		
Total	400	100

Source: Author's work, 2011

Table 1 shows the socio-economic information of the respondents. 67.7% were between 15 – 40 years with an average age of 37 years. While those who were above 40 years made up 34.1%. The majority of the respondents fall within the age groups noted for high HIV prevalence in Nigeria. This is significant in the sense that correct information on HIV/AIDS will be obtained among these age groups which are mostly affected and certainly the most sexually active, these ages are the active and productive years in agricultural production and they are crucial to agricultural development. This is the first study in the Kainji lake basin on HIV/AIDS and the ages of respondents corroborate the report of NDHS (2003). Thus, they are the very people who are vital to the economic future of the rural communities where poverty is dominant. In addition, the predominant age bracket between 15-40years, another fact that accounts for a high level of sexual activity.

According to sex distribution of respondents, 64.2% of the respondents were males and 35.8% were females. The variation may be as a result women restriction to their household that is; they are in Purdah, which buttresses the findings of gender studies carried out by Yahaya, 1999. It is significant also the women in the study area are one form of economic activities. The higher number of males in the study agrees with findings of experts that almost twice as many men as women were aware of HIV/AIDS (UNAIDS 1998). This is an indication that women may have less knowledge on HIV/AIDS vulnerability and solely dependent on men for their needs.

In term of marital status of the respondents. Majority (88.1%) of the respondents was married with one or more wives. 11.3% were single, 0.3% were divorced and 0.3% were widowed. The findings revealed that at least, 50% of the respondents had more than one wife. Informal discussion with key informant revealed that some women may be in second or third marriage as found in the study area. The fluidity of relationship among men and women means that there is an indication of a tendency for sexual continuation, particularly among the married people. Polygamy is a show of wealth in the study area.

Table 2 : Distribution of respondents according to household size

Number of children	Frequency	percent
1-5	194	48.5
6-10	89	22.3
Above 10	60	15.0
None	57	14.3
Total	400	100

Source : Author's work, 2011

Table 2 presents the household size. Only 14.3% of the respondents did not specify the number of children. 48.5% had 1 – 5 children. These large sizes may be difficult to maintain in view of poverty, types of accommodation not spacious and with little cross ventilation while those who did not specify number of children may be due to their belief. The household size may constitute a veritable source of labor in the study area.

Table 3 : Distribution of respondents according to ethnic composition and religion

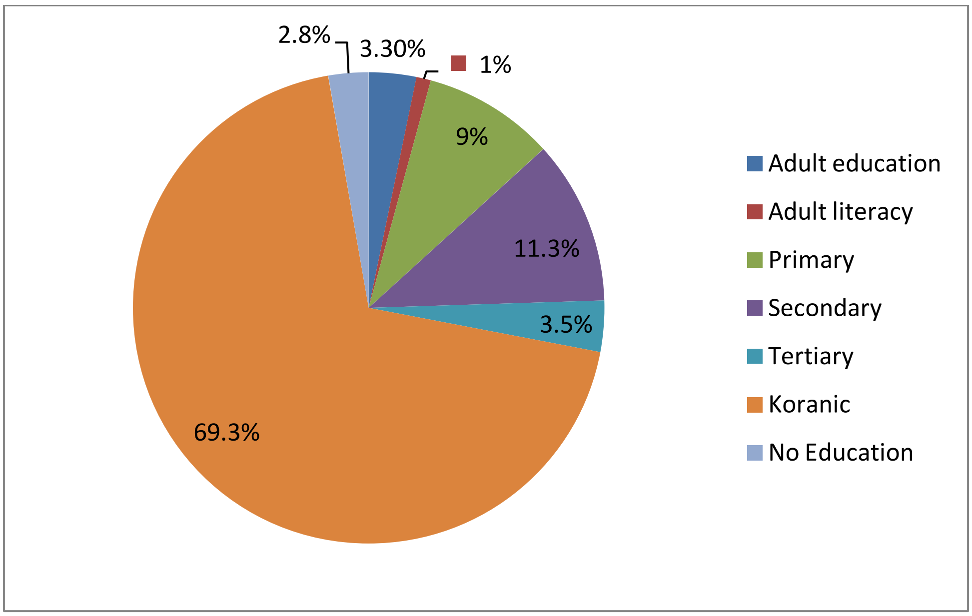
Ethnic composition	Frequency	Percent
Hausa	200	50.0
Bussawa	67	16.8
Lopawa	66	16.5
Kamberi	49	12.3
Urhobo/Ijaw	3	0.8
Yoruba	15	3.8
Religion		
Islam	382	
Christianity	16	95.5
Tradition	2	4.0
		0.5
Total	400	100

Source : Author's work, 2011

Table 3 shows the ethnic composition of the respondents. 50% were Hausa, 0.8% was Urhobo/Ijaw, and 3.8% were Yoruba. The fishing communities composed of diverse ethnic composition. This result is agreed with Oyedipe (1977) on the ethnic composition identified living around the Kainji. The various ethnic groups except the Urhobo/Ijaw and Yoruba are more or less permanent features and contributed to the economy in the study area. A wide range of languages were been spoken and different belief expressed. This suggests that HIV/AIDS interventions should take language for communication into account.

On the religion of the respondents in the study area. Majority (95.5%) of the respondents were Muslims. This religion allows polygamy. Only 4% of the respondents were Christians. This finding revealed that men could have more than one wife; it is more acceptable for them to have multiple relationships than for women.

Figure 1: showing the educational attainment of respondents



Source : fieldwork 2011

Figure 1 presents the education qualification of the respondents. 3.5% of the respondents have tertiary education while about 71% had no western education. The level of western education among the respondents is very low. It is interesting to know that many of the people are not interested in the western education but rather are more interested in sending their children to Quaranic School within and outside the study area than western education. Therefore, the low level of western education may affect the knowledge of HIV/AIDS increasing the ignorance of the people on HIV/AIDS and also limits the job opportunities available to the people restricting to intra occupational activities. It is evident that education levels need to be improved especially for women lacking literacy skills which are generally the poorest in the rural areas.

Table 4 : significant correlation between Fisherfolk socio-economic characteristic and their vulnerability to HIV/AIDS

Variable		cases of HIV in the village	level of infection in the village	estimated number	most affected in the village
Age	Pearson Correlation	-.039	-.088	.063	-.011
	Sig. (2-tailed)	.434	.081	.210	.824
	N	400	398	400	397
Sex	Pearson Correlation	.129(**)	.135(**)	-.073	-.037
	Sig. (2-tailed)	.010	.007	.143	.459
	N	400	398	400	397
educational attainment	Pearson Correlation	.205(**)	.181(**)	-.126(*)	-.044
	Sig. (2-tailed)	.000	.000	.012	.382
	N	400	398	400	397
primary income	Pearson Correlation	-.093	-.082	-.003	-.021
	Sig. (2-tailed)	.064	.104	.947	.680

	N	400	398	400	397
marital status	Pearson Correlation	.070	.016	-.092	.070
	Sig. (2-tailed)	.163	.751	.065	-.040
	N	400	398	400	.428
primary income	Pearson Correlation	-.093	-.082	-.003	397
	Sig. (2-tailed)	.064	.104	.947	-.021
	N	400	398	400	.680
alternative income	Pearson Correlation	.006	.040	-.051	397
	Sig. (2-tailed)	.897	.428	.313	-.016
	N	400	398	400	.749
					397

* Correlation is significant at the 0.05 level (2-tailed).** Correlation is significant at the 0.01 level (2-tailed).

Source : Author's work, 2011

Table 4 shows the outcome of correlation analysis for respondents' socio-economic characteristic and HIV/AID vulnerability revealed that only that only the respondents' education variable impacted significantly on the level, estimated number, as well as the cases reported. The relationship between education and level was negative, implying that education did not reduce the spread/ level of HIV in the respondents study area. This may probably be because they have not been given any education relating to their sexually transmitted diseases especially HIV/AIDS. The same negative relationship applies to education versus the number of those affected by HIV. This implies that there may be more cases of HIV/AIDS prevalence in the fishing communities of Kainji lake basin

a) Pre-disposing factors to HIV/AIDS in Kainji Lake Basin

Table 5 : Distribution of respondents according to perception of factors pre-disposing them to HIV/AIDS scourge

	Pre-disposing Factors to HIV/AIDS Vulnerability	U	%	D	%	SD	%	A	%	SA	%
i	Idleness	100	25	82	20.5	76	19.0	102	25.5	40	10.0
ii	Alcohol and drug abuse	93	23.3	96	24.0	40	10.0	136	34.0	35	8.8
iii	Over indulgence in sex	52	13.0	81	20.3	36	9.0	147	36.8	84	21.0
iv	Multiple sexual partners	79	19.8	78	19.5	30	7.5	148	37.0	65	16.3
v	Unprotected sex	82	20.5	30	7.5	6	1.5	209	52.3	73	18.3
vi	Inadequate health care	80	20.0	53	13.3	8	2.0	186	46.5	41	10.3
vii	Lack of health information	80	20	8	2.0	4	1.0	240	60.0	68	17.0
viii	Daily disposable income	112	28.0	53	13.3	8	2.0	186	46.5	41	10.3
ix	Low female male ratio	118	29.5	134	33.5	18	4.5	101	25.3	29	7.3
x	Many commercial sex workers	97	24.3	130	32.5	24	6.0	100	25.0	49	12.3
xii	High mobility	133	33.3	53	13.3	13	3.3	155	38.8	46	11.5
xiii	Risky occupation	146	36.5	43	10.8	16	4.0	156	39.0	39	9.8
xiv	Long periods away from spouse	125	31.3	74	18.5	30	7.5	137	34.3	34	8.5
xv	Predominance of sexually active age groups	143	35.8	80	20.0	25	6.3	108	27.0	44	11.0

Source : Author's work 2011

Key
U=undecided
D=Disagreed
SD=Strongly Disagreed
A=Agreed
SA=Strongly Agreed

Table 5 presents factors pre –disposing respondents to HIV/AIDS infection in the study area. 17.0% of the respondents strongly agreed with the statement "lack of health information, 60.0% of the respondents agreed with the statement and 20.0% were undecided. Likewise, with the statement "unprotected sex, 18.3% of the respondents strongly agreed, 52.3% of the respondents agreed with the statement and 20.5% were undecided. 10.3% of the respondents strongly agreed with the statement "daily disposable income"46.5% of the respondents agreed with the followed by other factors such as high mobility, over indulgence in sex and long period away from spouse as shown in the table below.

The majority of men in fishing communities earn cash on a daily basis. It was obvious that some of their income may go on sex, alcohol and drugs as these are viewed as compensation for the discomfort during their fishing activities. The culture of alcohol and drug abuse may reflect lack of recreational activities. Some key informants recognized that drug abuse led to high risk behavior despite knowledge of HIV/AIDS of transmission. High level of unprotected sexual activity was also due to ready availability of cash that encourages commercial sex workers to migrate in conjunction with levels of fish catch and the resulting disposable income in the study area.

It was not surprising that lack of health information (77%) was a major factor. The absence of regular sensitization, prevention, care and treatment programme were clearly evident and may have contributed to lack of perceived benefit linked to accessing health related information. Neither government extension services nor non-governmental organizations (NGOs) were active in the study area.

b) Socio-cultural pre-disposing factors

Table 6 : Distribution of respondent perception of socio-cultural factors pre-disposing them HIV/AIDS Scourge

	Socio-cultural values and taboos relating to sex	U	%	D	%	SD	%	A	%	SA	%
i	In the community, family planning is believed to offend the gods	44	11.0	105	26.5	110	27.5	65	16.3	76	19.0
ii	Talking to children on sexuality is not morally acceptable in the community	49	12.3	100	25.0	13	3.3	118	29.5	120	30.0
iii	The practice of marrying more than one wife is not part our culture	31	7.8	83	20.8	55	13.8	88	22.0	143	35.8
iv	Exchange or sharing of blood during initiation or oath taking is not practiced in the community	81	20.3	104	26.0	52	13.0	107	26.8	56	14.0
v	Forced sex or rape is not a feature in the community	72	18.0	29	7.3	16	4.0	210	52.5	73	18.3
vi	Women are often taught to leave sexual initiative to men	89	22.3	30	7.5	7	1.8	229	57.3	45	11.3
vii	Women are expected to limit the sexual relation to marriage	66	16.5	16	4.0	5	1.3	259	64.8	54	13.5
viii	Men are to express social status by having many partners	81	20.3	79	19.8	8	2.0	191	47.8	41	10.3
ix	Women don't have control over sex whether safe or unsafe	69	17.3	17	4.3	8	2.0	252	63.0	54	13.5
x	Women are expected to tolerate the sexual behavior of their male partners	45	11.3	17	4.3	8	2.0	274	68.5	56	14.0
xi	In our tradition, a stiff sanction is imposed on sex outside marriage	46	11.5	10	2.5	11	2.8	191	47.8	142	35.5
xii	Engaging in sex before marriage is not encourage in the community	48	12.0	38	9.5	14	3.5	192	48.0	108	27.0

Source : Author's work 2011

Key
U=undecided
D=Disagreed
SD=Strongly Disagreed
A=Agreed
SA=Strongly Agreed

Table 6 presents the socio - cultural factors that may be contributing to HIV/AIDS vulnerability in the study area. In response to this statements "In the community family planning is believed to offend their gods, 27.5% of the respondents strongly disagreed to the statement, 26.5% disagreed and 11.0% were undecided. The result is a reflection of the people believe that procreation is of God why should we want check the God's commandment and against the belief of their forefathers. Their low level of education and religion may contribute to failure or negative attitude towards a proposed family planning programme in the study area. 30.0% agreed that talking to children on sexuality is not morally acceptable which corroborates some of the findings of Ezumah 2000 that even among couples, parents and children is taboo to educate one another on sex. 7.3% of the respondent disagreed that forced sex or rape is not a feature in the community. Any victim of rape may likely to be engaged in unprotected sex to confirmed the statement of Gupta(2000) that individual who were sexually abused were more likely to be engaged in unprotected sex. Likewise, 35.8% of them strongly agreed to the statement that "The practice of marrying more than one wife is part of culture", 22.0% of the respondents agreed to the statement and 7.8% were undecided. This is a major factor that will be difficult to overcome because is more of an injunction from the religion that predominates in the study area. It may imply that the cases of HIV/AIDS recorded may be from heterosexual behavior of the people. Furthermore, 13.5% of the respondents strongly agreed to the statement that "women don't have control over sex whether safe or unsafe, 63% of the respondents agreed with the statement and 17.3%b were undecided. This result shares the view of Poggie *et al* (1995) that social and cultural attitudes, beliefs and values play an important role in the perception of, and response to danger.

The findings revealed the marginalization of women may likely put them at risk. No wonder that it has been reported in literature that where heterosexual transmission dominates, more women are infected than men because of economic dependence of the women on the husband which consequently leads to her inability to negotiate safe sex with her husband even when she suspects him of being infected, poverty and consequently unequal power relation, lack of education viable livelihood strategies and access to information and intimidation and violence against the girls. Thus foster economic dependence as found in the assertion of Romero-Daza and Himmelgreen, 1998; Ackerman and De Klerk, 2002, Jewkes and Abrahams, 2002; Dunkie, *et al* 2004; Schoepf, 2004). This situation make it difficult to take precaution necessary to avoid HIV/AIDS concurring to the assertion that " women living and working in fishing communities are highly susceptible to HIV/AIDS infection and very vulnerable to the impact of the infection"(Tanzarn and Bishop Sambrook, 2003).

Major pre-disposing factors of HIV/AIDS vulnerability

The PCA tool was employed to derive the major pre-disposing factors of respondents to HIV/AIDS. Table 7 shows that the Kaiser Meyer Olkin measure of sampling adequacy (KMO) is 0.839, therefore the variable data is suitable for the PCA analysis. Another test for indicating continuity in the utilization of PCA for examining our data is the bartlett's test of sphericity. Since we have found $P < 0.001$ we can conclude that there is relationship between our variables implying the suitability of our data for PCA analysis.

Table 7 : KMO and Bartlett's Test for the Drive Factors of HIV/AIDS in the study area

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.839
Bartlett's Test of Sphericity	Approx. Chi-Square	3747.624
	Df	325
	Sig.	.000

c) *Total Variance Explained by component Eigenvalues*

Figure 2 presents the scree plot of pre-disposing factors in the study area. Out of 26 components of pre-disposing factor, only seven (7) components was extracted because only these seven components an eigenvalue (a measure of explained variance) greater than 1.0. additionally the PCA criteria for the scree plot shows the place where the smooth decrease of eigenvalues appears to level off to the right of the plot is just after component 1 (Cattell criterion,). Only seven components explain respondents pre-disposing factors on HIV as will be seen in the components scores from the rotated component matrix in table 8

d) *Major Pre-disposing Factors to HIV/AIDS Vulnerability*

Table 8 : Rotated component matrix, communalities extraction percentages for Respondents Pre-disposing Factors

Pre -disposing factors	Component							Communalities extraction percentage %
	1	2	3	4	5	6	7	
Idleness	357	327	.562	63.0				63.0
Alcohol and drug abuse	471	436	.	356				63.5
Over indulgence in sex		.748						67.7
Multiple sexual partners		.761						67.8

Inadequate health care	394	.538						46.9
Lack of health information	532	350						.3..3
Daily disposable income								50.7
Low female male ratio	657			.548				61.4
Many commercial sex workers	492							
High mobility	.400	427		437				55.9
Risky occupation	.							63.4
Long periods away from spouse	775							74.2
Predominance of sexually active	.824	321						63.5
Family planning is believed to	665					369		
offend the gods								70.1
Talking to children	.812					.818		
Having more than one wife				.614		780		57.3
Sharing of blood					606		30	
Forced sex					764	314	2	73.6
Sexual initiative to men					.652			70.3
Female sexual relation to								
marriage					470			
Men to express social								62.5
status								64.5
Women don't have control over			.451					67.4
sex								
Tolerate sexual behavior			604					61.8
Stiff sanction for sex outside			641	335				60.3
marriage							.57	
Engage in sex before marriage			.706				8	54.3
			626					54.9
	.323		378	-.348			83	65.2
							0	
								77.1

Source : Author's work 2011

Table 8 shows that out of 26 hypothesised pre-disposing factors, only 7 components was extracted because only these seven components have an **eigenvalue** (a measure of explained variance) greater than 1.0. Another criteria use in extracting important component is an equal or more than five percentage of variance which is presented in the table. Based on the result on the components scores from the rotated matrix, it is clear that respondents 'pre-disposing factors' is sub-summed in seven components. They are: risky occupation, multiple sexual partners, women don't have control, family planning is believed to offend the gods, forced sex, talking to children and engaging in sex before marriage, are the principal respondents' drive factors for HIV/AIDS. These seven variables load 0.824, 0.761, 0.706, 0.614, 0.764, 0.819, and 0.830 from components 1, 2, 3,4,5,6 and 7 respectively. Their communalities are 74.2%, 67.8%, 54.3%, 57.3%, 64.5%, 73.6% and 77.1% .

Table 9 : correlation estimates between pre-disposing factors of HIV/AIDS and their HIV/AIDS profile among respondents in the study area

Variable pair	R co-efficient	
Idleness-level	-.233(**)	
Alcohol and drug abuse-level	-.211(**)	
Over indulgence in sex-level	-.114(*)	
Multiple sexual partners-level	-.251(**)	
Daily disposable income-level	-.200(**)	
Low female male ratio-level	-.236(**)	
Many commercial sex workers-level	-.206(**)	
High mobility-level	-.117(*)	
Long periods away from spouse-level	-.153(**)	
predominance of sexually active-level	-.148(**)	

** Correlation is significant at the 0.01 level (2-tailed

* Correlation is significant at the 0.05 level (2-tailed).

Source : Author's work 2011

Table 9 shows correlation relationship between factors pre-disposing of fisherfolk to HIV/AIDS and their HIV/AIDS profile among respondents in the study area. The estimated coefficient for pre-disposing factors of HIV/AIDS vulnerability obtained from the regression analysis. Among the variables under studied, idleness, alcohol and drug abuse, multiple sexual partners, daily disposable income low female male ratio, commercial sex workers, high mobility, long separation away from home and predominance of sexually active were found to have significant influence on HIV/AIDS vulnerability in the study area. In conclusion, poverty, gender inequality, inadequate healthcare, lack of education and cultural attitudes toward sexuality and reproduction are the significant factors to HIV/AIDS vulnerability in agreement with assertion of Stillwaggon (2002) states "living conditions in Africa (or other places in the developing world) provide a very different terrain from that of the United States for the propagation of infectious disease".

e) Chances of HIV/AIDS infection among the people

Table 10 : Distribution of respondents according to rate of chance of HIV/AIDS infection

Rate of chance of infection	Frequency	Percent
High	54	13.5
Low	160	40.0
No risk at all	182	45.5
Already have AIDS	-	-
No response	4	1.0
Reasons for high rate		
Share sharp objects	58	14.5
Do not use condoms	19	4.8
I have more than one sex partner	33	8.3
Sex with sex workers	12	3.0
My spouse/partner has other partners	6	1.2
Had blood transfusion	3	0.8
Use of unsterilied objects	6	1.2
Total	400	100

Source : Author's work 2011

Table 10 presents the rate of risks in the study area. 45.5% of the respondents said no risk at all to HIV infection while only 13.5% of the respondents admitted the high chance of HIV infection among the community members. 14.5% of the respondents gave reason that attitude of sharing sharp objects is prevalent while 8.3% for more than one sex partners. It is important to discourage the use sharing of sharp blade for manicure which is a common activity. The percentage of respondents who did not know the implication of someone sharing the same razor in cutting their nails corroborates the finding of an earlier study by Iwoh (2004), who reported that there was low knowledge of HIV/AIDS/STIs among prison staff in Nigeria who are suppose to be more enlightened than the fisherfolk. Below is the picture of typical example of local barber who is likely to share razor and sharp objects among his customers in the study area.

f) Respondents Perceived implications of Pre-disposing Factors

Table 11: Distribution of respondents according to perceived implication of pre-disposing factors to HIV/AIDS Vulnerability (U=undecided, D=Disagreed, SD=Strongly Disagreed, A=Agreed, SA=Strongly Agreed)

S/No	Implication of pre-disposing factors	U	%	D	%	SD	%	A	%	SA	%
i	Local supply of foodstuff may be endangered	35	8.8	53	13.3	46	11.5	196	49.0	70	17.5
ii	Too weak to fish	22	5.5	10	2.5	1	0.3	268	67.0	99	24.8
iii.	Loss of labor/skills and change in workload:	44	11.0	11	2.8	2	0.5	287	71.8	56	14.0
iv	Work time and productivity will reduce	38	9.5	5	1.3	-	-	278	69.5	79	19.8
v	Fishing near the shore	91	22.8	17	4.3	12	3.0	228	57.0	52	13.0
vi	Limited investment in gears, boat &other inputs	67	16.8	32	8.0	4	1.0	239	59.8	58	14.5
vii	A number of poor household rising in the community(increasing poverty)	52	13.0	11	2.8	3	0.8	271	67.8	63	15.8
viii.	A number of productive age are dying	74	18.5	52	13.8	5	1.3	205	51.3	64	16.0
ix	Engagement in fishing at younger ages	82	20.5	15	3.8	4	1.0	248	62.0	51	12.8
x	Engagement in in-active fishing	93	23.3	16	4.0	6	1.5	241	60.3	44	11.0

xi	Individual productivity is affected thereby affecting household food security	59	14.8	10	2.5	4	1.0	254	63.5	73	18.3
xii	Reduction and collapse of asset base	80	20.0	24	6.0	7	1.8	235	58.8	54	12.5
xiii	Change in fishing practices and cropping pattern	81	20.3	37	9.3	5	1.3	212	53.0	65	16.3
xiv	Lost access and control of productive family resources	71	17.8	36	9.0	6	1.5	235	58.8	52	13.0
xv	Declining yields	59	14.8	50	12.5	1	0.3	219	54.8	71	17.8
xvi	Reduction in area of land under cultivation	71	17.8	34	8.5	2	0.5	226	56.5	67	16.8
xvii	Loss of income and increased spending needs:	48	12.0	15	3.8	4	1.0	235	58.8	98	24.5

Source : Author's work 2011

Table 11 presents the perceived implication of pre-disposing factor among the respondents in the study area. Only 14.0% of the respondents strongly agreed with the statement that "loss of labor/skills and change in work load, 71.8% of the respondents agreed with the statement and 11.0% were undecided. As a result of loss of labor, the environment may also suffer due to the prevalent of chronic diseases which increase lack of necessary skills and knowledge to practice sustainable fishing. In addition anyone suffering from health related illness often resorts to fishing in shallow waters which poses a considerable risk to biodiversity of the environment. This practice may increase susceptibility to other infections such as schistosomiasis which is common parasites found in shallow waters of lakes as found in the water bodies and it was reported in this study area several years ago. One key informant said that there were cases but had not taken significant step to quantify the impact on fishing practices in the study area.

In response to the statement "work time and productivity will reduce" 19.8% of the respondents strongly agreed to the statement, 69.5% agreed and 9.5% were undecided. Likewise, to the statement "A number of poor household rising in the community (increasing poverty), 15.8% of the respondents strongly agreed to the statement, 67.8% agreed and 13.0% were undecided. Furthermore, 24.8% of the respondents strongly agreed to the statement "too weak to fish"67.0% agreed and 5.5% were undecided. 18.3% of the respondents strongly agreed to the statement "individual productivity will be affected thereby affecting household food security, 63.5% agreed and 14.8% were undecided. Some of perceived implications were found in the findings of Kaschula, 2008; Nguthi and Niehof, 2008; Gwatirisa and Manderson, 2009; Heymann and Kidman, 2009; Onwujekwe *et al*, 2009; Parker *et al*, 2009. This result may directly or indirectly affect household incomes, guaranteeing food insecurity as household are dependent on fish for both their staple diet and also to generate income to buying other foods. This decline in yield may have implications on the population such that they are unable to afford health care, reduced nutritional status and low resistance to infection.

Although the respondents described the perceived implication of illness and pre-disposing factor to HIV/AIDS in terms of its effect on their livelihood, household well being and difficulty in obtaining food for their families, little was said on the time being spent caring for those who were sick. This may be due to the lack of time sensitive livelihood strategies. Unlike agricultural communities where successful cultivation of crops is dependent on time spent preparing land, weeding and planting at specific time.

IV. Conclusion and Recommendations

This paper has highlighted the pre-disposing factors to HIV/AIDS and their vulnerability in fishing communities of Kainji Lake Basin of Nigeria. It was discovered that combination of poverty, gender disparities, low level of utilization of health services and local population link between mobility and a situation in which multi- partner sexual behavior is acceptable. Also availability of the daily cash income is important determinant of HIV/AIDS vulnerability which may have consequences on fishing communities: increased poverty in families, disintegration of the family unit and reduction of the most active labor force. The following recommendations are made:

- Reduce high risk sexual behavior through, education and communication activities for fishing communities
- Develop alternative livelihood activities, such as income generating activities, for fisherfolk
- Invest in infrastructure improvements in fishing communities, especially in the domains of education and health care facilities

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Information Provision to the Disadvantaged: A Proposal for Extension of Library and Information Services to Refugees in Oru Camp, Ogun State, Nigeria

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Abstract - Information is a public good which must not be denied anyone regardless of socio-economic status or political affiliation. However, some groups of individuals such as political refugees are underserved with this essential commodity. This paper presents an assessment of information need and information provision to refugees in Oru camp, Ogun state, Nigeria. The paper includes a review of some library and information services to refugees in Myanmar and Zambia and concludes with proposal for library and information services to the refugees.

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GJHSS Classification : FOR Code :890302, 080706, 080704

INFORMATIONPROVISION TO THE DISADVANTAGEDA PROPOSAL FOR EXTENSION OF LIBRARY AND INFORMATION SERVICES TO REFUGEES IN ORU CAMP, OGUN STATE, NIGERIA

Strictly as per the compliance and regulations of :

Information Provision to the Disadvantaged: A Proposal for Extension of Library and Information Services to Refugees in Oru Camp, Ogun State, Nigeria

Babalola, Yemisi T. [α], Sodipe, Opeyemi D. [Ω], Haliso, Yacob. [β], Odunlade, Racheal O. [ψ]

Abstract - Information is a public good which must not be denied anyone regardless of socio-economic status or political affiliation. However, some groups of individuals such as political refugees are underserved with this essential commodity. This paper presents an assessment of information need and information provision to refugees in Oru camp, Ogun state, Nigeria. The paper includes a review of some library and information services to refugees in Myanmar and Zambia and concludes with proposal for library and information services to the refugees.

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I. Introduction

As the contemporary society gradually transforms into an information economy, our dependence on information becomes increasingly pronounced. Information has become a critical factor for political participation and social inclusion and the basis for competitiveness at the individual, organizational and national levels. Access to information has greatly improved with the convergence of information and telecommunication technology and the development of the Internet and the World Wide Web. More recently, the open access initiative has increased individuals capacity to access information from various media and in different formats.

One of the cardinal principles of practice for librarians and other information professionals is to ensure that everyone regardless of his 'age, race, gender, religion, disability, cultural identity, language, socioeconomic status, lifestyle choice, political allegiance or social viewpoint' has equal access to information (ALIA, 2001). Nevertheless, billions of people across the world still experience information poverty despite the richness of the current information environment. According to Britz (2007), information poverty is:

> *'that situation in which individuals and communities, within a given context, do not have the requisite skills, abilities or material means to obtain efficient access to information, interpret it and apply it appropriately. It is further characterized by a lack of essential information and a poorly developed information infrastructure*

Thus in Britz's opinion, the gap that exists between the information haves and the information have-nots, goes beyond digital divide rather, it is a complex phenomenon that could be caused by political, cultural, economical, educational, moral, geographical, technological and technical factors (Britz, 2007).

Among those who can be described as information poor include the poor, the handicapped, the prisoners, the aged, the illiterate, children, rural dwellers, new immigrants and the refugees. According to the United Nations Convention relating to the status of refugees, refugees are people who left the country of their nationality to seek for protection in another country due to the fear of persecution for reasons of race, religion, nationality, membership of a particular social group, or political opinion. The number of refugees worldwide is over 20 million with Africa having the second largest population of about 5.1 million (Kayengo & Kayengo, Tribe, 2002). This is a considerable number that cannot be easily ignored especially when one considers the fact that there are professionals and highly talented people among refugees and some of them have made significant contributions to knowledge in various fields across the world. For example, the inventor of the contraceptive pill and the first governor of the Bank of England were refugees (Tribe, 2002).

Undoubtedly, refugees could be assets rather than burden to their host community if provided with essential information that can help them to not only meet their basic needs but also aid capital generation and self-development (Blitz, 2004). The purpose of this paper is to report an assessment of information need and information provision to refugees in Oru camp, Ogun state, Nigeria with a view to making recommendations for policy action.

II. Information Needs of Refugees

Adler (1977) used Abraham Maslow's hierarchy of needs to describe the information needs of

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immigrants in the process of adjusting to their new environment. Immigrants are people who made a positive choice to relocate to another country in hope of finding better opportunities. Adler posits that upon arrival in the new country, immigrants need information that would help them meet their physiological or basic needs such as food and other basic resources; then the need for information on how to find shelter which is part of meeting safety or security need becomes apparent. The immigrant progressively meets his social, esteem and self-actualization needs by seeking relevant information. As he meets his needs, the immigrant begins the process of social adjustment and recovery from the initial culture shock. Shoham and Strauss (2008) also captured this link between satisfaction of information needs and absorption of immigrants into their new society with the model below.

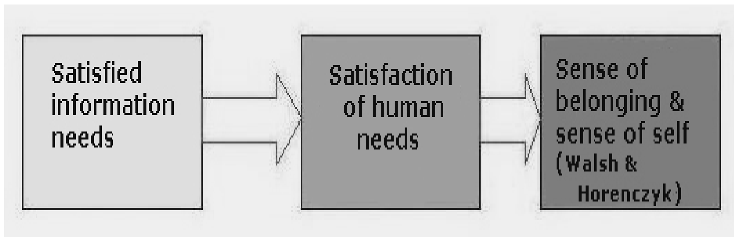

Figure 1: showing the relationship between satisfaction of information needs, human needs successful absorption of immigrants. (Shoham and Strauss, 2008)

Unlike immigrants who chose to relocate to another country and had enough time to plan their movement, refugees were forced to flee their countries out of fear and without any plan of where they are going. They are usually victims of war and human rights abuse and have probably lost their possessions and loved ones through traumatic experiences (Tribe, 2002). A refugee population is an heterogeneous one with highly educated professionals, illiterates, youths, children, women and the physically challenged. Without a political identity and faced with the challenge of learning new language and adjusting to new culture, refugees have a lot of physical, psychological, medical and emotional challenges that could be addressed by providing them with information that meets their specific needs.

III. Information Services to Refugees: A Review of Cases

There is considerable literature on aid and health services to refugees but very little that emphasized meeting the information needs of refugees. This section reviews two of such programs and initiatives that focus on information provision to refugees in different parts of the world.

a) *Myanmar and Thailand Refugee Camps*

The Shanti Volunteer Association (SVA) is a Japanese Non Governmental Organization established in 1980 to provide relief and health care services to the Cambodian refugees in Thailand and Myammar. However, unlike most other NGOs, SVA, also emphasized provision of library services in addition to relief because it believes that using the library will provide mental stimulation for the refugees, help them break the endless cycle of boredom and help preserve their human dignity. A public library was set up to cater for the needs of the different age groups and interest and to facilitate social interactions among them. In order to help preserve and promote the culture and the Karen language of the refugees which they feared were being eroded, the volunteers translated picture books to the local language. Picture books that project themes like friendship, peace in the community and the world, health and public hygiene were purposely selected for translation.

In addition, SVA started a project to write down Karen folktales and peoples' stories and publish them as books. This gave former art teachers and painters among the refugees opportunity to utilize their skills by providing illustrations for the books. It also helped to combat the problem of getting books that teach the culture and language of the Karens. Some of the refugees were trained to serve as librarians and to read stories from the picture books to children. The library also started producing a local newspaper that report activities in the camps and advertised special events.

b) *Zambian Case Study*

According to Kayengo & Kayengo (n.d.), Zambia has over 8 refugee camps run by the Zambian government, the United Nations High Commission for Refugees (UNHCR) with support from Non Governmental Organizations. Among the services offered to refugees are:

- Access to primary and secondary education and financial support for those who wish to go on to higher institutions.
- Braille classes for blind students
- English classes for both the handicapped and the able bodied.
- Empowerment programs such as sewing classes
- Health Care Services
- Adult literacy classes, religion classes and Library services

One of the secondary schools in the refugee camps, Meheba Refugee camp has a library with over 25, 000 books and internet connection while each of the others have a smaller library and a resource center.. The library service is a collaborative effort between the Zambian Library Service and the Jesuit Refugee Services. In addition to providing library services, the Zambian refugee camps also employed certain strategies to disseminate information to the refugees. These include:

- *Peer education*- this involves training members of a group so that they can train or influence other members. This method was noted to be very effective in disseminating information to the youths.
- *Social clubs*- this is especially used for anti HIV/AIDS campaigns. Organizing refugees into clubs allow them to share information themselves and with others outside the group.
- *Meetings, workshops and field visits*- this method is used to disseminate agricultural information to refugees under the resettlement policy
- *Other mechanisms*- Posters, pamphlets, books, video shows, cultural dance and drama. The last three are especially favoured among the refugees and they are mostly used to communicate with the illiterates and semi-illiterates.

IV. A Proposal for Information Services to Refugees in Nigeria

Since the 1990s, Nigeria has played host to about 6000 refugees from war torn countries in West Africa including Sierra Leone, Togo, Liberia, Ivory Coast, Republic of Benin etc. The refugee camp located at Oru in Ogun state was established to shelter the refugees. The camp was jointly managed by the Nigerian government, through the National Emergency Management Agency (NEMA), the National Commission for Refugees (NCR), the United Nations High Commissioner for Refugees (UNHCR) and the Nigerian Red Cross Society with support from Non Governmental Organizations and religious bodies.

Fig 1: Entrance into Oru Refugee Camp

Fig 2 : Cross section view of Oru Camp Pry Sch

Recently, the federal government adopted the resettlement policy which means that it would no longer operate a refugee camp but allow refugees who wish to return to their respective countries to do so while those who wish to remain will be integrated into the Nigerian society. Refugees who are integrated will be able to enjoy all the rights and privileges of a Nigerian citizen except that of the voting right while retaining their original nationality. With this arrangement, the refugees will be able to live and work in the community.

The federal government therefore declared the camp officially closed in 2008 and most of the refugees returned to their countries. However, when the researchers visited the camp on June 11 2010, it was discovered that about 2000 refugees are still resident on the camp. These refugees are not willing to return to their countries because some of them came in as widows and orphans and do not remember anything of their backgrounds nor families to return to. To them, leaving Nigeria for a country where they had lost everything including human dignity is like leaving certainty for uncertainty. At the same time, they are not ready to accept the government's offer of integration. Apparently, they feel more secured among themselves where though they are somehow isolated, they are protected form the community who often stigmatize them and is ready to exploit them. According to them, the challenge of learning Nigerian language or languages and culture will be quite challenging. Furthermore, the process of integration will only open up fresh wounds; it will remind them of the experiences they had struggled to forget.

Also, the official declaration by the federal government has negatively impacted on the welfare of the refugees. A tour of the camp facilities showed that the refugees had once been provided with basic facilities like medical clinic, a recreation center, a primary school and a common room where people could relax to watch television, read novels or newspaper and interact. The only facility that is still functional out of all these facilities is the primary school; all others are dilapidated. According to Mr. Amos Toah, a Liberian refugee who has been living in Oru camp since the 1990s, all government and non governmental agencies that had been supplying aids and relief to the camp had since stopped. The refugees live in constant fear of being forcefully ejected by the Nigerian government. Meanwhile, some of them are widows with children and without stable jobs or marketable skills.

While it is encouraging that the West African sub-region is relatively peaceful at present and that political refugees can return to their countries of nationality, those who decided otherwise cannot be forced against their will. They are protected by an international refugee law called refoulement. Therefore, it is the responsibility of Nigerian government to provide opportunities for the over 2000 men and women residing in Oru camp to be empowered so they can participate fully in our information intensive global community. Consequently, this paper recommends the provision of the following:

- A public library with internet access
- A school library to meet the needs of the pupils in the primary school
- A computer training center
- Informative and enlightenment programs on health and sanitation and reproductive health facilities. The reproductive health program will be of immense benefit to the growing population of young adults among the refugees.
- Adult literacy skill acquisition programs and vocational training opportunities

V. Conclusión

Information creates a new form of power relation such that the information 'have nots' are completely subjugated by the information 'haves'. This is because information creates awareness of opportunities which people who have no intellectual, technical or technological access to information lack. Refugees are people with great potentials and will contribute to the development of their host communities. Provision of essential information to them is therefore imperative. It is a matter of social justice and a fundamental human right.

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Social and Economic Democracy and Removal of Untouchability

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Abstract - Ambedkar viewed democracy as an instrument of bringing about change peacefully. Democracy does not merely mean rule by the majority or government by the representatives of the people. This is a formalistic and limited notion of democracy. Like many other national leaders Ambedkar had complete faith in democracy.Ambedkar made ceaseless efforts for the removal of untouchability and the material progress of untouchables. From 1924 onwards, he led the movement of untouchables till the end of his life. He firmly believed that the progress of the nation could not be realized without first removing untouchability. Ambedkar held the view that the removal of untouchability was linked to the abolition of the caste system and that it could be only by discarding the religious notions from the basis of the caste system. Therefore, in the course of his analysis of the caste system, he examined the Hindu religious philosophy and criticized it. He did this boldly, often facing strong resentment from the orthodox Hindus.This paper attempts to investigate Ambedkar's thought on democracy and removal of untouchability. For this the researcher discuss about social and economic democracy, factors necessary for the successful operation of democracy, removal of untouchability, self-respect among untouchables and some of the important factors like education, economic progress, political strength, conversion.

Keywords : Democracy, Social Thought, Political Thought, Untouchability.

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Dr. Ajeet Jaiswal

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This paper attempts to investigate Ambedkar's thought on democracy and removal of untouchability. For this the researcher discuss about social and economic democracy, factors necessary for the successful operation of democracy, removal of untouchability, self-respect among untouchables and some of the important factors like education, economic progress, political strength, conversion

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I. Introduction

Bhimrao Ramji Ambedkar (Born on 14 April 1891 in Mhow, Madhya Pradesh14 April 1891 – Died on 6 December 1956), popularly also known as Babasaheb, was an Indian jurist, political leader, philosopher, thinker, anthropologist, historian, orator, prolific writer, economist, scholar, editor, a revolutionary and one of the founding fathers of independent India. He was also the Chairman of the Drafting Committee of Indian Constitution. Ambedkar was posthumously awarded the Bharat Ratna, India's highest civilian award, in 1990.

Like many other national leaders Ambedkar had complete faith in democracy. Dictatorship may be able to produce results quickly; it may be effective in maintaining discipline but cannot be one's choice as a permanent form of government. Democracy is superior because it enhances liberty. People have control over the rulers. Among the different forms of democratic government, Ambedkar's choice fell on the parliamentary form. In this case also he was in agreement with many other national leaders.

Ambedkar viewed democracy as an instrument of bringing about change peacefully. Democracy does not merely mean rule by the majority or government by the representatives of the people. This is a formalistic and limited notion of democracy. We would understand the meaning of democracy in a better fashion if we view it as a way of realizing drastic changes in the social and economic spheres of society.

II. Social and Economic Democracy

Ambedkar's idea of democracy is much more than just a scheme of government. He emphasises the need for bringing about an all-round democracy. A scheme of government does not exist in vacuum; it operates within the society. Its usefulness depends upon its relationship with the other spheres of society. Elections, parties and parliaments are, after all, formal institutions of democracy. They cannot be effective in an undemocratic atmosphere.

Political democracy means the principle of 'one man one vote' which indicates political equality. But if oppression and injustice exist, the spirit of political democracy would' be missing. Democratic government, therefore, should be an extension of a democratic society. In the Indian society, for instance, so long as caste barriers and caste-based inequalities exist, real democracy cannot operate. In this sense, democracy means a spirit of fraternity and equality and not merely a political arrangement. Success of democracy in India can be ensured only by establishing a truly democratic society. Along with the social foundations of democracy, Ambedkar takes into consideration the economic aspects also. It is true that he was greatly influenced by liberal thought. Still, he appreciated the limitations of liberalism.

Parliamentary democracy, in which he had great faith, was also critically examined by him. He argued that parliamentary democracy was based on liberalism. It ignored economic inequalities and never concentrated upon the problems of the downtrodden. Besides, the general tendency of the western type of parliamentary democracies has been to ignore the issues of social and economic equality. In other words,

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parliamentary democracy emphasised only liberty whereas true democracy implies both liberty and equality. This analysis becomes very important in the Indian context. Indian society was demanding freedom from the British. But Ambedkar was afraid that freedom of the nation world not ensures real freedom for all the people. Social and economic inequalities have dehumanized the Indian society. Establishing democracy in such a society would be nothing short of a revolution. This would be a revolution in the social structure and attitudes of the people. In the place of hereditary inequality, the principles of brotherhood and equality must be established. Therefore, Ambedkar supported the idea of all-round democracy.

III. Factors Necessary for the Successful Operation of Democracy

We have already seen that Ambedkar favoured the parliamentary form of government. For the successful functioning of this form of government, it is necessary that certain other conditions must be fulfilled. To begin with, political parties are necessary for the effective working of parliamentary democracy. This will ensure existence of the opposition which is very important.

Parliamentary governhent is known as responsible government mainly because the executive is constantly watched and controlled by the opposition. Respect and official status for the pposition means absence of absolute power for the executive. The other condition is a neutral and non-political civil service. A neutral civil service means that administrators would be permanent – not dependent on the fortunes of the political parties - and that they would not take sides with political parties. This will be possible only when appointments of civil servants are not .made on the basis of political consideration. Success of democracy depends on many ethical and moral factors also. A country may have a constitution. But it is only a set of rules. These rules become meaningful only when people in the country develop conventions and traditions consistent with the constitution. People and politicians must follow certain norms in public life. Similarly, there must also exist a sense of morality and conscientiousness in the society. Law and legal remedies can never replace a voluntary sense of responsibility. No amount of law can enforce morality. Norms of honest and responsible behaviour must develop in the society. Democracy can be successful only when every citizen feels duty bound to fight injustice even if that injustice does not put him into any difficulty personally. This will happen when equality and brotherhood exist in the society.

To make democracy successful in India, Ambedkar suggested a few other precautions also. Democracy means rule of the majority. But this should not result into tyranny of the majority. Majority must always respect the views of the minority. In India there is a possibility that the minority community will always be a political minority also. Therefore, it is very essential that the minority must feel free, safe and secure. Otherwise, it will be very easy to convert democracy into a permanent rule against the minority. Caste system could thus become the most difficult obstacle in the successful functioning of democracy. The castes which are supposed to be of low status will never get their proper share in power. Caste will create barriers in the development of healthy democratic traditions. This means that unless we achieve the task of establishing democracy in the social field, mere political democracy cannot survive.

IV. Removal of Untouchability

How can untouchability be removed? Untouchability is the indication of slavery of the entire Hindu society. If the untouchables find themselves chained by the caste Hindus, the caste Hindus themselves live under the slavery of religious scriptures. Therefore, emancipation of the untouchables automatically involved emancipation of the Hindu society as a whole. Ambedkar warns that nothing worthwhile can be created on the basis of caste. We can build neither a nation nor morality on this basis. Therefore, a casteless society must be created.

Intercaste marriages can effectively destroy the caste but the difficulty is that people will not be prepared to marry outside their caste so long as casteism dominates their thinking. Ambedkar describes such methods as inter-caste dining or marriage as 'forced feeding'. What is required is a more drastic change: liberating people from the clutches of religious scriptures and traditions. Every Hindu is a slave of the Vedas and Shastras. He must be told that these scriptures perpetrate wrong and therefore, need to be discarded.

Abolition of castes is dependent upon destroying the glory of these scriptures. Till the scriptures dominate the Hindus, they will not be free to act according to their conscience. In place of the unjust principle of hereditary hierarchy. We must establish the principles of equality, liberty and fraternity. These should be the foundations of any religion.

V. Self-Respect Among Untouchables

However, Ambedkar knew that all this involved a total change in Hinduism which would take a very long time. Therefore, along with this suggestion for basic change, he also insisted on many other ways for the uplift of the untouchables. Under the influence of tradition the untouchables had completely surrendered to the domination of the upper castes. They had lost all spirit to fight and assert themselves. The myth of inherent pollution also considerably influenced the minds of untouchables. Therefore, it was necessary to arouse their self-respect. Untouchables should realize that they are the equals of caste Hindus. They must throw away their bondage.

VI. Education

Ambedkar believed that education would greatly contribute to the improvement of the untouchables. He always exhorted his followers to reach excellence in the field of knowledge. Knowledge is a liberating force. Education makes man enlightened, makes him aware of this self-respect and also helps him to lead a better life materially. One of the causes of the degradation of the untouchables was that they were denied the right to education. Ambedkar criticized the British policy on education for not adequately encouraging education among the lower castes. He felt that even under the British rule education continued mainly to be an upper caste monopoly. Therefore, he mobilized the lower castes and the untouchables and funded various centers of learning. While a labour member in the executive council of the Governor-general, he was instrumental in extending scholarships for education abroad to the untouchable students. Ambedkar wanted the untouchables to undergo both liberal education and technical education. He was particularly opposed to education under religious auspices. He warned that only secular education could instill the values of liberty and equality among the students.

VII. Economic Progress

Another very important remedy which Ambedkar upheld was that the untouchables should free themselves of the village community and its economic bondage. In the traditional set up, the untouchables were bound to specific occupations. They were dependent upon the caste Hindus for their sustenance. Even for meager returns they had to submit themselves to the domination of caste Hindus. Ambedkar was aware of the economic dimension of their servitude. Therefore, he always insisted that the untouchables should stop doing their traditional work. Instead, they should acquire new skills and start new professions. Education would enable them to get employment. There was no point in remaining dependent upon the village economy. With growing industrialization, there were greater opportunities in the cities. Untouchables should quit villages, if necessary and find new jobs or engage themselves in new professions. Once their dependence on caste Hindus is over, they can easily throw away the psychological burden of being untouchables. In a realistic evaluation of the villages, Ambedkar graphically describes them as 'a sink of localism, a den of ignorance, narrow-mindedness and communalism'.

Therefore, the earlier the untouchables become free of village-bondage, the better. Even if the untouchables had to live in the villages, they should stop doing their traditional work and seek new means of livelihood. This would ensure their economic emancipation to a considerable extent.

The mainstay of Ambedkar's argument was that the oppressed classes must generate self-respect among themselves. The best policy for their uplift was the policy of self-help. Only by working hard and casting off mental servitude, they can attain an equal status with the remaining Hindu society. He did not believe in social reform on the basis of humanitarianism, sympathy, philanthropy etc.

Equal status and just treatment was a matter of right and not pity. The downtrodden should assert and win their rights through conflict. There was no short cut to the attainment of rights.

VIII. Political Strength

As a step in this direction, Ambedkar attaches much importance to political participation of the oppressed classes. He repeatedly emphasized that in the context of colonialism, it had become imperative that the untouchables gain political rights by organizing themselves politically. He claimed that by attaining political power, untouchables would be able to protect safeguards and a sizeable share in power, so that they can force certain policies on the legislature. This was so because during the last phase of British rule, negotiations had already begun for the settlement of the question of transfer of power. Ambedkar wanted the untouchables to assert their political rights and get an adequate share in power. Therefore, he formed political organizations of untouchables.

IX. Conversion

Throughout his life Ambedkar made efforts to reform the philosophical basis of Hinduism. But he was convinced that Hinduism will not modify its disposition towards the untouchables. So, he searched for an alternative to Hinduism. After careful consideration, he adopted Buddhism and asked his followers to do the same. His conversion to Buddhism meant reassertion of his faith in a religion based on humanism. Ambedkar argued that Buddhism was the least obscurantist religion. It appreciated the spirit of equality and liberty. Removal of injustice and exploitation was the goal of Buddhism. By adopting Buddhism, the untouchables would be able to carve out a new identity for themselves. Since Hinduism gave them nothing but sufferings, by renouncing Hinduism, the untouchables would be renouncing the stigma of untouchability and bondage attached to them. To live a new material life, a new spiritual basis consistent with the liberal spirit was essential. Buddhism would provide this basis.

Therefore, at the social level, education; at the material level, new means of livelihood; at the political level, political organization and at the spiritual level, self-assertion and conversion constituted Ambedkar's overall programme of the removal of untouchability.

Finally, what is the relevance of Ambedkar's thought? In his lifetime Ambedkar was constantly responding to contemporary issues. Therefore, his propagation of separate electorates or reservations, his views on linguistic states, etc. have a specific context. It would be wrong merely to take up the same programmes which Ambedkar had to take up in those circumstances and try to delineate the essence of his political ideology. We have seen that Ambedkar steadfastly held the image of society free from injustice and exploitation. Therefore, he repeatedly announced that an ideal society will be based on liberty, equality and fraternity. What are the forces operating against these three principles? Casteism and communalism on the one hand and economic exploitation on the other continue to provide strength to the prevalent inequality in the Indian society. Ambedkar fought for a society free from caste-domination and class-exploitation. So long as these two machines of exploitation - caste and class - are in existence, Ambedkar's thought would be relevant as an inspiration in the fight against them.

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Ocho Pecados Capitales Del Historiador

By Dr. Luis Eduardo Cortés Riera
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Introduction - Varias situaciones y experiencias en mi ya larga trayectoria como docente e investigador de la historia, así como la lectura de autores clásicos de la historiografía de todos los tiempos y lugares, me han animado a escribir estas reflexiones que bajo el insidioso título que le di, ojalá motiven a los jóvenes y también a los mayores, cultivadores de esta ciencia social tan nueva y que aún se haya en el tránsito hacia su edificación, a esclarecer algunos conceptos y categorías, a plantear nuevas problemáticas y a deslastrarse de las viejas y falaces, pero muy influyentes ideas en torno a la historia que han hecho carrera desde tiempos de Heródoto o de Polibio hasta llegar a Edward Gibbon o Leopold Von Ranke, y que nos han llegado con fuerza y autoridad inusitada hasta el presente, los albores del siglo XXI.

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OCHO PECADOS CAPITALES DEL HISTORIADOR

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Ocho Pecados Capitales Del Historiador

Dr. Luis Eduardo Cortés Riera

Homenaje a Eric Hobsbawm en sus 90 años.

"Estamos inmersos en el pasado,
como el pez lo está en el agua,
y no podemos escapar de él".

Eric Hobsbawm, 1970.

I. Introduction.

Varias situaciones y experiencias en mi ya larga trayectoria como docente e investigador de la historia, así como la lectura de autores clásicos de la historiografía de todos los tiempos y lugares, me han animado a escribir estas reflexiones que bajo el insidioso título que le di, ojalá motiven a los jóvenes y también a los mayores, cultivadores de esta ciencia social tan nueva y que aún se haya en el tránsito hacia su edificación, a esclarecer algunos conceptos y categorías, a plantear nuevas problemáticas y a deslastrarse de las viejas y falaces, pero muy influyentes ideas en torno a la historia que han hecho carrera desde tiempos de Heródoto o de Polibio hasta llegar a Edward Gibbon o Leopold Von Ranke, y que nos han llegado con fuerza y autoridad inusitada hasta el presente, los albores del siglo XXI.

Edward Gibbon

La palabra **pecado** que aquí empleo se la debo a Eric Hobsbawm, así como al insigne historiador francés, miembro del Collège de France, Lucien Febvre, quien dice del **anacronismo** que es el mayor de los pecados, el más imperdonable. Desde tiempos de mis estudios de pregrado (1972-1976) en la ya bicentenaria Universidad de Los Andes y su Escuela de Historia, me había llamado la atención este pecado, el primero y más dañino que puede cometer el historiador. Pero los ojos de aquélla Escuela estaban en otros lados, la enseñanza de un marxismo vulgar asociado al estructuralismo, así como el repliegue de la izquierda insurreccional, y poco se atendía a la

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formación de los estudiantes en el oficio del historiador. Casi no se leía a Marc Bloch, y si ello se hacía, aquél privilegio lo gozábamos, que yo sepa, solamente los estudiantes de la especialidad en Historia Universal. Aquello se debía a que leíamos los brillantes trabajos de este autor sobre la Europa medieval, **La sociedad feudal,** entre ellos, y por extensión sus trabajos sobre metodología de la historia.

El postulador de la concepción de la "historia total", otro francés, el profesor Pierre Vilar me motivó con su obra **Iniciación al vocabulario del análisis histórico (l980)** magnífico trabajo de precisión y de reflexión sobre lo histórico, donde nos dice: "Siempre he soñado con un "tratado de historia". Pues encuentro irritante ver en las estanterías de nuestra bibliotecas tantos "tratados" de "sociología", de "economía", de "politología", de "antropología", pero ninguno de historia, como si el conocimiento histórico, *que es condición de todos los demás, ya que toda sociedad está situada en el tiempo*, fuera capaz de constituirse en ciencia". En este sentido he creído necesario alertar sobre los errores y las omisiones más graves y más comunes que se cometen con la historia.

De Marc Bloch, creador de la idea del *oficio del historiador*, me he nutrido permanentemente para enseñar e investigar la historia con las aportaciones de todas las ciencias sociales (y a veces las naturales), el empleo del método comparativo como propuso con Febvre en la Escuela de los Anales y que se presenta magistralmente en **Los reyes taumaturgos** (1924) y **La sociedad feudal** (1939-1940), pero sobre todo **Apología de la historia o el oficio del historiador** (1942), llamada por Georges Duby la "agenda de un artesano", un libro escrito bajo la ocupación nazi de Francia, por lo que ha sido llamado "El manuscrito interrumpido del Marc Bloch," que trata sobre los motivos por los que se estudia la historia y sobre el oficio del historiador. No es un libro de filosofía de la historia, ni un libro de metodología empírica: ha querido presentarnos los problemas, las dificultades que a un historiador se le presentan en la continua meditación de las razones de su trabajo; hacernos partícipes desde adentro de los procesos que éstos implican; en suma,

Marc Bloch

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guiarnos con su rica sensibilidad y vivacidad cultural a través de los secretos de su singular "oficio". Es mi libro de cabecera.

Esta obra ha tenido un éxito notable en el mundo de habla castellana y se ha reeditado unas 19 veces hasta 1994 desde que el Fondo de Cultura Económica, México, la tradujo y editó por vez primera en 1952 (por Pablo González Casanova y Max Aub) con el inapropiado título de **Introducción a la historia**. En 1949 llega un alumno de Bloch a aquél país, Francoise Chevalier, y a sus clases asiste un perseguido de la dictadura perejimenista en Venezuela, el profesor Federico Brito Figueroa (+ 2000), quien a su regreso al país en 1960 funda los estudios de posgrado en historia en la Universidad Central de Venezuela y que continua después de su jubilación en la Universidad Santa María, recinto en donde conoce a un joven profesor recién egresado del Instituto Pedagógico Barquisimeto, Reinaldo Rojas quien le convence de venir a Barquisimeto. Acá fundan bajo un pomarroso (*Mirtácea de la India*) la Fundación Buría, y en 1986 editan por primera vez y en coedición con el Fondo Editorial Lola de Fuenmayor **Apología de la historia o el oficio del historiador**, la que pasa en consecuencia a constituirse en la primera edición venezolana.

Y es acá en donde se inserta desde 1989 quien escribe estas líneas en esta fértil corriente de pensamiento, pues cuando se acercaba el fin del *"siglo corto"*, como sostiene Eric Hobsbawm, inicié los estudios de postgrado en historia bajo la guía y conducción de los doctores Federico Brito Figueroa y Reinaldo Rojas e introducido en las posibilidades de método y del conocimiento científico de la Escuela de los Anales. En esta **comunidad discursiva** con sede en Barquisimeto, pero con estrechos vínculos con otras ciudades y grupos de investigación del país, como en San Cristóbal, Maracaibo, Valencia, Coro, Acarigua, Carora, Guanare, Barinas, San Felipe, Caracas, universidades de Colombia, Canarias, España, Francia, México, y en torno fundamentalmente a las Líneas de investigación: "Historia social e institucional de la educación en la Región Centro Occidental de Venezuela", y la de "Redes sociales, cultura y mentalidad religiosa", he tenido las más hermosas y edificantes satisfacciones intelectuales y personales de mi existencia.

Eric Hobsbawm
1917

Tiene, pues, el lector entre sus manos las meditaciones de un docente en varios niveles de la educación y de un investigador ya curtido en la ciencia de Clío y que, cual sentencia sacada de las Escrituras sagradas, se atreve a dejar entre sus manos estos **Ocho pecados capitales del historiador**.¿Que se puede abultar esta ominosa cantidad? Sí, es posible y además necesario, porque recordemos con el hispanista francés, el maestro Pierre Vilar que la historia es una ciencia que está en permanente construcción. Que la historia -agrega el autor de **Crecimiento y desarrollo** e **Historia de España** - es el único instrumento que puede abrir las puertas a un conocimiento del mundo de una manera si no "científica" por lo menos "razonada". La historia-ciencia todavía se está construyendo, los pecados serían, pues, la anticiencia o la pseudociencia.

Cada campo de la ciencia tiene su propio complemento de pseudociencia, nos dice Carl Sagan, quien agrega que: "Los geofísicos tienen que enfrentarse a Tierras planas, Tierras huecas, profetas del terremoto. Los botánicos tienen plantas con vidas emocionales que se pueden seguir con detectores de mentiras, los antropólogos tienen hombres-mono supervivientes, los zoólogos dinosaurios vivos y los biólogos evolutivos a los literalistas bíblicos pisándoles los talones. Los arqueólogos tienen antiguos astronautas, runas falsificadas y estatuas espurias. Los físicos tienen máquinas de movimiento perpetuo, un ejército de aficionados a refutar la relatividad de Einstein y quizá la fusión fría. Los químicos todavía tienen la alquimia. Los psicólogos tienen mucho de psicoanálisis y casi toda la parapsicología. Los economistas tienen las previsiones económicas a largo plazo. Los meteorólogos tienen previsiones del tiempo de largo alcance, almanaques que se guían por las manchas solares. La astronomía tiene como pseudociencia equivalente principal la astrología, disciplina de la que surgió".

Carl Sagan

¿Cuál es, entonces, la pseudociencia a la cual debemos enfrentar los historiadores científicos? Yo diría que no es una, sino muchas pseudociencias las que debemos enfrentar y atacar todos los días, en todo momento y en cualquier oportunidad, pues los fenómenos "no cartesianos", esto es, los que no obedecen a las normas de la ciencia o ni siquiera de la lógica, son innumerables y tienen una capacidad de reproducción y de difusión pasmosa por los llamados "media", la TV, el cine, la prensa sensacionalista, panfletos y hasta libros poco serios que abundan como insectos después del temporal. "La historia debe enseñarnos, en primer lugar, a leer un periódico", dice el hispanista francés Pierre Vilar (1906-2003).

En historia abundan los casos de documentos de procedencia dudosa con información de gran importancia que sostiene con contundencia la argumentación de los que han hecho el descubrimiento, dice Carl Sagan. Examinemos dos de ellos. Uno es el libro del **Deuteronomio** (una parte de la **Torá**): lo descubrió el rey Josías (648-609 a.C.) en el Templo de Jerusalén y, milagrosamente, en medio de una importante lucha de reforma, encontró en él la confirmación de todos sus puntos de vista. El otro nos es más conocido y lo menciona Marc Bloch en **Apología de la historia o el oficio del historiador**: la Donación de Constantino, un documento falso que un polígrafo del renacimiento italiano, Lorenzo de Valla (1407-1457), puso al descubierto. Concluyó que por razones gramaticales, el credo de los apóstoles no podía haber sido escrito realmente por los doce apóstoles, por lo que la Inquisición lo declaró hereje. Inasequible al desaliento, en 1440 publicó un tratado demostrando que la Donación de Constantino era una burda falsificación. El lenguaje del documento equivale al latín cortesano del siglo IV como el *cockney* de hoy al inglés normativo. Gracias a Lorenzo de Valla, la Iglesia católica romana ya no reclama el derecho a gobernar las naciones de Europa por la Donación de Constantino. Se cree en general que esa obra, cuya procedencia tiene un vacío de cinco siglos, fue falsificada por un clérigo adscrito a la curia de la Iglesia en la época de Carlomagno (742-814 d. C.), cuando el papado (y especialmente el papa Adriano I) defendía la unificación de la Iglesia y el Estado.

Nuestro Marc Bloch, nacido en 1886, pertenecía a la última generación del caso Dreyfus; se había formado en una atmósfera marcada profundamente por las vicisitudes de un proceso judicial, el del capitán Alfred Dreyfus, acusado de haber entregado a los alemanes información militar reservada, y tras un juicio, apresado en 1893 y condenado a pasar el resto de su vida en la Isla del Diablo, en el mar Caribe, cercana a Venezuela, unas decisiones que apoyaron la derecha, el ejército y la Iglesia católica. Finalmente exculpado gracias también a la intervención de **historiadores** y escritores. Se examinaron con cuidado los documentos que "probaban" la traición de este militar de origen judío, y se llegó al convencimiento de que la *bordereau* ("lista", en francés), una serie de informaciones militares que Dreyfus había pasado a los alemanes no había sido escrita por su mano, sino por un teniente del ejército francés, Marie Charles Esterházis, ello fue establecido por un teniente coronel, jefe de la inteligencia francesa de nombre George Picquart. Más adelante, otro teniente coronel, Hubert Joseph Henry, sucesor de Picquart en la jefatura de inteligencia, confesó que había falsificado los *bordereau* que implicaban a Dreyfus, fue arrestado y se suicidó en su celda. El caso Dreyfus no quedó allí, pues se extendió por varios años más su enorme impacto en toda Francia y el resto del mundo. El escritor Émile Zola (1840-1902) publicó una valiente y exaltada carta titulada *J´ accuse* (Yo acuso) en el diario parisino **La Aurora** en enero de 1898, en donde acusaba a las autoridades civiles y militares de mentir. Ello le costó el ser juzgado, autoexilarse en Inglaterra, pagar una multa y pasar un año en prisión. Este dramático juicio tuvo además una consecuencia muy importante para Francia, esto es, la separación definitiva de la Iglesia y el Estado en 1905 por medio de una legislación profundamente anticlerical propuesta por los sectores liberales.

El joven Marc Bloch ha debido quedar muy impresionado por el juicio seguido al capitán Dreyfus, pues cifraba los 19 años cuando se cerró el caso en 1905, y por los ataques a la historia desde diversos frentes que tuvo por escenario los finales del siglo XIX y comienzos del XX, el novelista Paúl Valéry (1871-1945), entre ellos. Estas dos situaciones desarrollaron su espíritu crítico y una agudeza sin igual para captar y desmontar las mentiras y el error, como veremos más adelante. Sobre su condición de judío, pero religiosa y políticamente lejos de los fundamentalismos hebreos, como el sionismo, Bloch sin embargo comparte con este pueblo un rasgo, "la paradoja que constituye la unicidad real de esta comunidad étnica: no existe otro pueblo en particular que haya estado tan constante e inmediatamente implicado e interesado en el destino de la humanidad en general; ninguna individualidad de pueblo alguno estuvo tan intrínsecamente entretejida con la auténtica universalidad", nos dice Erich Kahler. ¿Por qué razón el pueblo judío ha dado tantos genios a la humanidad? Una de ellas tiene que ver con la diáspora que sufrió esta comunidad que los llevó a conocer y a comparar diversas culturas y al enorme respeto que sienten por el aprendizaje. Bloch, sin embargo, era un escéptico religioso y antes que hebreo se sentía un ciudadano francés. ¡Viva Francia, señores!, fueron sus últimas palabras antes de ser asesinado, (y no fusilado, como vulgarmente se cree) por los nazis en 1944.

La pseudociencia sería para la historia y los historiadores todo aquello que se basa en la mentira o en el error. "Las mentiras son frecuentes y provienen del amor al lucro o a la gloria, al odio, a la amistad, al afán de notoriedad, y una falsedad conduce a otra", dice Bloch. El espíritu crítico es la limpieza de la inteligencia, y el primer deber--le recuerda el historiador a los estudiantes- es el de lavarse. "La historia, dice Hobsbawm, es la materia prima de la que se nutren las ideologías nacionalistas, étnicas y fundamentalistas, del mismo modo en que las adormideras son el elemento que sirve de base a la adicción a la heroína. El pasado es un factor esencial –quizás el factor más esencial- de dichas ideologías. Y cuando no hay uno que resulte adecuado, siempre es posible inventarlo" (**La invención de la tradición**, 2002).

Es el momento de destacar los prejuicios y las actitudes preconcebidas. Son los muy famosos **ídolos** de los cuales nos advirtió hace ya cuatro centurias el pionero del pensamiento científico de la modernidad, el

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filósofo y estadista inglés Francis Bacon (1561-1626) a los cuales clasificó así: **ídolos de la tribu**, propiedad común de la especie debido a modos comunes de pensamiento, **ídolos de la caverna**, propio de los individuos, **ídolos de la plaza del mercado** que se deben a una dependencia excesiva del lenguaje, e **ídolos del teatro**, que se derivan de la tradición, de los cuales nos habló este filósofo del siglo XVII en su **Novum Organon** (1620), obra que echó las bases del método inductivo basado en la experimentación (fuera de la mente), como una alternativa a las abstracciones de la Escolástica medieval y sus silogismos lógicos aristotélicos que no tocaban la realidad:

> La comprensión humana no es
> simple luz sino que recibe infusión
> de la voluntad y de los afectos;
> de donde proceden ciencias que
> pueden llamarse "ciencias a discreción".
> Porque el hombre cree con más
> disposición lo que preferiría
> que fuera cierto. En consecuencia
> rechaza cosas difíciles por impaciencia
> en la investigación; silencia cosas, porque
> reducen las esperanzas;
> lo más profundo de la naturaleza,
> por superstición; la luz de la experiencia,
> por arrogancia y orgullo; cosas
> no creídas comúnmente, por deferencia
> a la opinión del vulgo. Son pues
> innumerables los caminos, y a veces
> imperceptible, en que los afectos
> colorean e infectan la comprensión.

Bacon y el filósofo escocés David Hume han sido el punto de partida de una actualización de la crítica de la inducción, principio fundamental del conocimiento científico formulada por el filósofo de la ciencia, el vienés Karl Popper (1902-1994), quien dice que las repetidas observaciones empíricas no pueden ser consideradas nunca como suficientes para verificar una "verdad de hecho". El enunciado "*todos los cuervos son negros*", puede ser *falsado* por la comparecencia ocasional de un cuervo de otro color. Popper ataca al marxismo y al psicoanálisis porque considera que son sistemas de pensamiento "totales" y no falsables, y por consiguiente no son ciencias. No son falsables –argumenta- por que tienden a integrar en ellas mismas todo hecho que pudiese contradecirlas, interpretándolo como una confirmación de sus postulados. Popper nos enseñó que la prueba de la falsificación puede hacer que una teoría sea insostenible, pero no aporta en sí misma otra mejor, nos advierte Hobsbawm.

El historiador, como todo científico social, debe saber que no es en modo alguno neutral, pues no somos entidades neutrales valoradoras de la realidad. Si Heidegger (1889-1976) había hablado de la precomprensión que anticipa nuestra comprensión de la cosa, Hans-Georg Gadamer (1900-2002) nos habla de *prejuicios* que afectan nuestra visión de los hechos históricos. El término posee una acepción negativa, aunque es necesario revalorizarlo, según Gadamer, porque:

* Los prejuicios no son eliminables, y presumir no tener prejuicios significa que somos todavía más víctimas y prisionero de los mismos: en este caso seríamos víctimas del más peligroso de todos, el prejuicio de de neutralidad, el presumir no tener prejuicios.

* Los prejuicios son en realidad las *condiciones* de nuestro encuentro con la realidad, son el pre-juiciar y el pre-ver que orienta nuestro juicio y nuestra mirada.

Gadamer nos dice que estamos inmersos en la *tradición*: ésta es, al contrario de lo que pensaban ilustrados del siglo XVIII, el tejido conectivo que permite dialogar entre nosotros y con el pasado, es, por tanto, imposible e ilusorio despreciarla; la novedad -incluso- también se produce siempre sobre un trasfondo de continuidad. En consecuencia, sería inoportuno y contraproducente verse privado de la tradición. Todo trabajo de interpretación consiste en un diálogo con la tradición y en un procedimiento de autocrítica y, al mismo tiempo, de descripción en función de los prejuicios. En el llamado Círculo hermenéutico (las partes son comprendidas desde el punto de vista del todo, según Dilthey), prejuicios y tradición, constituyen el marco, las condiciones preliminares del trabajo interpretativo.

Hechas estas consideraciones, que son como un introito de lo que vendrá, a continuación tiene el lector un florilegio de pecados capitales del historiador que he presentado de la forma que sigue:

Primer pecado: Anacronismo.
Segundo pecado: Creerse historiador sin serlo.
Tercer pecado: Vacilar entre la ciencia y el relato.
Cuarto pecado: Determinismo.
Quinto pecado: Provincianismo.
Sexto pecado: Teoricismo y empirismo (Documentalismo)
Séptimo pecado: Acriticismo.
Octavo pecado: Cronologismo.

Debemos aclarar que este orden de presentación no significa en todo momento un orden de prioridad o de importancia, salvo en el primer caso, el anacronismo, pecado que colocamos en primer lugar porque así lo consideró Lucien Febvre, historiador francés autor de **Combates por la historia** (1953), y quien afirma que la historia "es la ciencia central del hombre". En este sentido debe de extremarse los cuidados con el anacronismo en sus diversas, y a veces sutiles manifestaciones.

En la tradición católica que hemos heredado de España, existen dos tipos de pecados, los mortales que destruyen la relación del individuo con Dios, y los veniales, (que abrieron el camino a la aparición del purgatorio en el siglo XII, como ha mostrado Jacques Le Goff), que aunque graves no significan la separación del ser humano de Dios. ¿Cuáles serían entonces los pecados mortales y veniales de entre los que aquí presentamos? El lector tiene la potestad de elegir, aunque advertimos que el método crítico es uno de los caminos que conduce a lo verdadero, como se verá en el octavo pecado, el acriticismo.

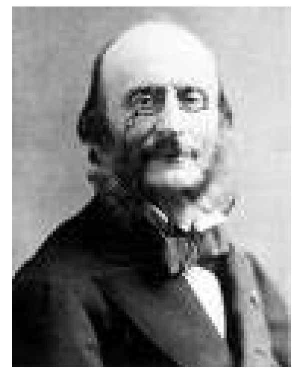
Al final de este trabajo coloqué la bibliografía básica consultada para su realización. Son trabajos de todo tipo de ciencias,(hasta de física cuántica, la literatura o la filosofía) y de todo tipo de autores, de las más diversas tendencias ideológicas, desde Marx a Popper, desde Le Bon a Vidal de la Blanche, o desde Langlois-Seignobos a Bloch y Febvre. Con esta apertura creo haberme curado de otros males que corroen a los historiadores, el dogmatismo y la ortodoxia, palabras que designan posturas más cercanas a la religión que a la ciencia. Es que la pasión ideológica ciega a los más sabios, nos recuerda en su obra **Sor Juana Inés de la Cruz o las trampas de la fe** (1982) el mexicano Octavio Paz (1914-1998).

Quiero expresar que muchas de las ideas aquí expuestas las he oído y comentado de labios de los doctores Federico Brito Figueroa y Reinaldo Rojas en las diversas clases que dictan y dictaron en los posgrados de Enseñanza de la Historia y de Historia que tienen por escenarios el Instituto Pedagógico Barquisimeto "Luis Beltrán Prieto Figueroa" y la Universidad Centroccidental "Lisandro Alvarado" en convenio con la Fundación Buría, y que se han nutrido con las aportaciones, la contrastación de ideas y de enfoques con los colegas y amigos M.E Luis Eduardo Mora Santana (Cartografía geohistórica), Dra. Dulce Marrufo (Inmigración), M.Sc. Arnaldo Guédez (fundación de villas, pueblos y ciudades), Dr. Diógenes Molina (Iconología e imagen), Dr. Manuel Carrero (el problema de la Nación), M.Sc. Carlos Jiménez (Educación y postmodernidad), Esp. Héctor Torres (Historia de la economía), Dra. Yajaira Fréites (Historia de la ciencia y de la técnica), Dr. Pascual Mora (Historia de la educación y de la pedagogía), Dra. Belín Vázquez (Historia regional), M.E. Yolanda Aris (Historia de la educación), M.E. Magali Pérez (Historia de la educación), los médicos M.Sc. Segundo Ceballos y Federico Arteta, (historiadores de las Instituciones médicas), el periodista M.Sc. Larry Camacho (Historia de la sociabilidad y la imagen), veterinario M.Sc. Naudy Trujillo Mascia (Historia de la sanidad animal), M.E. Neffer Alvarez, (Historia de los institutos educativos religiosos), M.Sc. Armando González (Villas, pueblos y ciudades), M.E. Jorge Pérez (Historia de la enseñanza de la historia), M.E. Regina Tavares (Historia de la inmigración), Dr. Kaldone Nweid (Relaciones internacionales), Dra. María Rodríguez (Historia de la cultura), M.E Luis Saavedra (Filosofía de la educación), así como a un centenar de participantes de las dos maestrías que han pasado por nuestras manos, de los cuales no trato de mencionar alguno de ellos para no cometer el error de olvidar el resto. Como podrá inferirse, las opiniones e ideas aquí expuestas no me pertenecen por completo, sino que son patrimonio intelectual de la **comunidad discursiva** que tiene por asiento la ciudad de Barquisimeto, estado Lara, Venezuela.

Primer pecado: Anacronismo.

"La crítica escéptica del anacronismo histórico
probablemente es hoy la principal manera en
que los historiadores pueden
demostrar su responsabilidad pública".

Eric Hobsbawm,1994.



Jacques Offenbach

Que no es otra cosa que ver el pasado con ojos del presente. El historiador francés Lucien Fevbre nos dio un magnífico ejemplo para comprender este primer pecado: "Anacronismo es darle un paraguas a un Diógenes y una metralleta a Marte. O, si se prefiere, es introducir a Offenbach (compositor francés de operetas) y su *Belle Hélêne* en la historia de las ideas religiosas o filosóficas, donde quizá no tuviera nada que hacer…". El paraguas, un invento que como sabemos se produjo muchos siglos después y que tanta significación le da al recoleto siglo XIX. Cosa semejante sucedió a quien escribe estas líneas. Una vez inauguraron en Carora, Venezuela, un hotel con el nombre de "El Conquistador" y alguien realizó en una de sus paredes un mural con varios de estos personajes a la orilla de una playa. Uno de los conquistadores otea el horizonte con un telescopio, instrumento que, como sabemos, se debe al genio de Galileo Galilei, físico y astrónomo del siglo XVII. ¿Que un siglo es una diferencia muy pequeña? Quizás, pero que Galileo lo haya construido en 1609 y los conquistadores españoles usado en, digamos, 1569, es poco menos que un verdadero disparate colocar en uso ese instrumento óptico ¡50 años antes de su invención!

Un historiador caroreño, el doctor Ambrosio Perera (1904-1983) sostiene que el repoblador de la ciudad en 1572, Juan de Salamanca era muy católico, como distinguiendo su particular condición de creyente, cuando en realidad **todos** los hombres y mujeres del siglo XVI eran fervientes católicos, pues otras opciones de pensamiento aún no se vislumbraba en el horizonte histórico. No podía ser de otra manera en "*el siglo que quiere creer*", según la expresión de Lucien Febvre. Anacronismo es también llamar a los conquistadores

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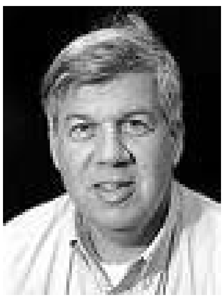
del siglo XVI europeos, pues Europa todavía no existía como entidad política; Europa es, según Eric Hobsbawm (1917), una invención posterior, el siglo XVII. Este historiador británico marxista propone dar el nombre de cristianos a los “europeos” del siglo XVI. Sin embargo, Marc Bloch dice que en la Edad Media se empleaba ya (así lo sentía de manera más o menos oscura un cronista español) la palabra europeo para designar a los francos de Carlos Martel, victorioso del Islam en el siglo VIII.

El malogrado geólogo, paleontólogo y filósofo de la ciencia Stefan Jay Gould (1941-2002) nos refiere que “los paleontólogos reconstruimos de acuerdo a nuestros prejuicios y a nuestras imágenes estándares”. Lo dijo a propósito de la reconstrucción del escultor londinense Waterhouse Hawkins (1807-1889) de *Labyrinthodon*, un anfibio temprano. “Nosotros sabemos ahora, dice Gould, que este animal era elongado, con cuatro patas aproximadamente iguales. Pero Hawkins, que tuvo poco más que un cráneo para guiarse en su trabajo, reconstruyó el animal según los cánones de los anfibios de nuestro tiempo- como una rana, con poderosos muslos para saltar y un cuerpo acortado. Por esta razón, nos dice este extraordinario divulgador estadounidense de la ciencia, la crónica de las restauraciones cambiantes de las bestias fósiles se convierte también en una representación fascinante de nuestra historia social e intelectual. El juego entre estos dos factores – el empírico externo y el interno social – encierra la dinámica central del cambio en la historia de la ciencia”.



Stephen Jay Gould

Hay sin embargo un nuevo tipo de anacronismo que nació casi desde que se escribió la primera novela gótica de ciencia ficcionada (y no ciencia-ficción, un horrible anglicismo), me refiero a **Frankestein o el moderno Prometeo** (1818) de Mary Shelley. Es un **anacronismo de signo inverso**, pues no va del presente al pasado, sino que, por el contrario, despega del presente y se proyecta hacia el futuro. Es también el caso de las novelas **1984** de Georges Orwell y **Un mundo feliz** de Aldous Huxley, autores que trasladaron las preocupaciones científicas y políticas de su tiempo: la bomba atómica sobre Hiroshima y Nagasaki en 1945, el inicio de la Guerra Fría y los totalitarismos fascista, nazi y comunista, al que yo agregaría la enorme manipulación de las opiniones que tuvo como iniciadoras a las democracias liberales y capitalistas de Occidente, el Reino Unido y los Estados Unidos, como ha establecido el lingüista estadounidense Noam Chomsky (1928). Describen una sociedad de terror, vigilada al extremo (el Gran Hermano), de hombres y mujeres robotizados, sin decisiones, la muerte del libre albedrío. Este anacronismo de signo inverso como que goza de buena salud, puesto que dos son los componentes del diagnóstico de nuestro tiempo que hace el filósofo alemán de la Escuela de Frankfurt Jürgen Habermas: la pérdida de sentido y la pérdida de la libertad.

Pero volvamos al anacronismo que nos interesa y dejemos estas reflexiones para otra ocasión. Es Lucien Febvre quien nos ilustra mejor este primer pecado de los historiadores cuando afirma que en el siglo XVI no podía haber ateísmo porque tal condición del espíritu humano se la debemos a la Ilustración, al positivismo (y al marxismo), sistemas de pensamiento que son posteriores al siglo XVI. Es que en tal siglo no existían las palabras adecuadas para expresar la incredulidad. Este gran historiador de lo cultural y de la psicología colectiva, lo expresa en su magnífica obra **El problema de la incredulidad en el siglo XVI. La religión de Rabelais,** (1942): “Comenzaremos planteándonos algunas cuestiones de medios, condiciones y posibilidades. Para llegar a lo esencial formularemos un problema en apariencia simple, pero cuyos datos no ha podido reunir nadie para el siglo XVI: se trata del problema del saber qué clarividencia, qué penetración y qué eficacia (a nuestro juicio, naturalmente) podía tener el pensamiento de unos hombres, de unos franceses que, para especular, no disponían todavía en su lenguaje ninguna de esas palabras tan frecuentes hoy en nuestras plumas desde que comenzamos a filosofar y cuya ausencia no es sólo un inconveniente, sino también una deficiencia o una laguna de su pensamiento.” Y a continuación el historiador de la sensibilidad del siglo XVI nos da una lista de las palabras (**utillaje mental**) que faltaban:

François Rabelais
1494 -1553

“Ni *absoluto*, ni *relativo*, ni *concreto* ni *confuso* ni *complejo*, ni *adecuado*; ni *virtual*, que es de los alrededores de 1600, ni *indisoluble*, *intencional*, *intrínseco*, *inherente, oculto*, *primitivo*, *sensitivo*, todas ellas del siglo XVIII; ni *transcendental*, que adornará hacia 1698 (...) ninguna de estas palabras que he tomado al azar (…) pertenecen al vocabulario de los hombres del siglo XVI (…) Y sólo hemos hablado de adjetivos. Pero ¿y los sustantivos? Ni **causalidad**, ni *regularidad*, ni *concepto*, ni *criterio*, ni *condición*, tampoco *análisis*, ni *síntesis* (…) ni *deducción* (que no nacerá hasta el siglo XIX); ni *intuición*, que aparecerá en Descartes y Leibniz; ni *coordinación* ni *clasificación* (palabra de 1787). Agrega este historiador de las creencias y de la religión que tampoco existía la palabra *sistema*, palabra que interesaron a los *racionalistas*. El *Racionalismo* no se bautizará como tal hasta el siglo XIX. O el *Deísmo,* que no iniciará su camino hasta Bousset (siglo XVIII). O el *Teísmo*, que tomará prestado el siglo XVIII a los ingleses…El *Panteísmo* habrá que buscarlo, en la Regencia, en Toland (1670-1722). El *Materialismo* esperará a Voltaire (1734).El *Naturalismo* aparece en 1752. El *Fatalismo* se encuentra La Mettrie (siglo XVIII), el *Determinismo* llegará muy tarde con Kant. El *Optimismo*, con Trévoux, en 1762, y el *Pesimismo* también: pero los *pesimistas* aparecerán hasta 1835. el *Escepticismo*(con Diderot). El *Fideísmo* surgirá en 1838. Y muchos más. *Estoicismo* (La Bruyère), *quietismo*, *puritanismo*,etc. Ninguna de esas palabras estuvo, desde luego, a disposición de los franceses de 1520 a 1550 a la hora de pensar y traducir sus pensamientos al francés. Menciona Febvre otro grupo de palabras (**utillaje mental**) que no era del siglo XVI: *conformista, libertino, Espíritu fuerte, Librepensador, Tolerancia, tolerantismo, intolerancia, Irreligioso, Controversia*. Tampoco tenían palabras para designar *observatorio*, *telescopio, lupa, lente, microscopio, barómetro, termómetro, motor, ni órbita, elipse, parábola, revolución, rotación, constelación o nebulosa*. Ahora podremos entender la razón por la cual el autor de **Lutero. Un destino** (1927) escribió con una rotundidad notable: "**el mayor de los pecados, el más imperdonable: el anacronismo**."

Nuestro homenajeado, el historiador Eric Hobsbawm, nos advierte que "El anacronismo y el provincianismo son dos de los pecados mortales de la historia, y ambos se deben en la misma medida a un desconocimiento absoluto de cómo son las cosas en otros lugares, ignorancia que incluso la lectura ilimitada y el poder de la imaginación sólo pueden superar en ocasiones contadas. El pasado sigue siendo otro país. Sus fronteras únicamente pueden cruzarlas los viajeros".

Debemos dejar sentado que es muy difícil distanciarse suficientemente de las categorías por la que una sociedad presenta su experiencia y se sitúa con respecto a las demás. Los historiadores, en particular los que estudian la Revolución Francesa de 1789, saben que en cada época se nos propone una visión del pasado, que forma parte de las conductas sociales del presente. Un libro extraordinariamente importante para entender lo que acabo de decir lo constituye **Historia y verdad** (1974), obra del filósofo polaco Adam Schaff. Muchísimo se ha escrito sobre esta enorme conmoción social de fines del siglo XVIII desde diversas perspectivas temporales y de pensamiento, por lo que Schaff llega a admitir que cada época recrea a su manera y en una maraña de interpretaciones dispares la Revolución Francesa. El sociólogo francés Alain Touraine (1925) plantea, por ejemplo, que a los principios de "*libertad, igualdad y fraternidad*" de la Revolución Francesa de 1789, habría que agregar en el presente un cuarto principio: *"laicidad"*. Lo que ha sucedido es que tanto la Revolución francesa de 1789 como la rusa de 1917 seguirán por mucho tiempo provocando división de opiniones.

Segundo pecado: **Creerse historiador sin serlo**.

"Les guste o no les guste, los historiadores
profesionales producimos
la materia prima para que
los no profesionales la usen bien o mal".

Eric Hobsbawm, 1994.

Decía Lucien Febvre, fundador de la Escuela de Los Anales con Marc Bloch en 1929, y quien se especializó en la historia cultural del siglo XVI, que: "el historiador no es el que sabe. Es el que investiga". Hay personas muy memoriosas que se saben y conocen de cabo a rabo el **Diccionario de historia de Venezuela** de la Fundación Polar, y esa circunstancia los hace aparecer como historiadores. Estas bien intencionadas personas, si bien pueden impresionar a los incautos, no saben o no comprenden que el historiador se fragua en su taller o en su **banco de artesano**, expresión que muy adecuadamente empleó Marc Bloch. Los docentes de aula pasan por ser historiadores sin serlo, pero lo que es más grave es que leen textos escolares y muy pocas veces a los verdaderos historiadores en sus obras y no refritos o pastillitas de los textos o de internet. El libro de texto le ha hecho mucho daño a la enseñanza de la ciencia de la historia en nuestras escuelas, liceos y universidades. "Es la preponderancia del triste manual en nuestra producción de lectura corriente, en que la obsesión de una enseñanza mal concebida sustituye a la verdadera síntesis", ha escrito Bloch. El historiador no se hace sólo en las bibliotecas, sino también en los archivos. En sus viajes, en sus vivencias y en su edad. El búho de Minerva (la sabiduría) emprende su vuelo al atardecer (de la vida). Así lo comprendió nada más y nada menos que Emmanuel Kant (1724-1804), filósofo cumbre de la Ilustración.

Emmanuel Kant

Marc Bloch decía en 1942, al final de su vida: "Porque hay una precaución que los detractores corrientes de la historia (Paul Valéry decía en 1931 que la historia es "el producto más peligroso elaborado por la química del intelecto") no han tomado en cuenta. Su palabra no carece ni de elocuencia ni de *esprit*. Pero, por lo general, han olvidado informarse con exactitud de lo que hablan. La imagen que tienen de nuestros estudios no parece haber surgido del taller. Huele más a oratoria académica que a gabinete de trabajo". Es que la labor del historiador está cargada de "humildes detalles en sus técnicas, pero la historia no es lo mismo que la relojería o la ebanistería", nos advierte Bloch, quien agrega: "Es un esfuerzo por conocer mejor; por lo tanto una cosa en movimiento. Limitarse a describir tal como se hace será siempre traicionarla un poco. Es mucho más importante decir cómo espera lograr hacerse progresivamente.”

Los aficionados a la historia -que son legión- creen, como los positivistas del siglo antepasado, que la historia se remite a establecer cadenas explicativas de causas y efectos, que las hipótesis surgen automáticamente del estudio de los “hechos”, dan por sentado que la erudición científica puede determinar el texto, y que la sujeción de los documentos determinan la verdad definitiva de la historia. Una disciplina que, como se ve, estaba deliberadamente atrasada, dice Eric Hobsbawm, quien agrega: “Sus aportaciones a la comprensión de la sociedad humana, pasada y presente, eran insignificantes y accidentales”. Pero es notable que en nuestro país ni siquiera se llegaron a aplicar tales metodologías sino en el siglo XX, pues la *historia romántica*, como la cultivó y escribió Eduardo Blanco (1838-1912) en **Venezuela heroica** (1881), símbolo literario del culto a la Patria, ha tenido una enorme difusión y ha despertado un entusiasmo colectivo hasta los días que corren. En el primer tercio del siglo XX arremetió el historiador positivista Laureano Vallenilla Lanz (1870-1936) contra lo que llamó los **viejos conceptos**, que no eran otros que los del romanticismo literario, divorciado, a su entender, de la metodología de la ciencia natural. En **Disgregación e integración** (1930) sostiene que hay dos constituciones, una de papel, y otra, la real y efectiva del pueblo venezolano, y hace un alegato notable por la construcción de una historia científica en el país bajo el paradigma positivo establecido por Ernest Renan, Hippolyte Taine, Charles Seignobos, Gustave Le Bon, Charles Langlois, historiadores a los que conoció e interpretó, pues en calidad de oyente asistió en París a la Universidad de la Sorbona y al Collège de France.

Como habrá notado el lector, no conoció Vallenilla Lanz la fisura enorme que se produjo en el positivismo y la enorme revolución conceptual que tuvo lugar en el hacer histórico cuando en 1900 el filósofo Henri Berr (1863-1954) propuso la ampliación del objeto de la historia a la sociedad, a la economía y la cultura. Advirtió que los historiadores no reflexionan sobre los fundamentos profundos de su trabajo (…) problema que, según Aróstegui, aun sigue de pie. “Al historiador -agrega- no se le atribuyó nunca la necesidad de una formación filosófica, un conocimiento conveniente de otras disciplinas cercanas, ni una formación científica específica. El oficio se dirigió siempre hacia la mejora del tratamiento de los documentos”. En España esa formación es absolutamente insuficiente, además de inadecuada y, desde luego, culposa por parte de quienes diseñan y toleran los planes de estudios existentes, nos dice este autor. Henri Berr es de tal manera una especie de puente entre la historiografía metódico crítica del siglo XIX y la Escuela de los Anales que será fundada en la Universidad de Estrasburgo, Francia, por Marc Bloch y Lucien Febvre en 1929, constituyéndose desde entonces en el tercer hito de la historiografía, luego del positivismo y el marxismo.

Laureano Vallenilla Lanz
1870 - 1936

Nuestro Marc Bloch recibió una formación admirable, nos dice Georges Duby, pues fue alumno de Seraglio, disponiendo de todas las ayudas, había hecho tres descubrimientos. El de la lingüística, que afinaban entonces sus prácticas y que lo orientó hacia el método comparativo. El de la ciencia histórica alemana, que Bloch no cesó de interrogar después de su estadía en Berlín y en Leipzig el año académico 1908-1909 y que constituyó el campo más seguro de todas sus confrontaciones. Es en Alemania, sin duda, que Bloch se afirmó en su posición con respecto a las técnicas eruditas, posición respetuosa y sin embargo muy distante, establecida sobre la convicción de que la erudición no es más que la mejor de las herramientas que se desperdicia cuando gira en el vacío, como lo dice él, y que el verdadero trabajo del historiador se sitúa más allá del simple tratamiento de las fuentes-esta actitud feliz que lo hizo más tarde confiarse con tanta facilidad- en las investigaciones de otros para sacar de allí con qué construir sus propios edificios y fundar, con una sorprendente virtuosidad, lo más sólido del prodigioso monumento que es **La sociedad feudal**, a partir de algunos indicios recogidos en los archivos de su juventud y a partir del abundante material que había recopilado Guilhiermoz. El último y mayor descubrimiento: el de la sociología de Durkheim (**El suicidio: un estudio sociológico,** 1897, **Las formas elementales de la vida religiosa,** 1912, una sociología de la conciencia colectiva, la moralidad y la religión) y de la geografía de Vidal de la Blanche, (**Atlas general: historia y geografía,** 1898, **Cuadro de la geografía de Francia**, 1903, obras en donde adversa el determinismo geográfico y apoya el posibilismo y el historicismo, y que sitúa el espacio geográfico en un cuadro histórico-cultural) “quienes dejaron en los estudios históricos de comienzos del siglo XX una huella incomparablemente más profunda que la de cualquier otro especialista…” Estas influencias explican la estrecha imbricación entre geografía, economía y antropología en la historiografía francesa, una imbricación que se pone en movimiento, dice Iggers, con la discusión sobre el método, en oposición a la insistencia en el estado, la administración y el derecho, propia de la tradición alemana, incluso de Max Weber.

Debe entenderse, en consecuencia, que el verdadero historiador debe ser geógrafo, jurista, sociólogo, psicólogo, lingüista, semiólogo, “que no debe cerrar los ojos ante el gran movimiento que transforma las ciencias del universo físico", como decía Febvre, tales como la relatividad, la mecánica cuántica, el Principio de Incertidumbre, la ciencia del caos, los Teoremas de Gödel, las teorías de la complejidad, la cibernética, la teoría de las catástrofes, la clonación, la telemedicina, las células madres, los fractales, la resonancia mórfica, la teoría de los psitrones, la lógica borrosa, la gestalt, el Principio Antrópico, el big bang, la flecha del tiempo, la fuerza débil, los agujeros negros, los agujeros de gusano, la teoría general de sistemas, el principio de complementaridad, las supercuerdas, los quarks, el Teorema de Bell, entre otros.

Tercer pecado: Vacilar entre la ciencia y el relato.

"Si en una novela Napoleón volviese
vivo de Santa Elena,
quizá sería literatura,
pero no podría ser historia".

Eric Hobsbawm, 1994.


Leopold von Ranke
1795 - 1886

Conozco historiadores formados en Europa y con títulos doctorales que siguen pensando que nuestra disciplina no es ciencia, creación esta última del espíritu humano demasiado prominente y por tanto una condición a la que no tiene acceso la humilde disciplina de la historia, sostienen. Pobre de Leopold Von Ranke (1795-1886) quien ocupó buena parte de su larga existencia a construirla, y que a más de 150 años aún se ignoran sus esfuerzos. Pero la cosa no es tan simple y por ello se presta a equívocos. Lucien Febvre (1878-1956), por ejemplo, nos dice que "la historia es un estudio elaborado científicamente, y no como ciencia." Quiso decir que la historiografía no sería una ciencia pero sí un estudio científicamente elaborado. "El trabajo del historiador, sostiene Julio Aróstegui, es un conjunto de actividades no arbitrarias, ni meramente empíricas, subjetivas y ficcionales. Es una actividad tendente a establecer conjeturas sujetas a unas reglas o principios reguladores, es decir a un *método*. Ello se debe a que la historia requiere el rigor metodológico de los procedimientos de la ciencia. El historiador además trata de buscar para los procesos históricos explicaciones demostrables, intersujetivas, contextualizables, como los de la ciencia. Sus resultados ni son teorías de valor universal ni puedan establecer predicciones. Existen aproximaciones científicas que concluyen no en leyes o teorías sino en el descubrimiento de tendencias probabilísticas." Es una ciencia, pero de otra manera, tal como lo propuso en la Universidad de Berlín desde 1810 Ranke y que se expresa en su **Historia de los pueblos románicos y germánicos**, (1824), primera obra de la historiografía escrita con criterio científico en el tratamiento de los documentos, y en donde apareció por vez primera aquellas palabras que se han hecho clásicas, el espíritu con el que se había escrito el libro: "A la historia se le ha asignado la tarea de juzgar el pasado, de instruir el presente en beneficio de las edades futuras. Este trabajo no aspira a cumplir tan altas funciones. Su objeto es sólo mostrar lo que de hecho ocurrió".

Como disciplina científica, la historia tenía desde un principio, mucho en común con otras ciencias, también con las ciencias naturales, tal como venían surgiendo desde el siglo XVII, siglo de las grandes revoluciones científicas modernas con Galileo, Newton, Kepler, Boyle-Mariotte, si bien los historiadores no han dejado nunca de subrayar la diferencia que separa su ciencia de las ciencias naturales Sin embargo Ranke pensaba que la historia no dejaba de ser también un arte y no nos sorprenda que el historiador alemán Teodor Mommsem se haya hecho merecedor del Premio Nobel de Literatura en 1902. Soy del criterio de que la ciencia histórica tiene sus inicios cuando el monje Mabillón, armado de la *duda cartesiana*, publicó en 1681 **De re diplomática**, verdadero inicio de la crítica del documento en los tiempos modernos. Marc bloch nos dice que: "Aquel año-1681, el año de la publicación de *De re diplomática*, en verdad gran fecha en la historia del espíritu humano-, fue definitivamente fundada la crítica de los documentos de archivo".

En Francia fue la sociología, dice Iggers, la que conducía el combate contra la investigación histórica universitaria tradicional (positivista). El sociólogo Emile Durkheim negó en 1888 a la historia el rango de ciencia social, precisamente porque se ocupaba de lo especial y, por ello, no podía llegar a afirmaciones generales, empíricamente comprobables, que constituían el núcleo del pensar científico. A lo sumo, la historia podía ser una ciencia auxiliar que proporcionara información a la sociología. Pero un gran cambio vendría poco después cuando se produjo la ampliación del objeto de la historia a la sociedad, a la economía y el acercamiento de la historia a las ciencias sociales, tal como lo planteó desde la revista **Revue de synthèse historique** en 1900 el filósofo Henry Berr. Desde este momento se llegó al convencimiento de que una ciencia histórica moderna debía ocuparse más de la sociedad, y al mismo tiempo, empezar a intimar más con los métodos sociocientíficos, dice Iggers.

Y fue a fines del siglo XIX y comienzos del XX cuando Wilhelm Dilthey propuso un nuevo tipo de ciencias, las que llamó *ciencias del espíritu*, distintas en objetos y métodos a las ciencias naturales, éstas últimas hoy llamadas ciencias duras. Es por ello que el germano-norteamericano Georg Iggers (1926) dice que la historia "se constituyó en el siglo XIX en "disciplina" y empezó a llamarse "ciencia histórica", diferenciándose del concepto más antiguo de "historiografía". Es cierto que la historia, por una parte, se distanciaba del objetivo cognitivo de otras ciencias, esto es, el de

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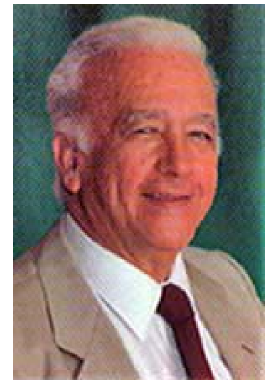
formular regularidades -o al menos modelos de explicación concluyentes- y subrayaba los elementos de lo singular y de lo espontáneo, los cuales exigían a la historia, como ciencia cultural, una lógica especial de investigación, encaminada a entender las intenciones y los valores humanos. Se trata de *Geisteswissenchaften*: ciencias culturales o ciencias humanas, que sugieren que es posible el conocimiento intuitivo. La autodefinición de la historia como disciplina científica, agrega Iggers, significaba para el trabajo profesional del historiador una rigurosa separación entre el discurso científico y el literario, entre los historiadores profesionales y los aficionados".

La historia ha debido enfrentar desde siempre una competencia que no es desleal, ni mucho menos: el de la literatura. La materia plástica de la literatura, nos dice el autor de **El otoño de la Edad Media** Johan Huizinga, (1872-1945) ha sido y es en todos los tiempos un mundo de formas que es, el fondo, un mundo histórico. Lo que ocurre es que la literatura puede manejar esa materia sin someterse a los postulados de la ciencia", Vale decir, la odiosa cita a pie de página. En Venezuela tenemos a un célebre escritor de ficción y de historia enemigo declarado de las citas a pie de página: don Mariano Picón Salas,(1901-1965), a las cuales calificó de "ídolo universitario". Estas son sus palabras: "Se llega a escribir- y es un peligro de la Universidad moderna- para otros catedráticos o para llenar aquella hoja de figuración y merecimientos con que se asciende en la carrera profesoral. Hay por ello cierto *idola Universitatis* que no conoció Bacon, y hay estudios eruditos que de puro perfectos eliminaron la personalidad y sensibilidad del investigador. Por eso más que el ciego acarreo del dato me interesó su tipicidad, y a la página plagada de citas preferí, de acuerdo con mi temperamento, lo que revelaba no sólo un esfuerzo de transmitir noticias, sino lo que es humanamente más urgente: entenderlas."

Y el caroreño Guillermo Morón, primer venezolano en conseguir hacerse Doctor en Historia (Madrid,1954) , ahora reconocido autor de ficciones dice: "La literatura es todo, solamente que yo diferencio la literatura historiográfica, donde se amarra la imaginación y hay que atenerse a los documentos y al estudio profundo de la Historia sin mucha imaginación (…) en cambio en la literatura de ficción, el cuento, la novela, la fábula, ahí hay que soltar la imaginación (…) en todo caso la literatura necesita soltar la imaginación (…)" Acá disentimos del autor de la novela **El gallo de las espuelas de oro**, pues afirmo que la historia científica también requiere de mucha imaginación, como **todas** las ciencias. Guillermo Morón cuando se refiere a la historia se hace eco de Ranke, cuando el llamado "príncipe de los historiadores alemanes" cuando descubrió por comparación la diferencia entre los retratos de Luis XI y de Carlos el Temerario y que hizo época en su vida; en su ancianidad dijo Ranke: "Descubrí por comparación que la verdad era más interesante y hermosa que la ficción. Me desvié de ésta (la ficción) y decidí evitar toda invención e imaginación en mis trabajos, y sujetarme a los hechos." Por ello es que he afirmado que el Dr. Morón (1926) es un destacado representante en Venezuela del "historicismo alemán" o también llamado "historicismo clásico" del siglo XIX, que considera la historia como una disciplina que estudia lo particular, si bien continúa convencido de que la exposición histórica debe seguir unos criterios literarios, concepción de la historia que tanta acogida y entusiasmo levantó en la España de la dictadura de Francisco Franco (1936-1975). Pero antes de irse de beca a España, el joven profesor de historia egresado del Instituto Pedagógico de Caracas había escrito y publicado cuentos, poemas, así como un relato de historia novelada **Nuestra Señora de la Madre de Dios de Carora.**

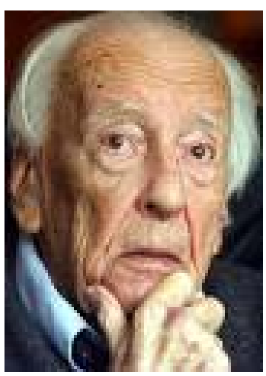


Guillermo Morón
08-02-1926

El medievalista francés George Duby (1919-1996), en su obra **Europa en la Edad Media** (1979) escribe: "Imaginemos. Es lo que siempre están obligados a hacer los historiadores. Su papel es el de recoger los vestigios, las huellas dejadas por los hombres del pasado, establecer, criticar escrupulosamente un testimonio. Pero esas huellas, sobre todo las que han dejado los pobres, la vida cotidiana, son ligeras y discontinuas. Respecto a tiempos muy lejanos como estos de aquí se trata, son rarísimas. Sobre ellas se puede construir un armazón, pero muy endeble. No tenemos más remedio que imaginar la Europa del año mil".

Sigamos hablando de "*la loca de la casa***"**, la imaginación. Los paleontólogos Christopher Stinger del Museo de Historia Natural de Londres y Peter Andrews del Grupo Orígenes Humanos de ese mismo Museo, por ejemplo, dicen que "los hechos materiales por sí solos están muy desvirtuados por un registro fósil en gran medida dependiente de la casualidad. Gran parte de las características que parecen distinguirnos esencial e irrevocablemente de nuestros parientes primates más próximos forman parte de los patrones de conducta, preservados en el registro fósil con muy poca frecuencia, o incluso nunca. Estas características deben ser reconstruidas a partir de nuestra pequeña, aunque creciente, provisión de material físico, minuciosamente examinado y descrito con la ayuda de las tecnologías más sensibles, e interpretando en la movediza frontera donde se integran un cáustico escepticismo y una **imaginación abierta**". En otros casos, como en las llamadas ciencias duras como la Teoría de la Relatividad y la Física cuántica, así como las Supercuerdas o el Teorema de Bell, por ejemplo, son unos alardes de imaginación. Estos físicos son más que científicos unos filósofos. Y no olvidemos que el sociólogo estadounidense Wright Mills (1916-1962), quien nos habló de la *inmoralidad superior* de la sociedad estadounidense, escribió en 1959 nada más y nada menos que **La imaginación sociológica.** Es que la manera de pensar científica es *imaginativa y disciplinada al mismo tiempo*. Esta es la base de su éxito, nos recuerda Carl Sagan, premio de la Academia Nacional de Ciencias de los EEUU.

La **hermenéutica** o interpretación de un texto del pasado requiere de mucha imaginación. El intérprete no puede entender el contenido semántico de un texto mientras no sea capaz de representarse las razones que el autor podría haber aducido en las circunstancias apropiadas, dice Jürgen Habermas. Pero puede ocurrir que entendemos un texto recibido merced a las expectativas de sentido que nacen de nuestro propio conocimiento previo de la cosa. Es acá cuando Hans Georg Gadamer (1900-2002), autor de **Verdad y método** (1960), utiliza la imagen de *horizontes que se funden*, es decir que en el proceso de comprensión, contrafácticamente superador del tiempo, el autor (ubicado en el pasado y que supiera cómo es nuestro proceso de interpretación acá, en el futuro) tendrá que liberarse de su propio horizonte contemporáneo, del mismo modo que nosotros ampliamos nuestro propio horizonte cuando como intérpretes nos introducimos en su época. Sin embargo, dice Habermas, Gadamer piensa que el saber encarnado en el texto es un principio superior al del intérprete, por lo que permanece prisionero de la experiencia del filólogo que se ocupa de textos clásicos. Para Gadamer, como para Paul Ricoeur (**Tiempo y relato,** 1983) ningún texto puede ser comprendido tal como fue pensado.



Hans Georg Gadamer
1900 – 2002

Pero cuando se trata de testimonios, los documentos, aún los más claros en apariencia y los más complacientes no hablan sino cuando se sabe interrogarlos, dice Bloch tomándole la palabra a Droysen, historiador alemán del siglo XIX, y que nuestro Marc Bloch ha debido estudiar durante su pasantía en el país germano entre 1908 y 1909. No todas las preguntas se le pueden hacer a un texto del pasado, pues tienen que ser las apropiadas. Una vez un participante de posgrado me dijo que se interesaba en mi Línea de investigación, las mentalidades. Yo le pregunté sobre su tema-problema, a lo que respondió que se interesaba en las ideas y las formas de pensar de los negros esclavos del Valle del Río Turbio de Barquisimeto en el siglo XVIII. Medité antes de contestarle que aquello no era posible, porque los esclavos dejaban pocos o casi ningún testimonio escrito de sus inquietudes personales. En todo caso -y en esto me ayudó el Profesor M.Sc. Arnaldo Guédez- le dije al joven que los registros de los esclavos se remiten a las observaciones de cantidad, peso o estado de salud de la mano de obra esclava que anotaron los blancos criollos esclavistas o sus mayordomos de sus haciendas.

En un documento de 1585, **Constituciones y ordenanzas de la Cofradía del Santísimo Sacramento** de Carora estudiada por quien escribe, encontré repetidamente las palabras *orden y obligación*, las cuales se repiten reiterativamente (y unidas) 14 veces en el texto. Aquello no lo pude entender hasta que repasé un libro del malogrado Angel Rama (1926-1983) titulado **La ciudad letrada,** quien nos dice que eran palabras claves del discurso del siglo XVI. Se trata de la ciudad escritural, pues el imperio español era una gigantesca construcción en escritura basada en el orden y en la obligación. Pero los silencios también le dicen mucho al investigador. Así entré en cuenta que en las **Constituciones** faltaba una palabra religiosa clave para entender el siglo XVI, esto es, la palabra sin base bíblica *Purgatorio* (pues nació en el siglo XIII en la Isla de Francia) y que está ligada a la vida de ultratumba, un tercer lugar distinto al cielo y al infierno que modificó la geografía del más allá, dice Jacques Le Goff. ¿Todo este hacer interpretativo y de imaginación puede recibir un nombre distinto al de ciencia? Me resisto a creer que no.

Pero, con todo, la ciencia debe saber expresarse con elegancia y belleza. Veamos un ejemplo notorio y paradigmático en los trabajos de Albert Einstein en 1905, que anuncian la llegada triunfal de la teoría de la relatividad: "su lenguaje es ahorrativo, cauto, claro y sin un ápice más de complicación que la necesaria. Su aire desinteresado, su circunspección y modestia son agradables", dice Sagan. Cada ciencia, escribe Bloch, tiene su propio lenguaje estético, quien más adelante agrega: "Los hechos humanos son esencialmente fenómenos muy delicados y muchos de ellos escapan a la medida matemática. Para traducirlos bien y, por lo tanto, para comprenderlos bien (¿acaso es posible comprender perfectamente lo que no se sabe decir?) se necesita gran finura del lenguaje, un color adecuado en el tono verbal. Allí donde es imposible calcular se impone sugerir". Georges Duby (l919-1996) dice que los escritos terminados de Bloch nos parecen hoy demasiado preciosos, demasiados monótonos en su preciosidad. En las grandes obras de Bloch, Febvre, Fernand Braudel, Georges Duby, Jacques Le Goff, Emmanuel Le Roy Ladurie, Robert Mandrou, Michel Vovelle, Francois Furet y otros, los historiadores de los *Annales* lograron algo que sus colegas alemanes y franceses por lo general no conseguían, a saber, el unir la cientificidad rigurosa con la buena literatura y ganarse la aceptación de un amplio público.

Lucien Febvre escribió su **Martín Lutero. Un destino** (1927) casi como una novela en torno a un personaje atormentado por la duda y el temor a la condenación eterna; en tanto que **Los reyes taumaturgos** (1924) de Bloch está como atravesado por una fina ironía y de un escepticismo que delata su origen étnico hebreo. Bloch solía decir que "estos productos (los documentos) de una labor desigual, hay que clasificarlos, ordenarlos, compararlos los unos con los otros", a lo que agrega Duby: "y luego construir con ese material las capillas sixtinas de la historia", una de las obras de arte supremas hechas por la humanidad en la que en los que los relatos o escenas individuales no están apiladas unas encima de otras hacia lo alto precisamente porque se encuentran en una esfera irreal en lo alto de una arquitectura ficticia. Esta magnifica estratagema (artimaña la llama Gombrich) de Miguel Angel en lo pictórico, sugiero yo, ha de constituirse en una búsqueda constante en la manera de presentar el discurso histórico, que es en el fondo una forma de literatura. Es el problema de la expresión. Recordemos con Paul Ricoeur (1913) que las descripciones y redescripciones del mundo y del yo dentro de los cuales habitamos son, de hecho, construcciones de tipo eminentemente "artístico".

El carácter narrativo de la historia desde Tucídides hasta Ranke, desde César hasta Churchill, ha sido determinado por tres premisas, dice Georg Iggers. La primera: la exposición histórica describe a personas que existieron realmente y acciones que realmente tuvieron lugar, y debe corresponder a esa realidad, es decir, debe ser verídicas. Segundo: la exposición sigue estas acciones en su sucesión diacrónica, es decir, sólo conoce un tiempo unidimensional, en que los sucesos posteriores sigue a los anteriores y se hacen comprensibles gracias a éstos (véase el octavo pecado, el cronologismo). Tercero: presupone que las acciones humanas reflejan las intenciones de los que actúan (acción intencional). Son precisamente estas premisas las que, en los profundos trastornos del siglo XX, se han ido poniendo paulatinamente en tela de juicio. Destaquemos el llamado "giro lingüístico" tal como lo formuló Lawrence Stone, el fin de la creencia de que sea posible la explicación científica coherente de las transformaciones del pasado, según sostiene este representante de la llamada "derecha histórica" británica. Otro son las teorías posmodernas que van más allá de Stone, que defienden la opinión de que toda coherencia es sospechosa. La idea fundamental de la teoría historiográfica posmoderna consiste en negar que la historiografía haga referencia a la realidad. Así, Roland Barthes (1915-1980) y Hayden White subrayan que la historiografía no se diferencia de la poesía, sino que ella misma es poesía. White sostiene que las fuentes pueden establecer los hechos, pero toda concatenación de los mismos para obtener una visión global y coherente es determinada por apreciaciones estéticas y morales, no científicas. Las narraciones históricas manifiestamente son ficciones lingüísticas (verbal fictions), cuyo contenido resulta tanto de la *invención* como del *hallazgo* y cuyas formas presentan más puntos en común con sus equivalentes en la literatura que con los que puedan tener con la ciencia. (**Metahistoria. La imaginación histórica en la Europa del siglo XIX,** 1990).

Estas ideas tan polémicas y que han sido el preludio de un intenso debate en las últimas décadas que no se ha cerrado, tiene que ver con una preocupación por la significación de la Historia como forma del lenguaje literario escrito, escribe Aróstegui. La Historia, dicen los posmodernistas, no se distinguiría sustancialmente del *relato* literario de ficción. Es White quien la introduce y mantiene fundamentalmente esta manera de ver original del *new criticism* americano. Para sostener su tesis extrae elementos de la historiografía del siglo XIX y que va de Hegel a Croce, pasando por Michelet, Ranke, Tocqueville, Burckhardt, Marx y Nietzsche, reunidos todos bajo el apelativo de "la imaginación histórica en la Europa del siglo XIX". La elaboración historiográfica no se diferenciaría de la que prepara un relato de ficción, una novela en la que pueden contarse sucesos "reales" pero donde el criterio de "verdad" no juega absolutamente papel alguno. La escritura de la Historia es una forma más, por tanto, de la escritura de ficción. La escritura de la Historia es tanto una ficción como un "hallazgo", dirá White. Contar "una buena historia" y contarla bien, con buen estilo literario, tal es la clave. Más importante sería entonces la *interpretación* y no la realidad objetiva, todo lo cual tiene, digo yo, un claro sabor nietzschiano. El llamado *deconstruccionismo* sostiene que el texto es un discurso cerrado en sí mismo y, en consecuencia, no puede tener como referencia una realidad externa a él. Esta idea acaba, como puede verse, con el concepto de *documento* tal como fue cuidadosamente elaborado desde la aparición de la ciencia historiográfica en el siglo XIX. Estas posiciones posmodernistas –hay que advertirlo- han derivado en forma de filosofía de la historia y, en consecuencia, carecen de cualquier posibilidad de orientar una práctica investigadora y ni siquiera la práctica discursiva. Eric Hobsbawm dice que "Cuando una persona inocente es juzgada por asesinato y desea probar su inocencia, lo que requiere no son técnicas del teórico "posmoderno", sino del historiador de la vieja escuela".

Cuarto pecado: **Determinismo**.

"El materialismo histórico se calificaba habitualmente
-a veces incluso por parte de los marxistas-
de "determinismo económico"

Eric Hobsbawm, 1994.

Fueron los positivistas los que empeñados en trasladar las leyes de la naturaleza a la sociedad los que crearon los determinismos de medio físico (Friderich Ratzel, **Antropogeografía,** 1882, y Carl Ritter, **La geografía en relación con la naturaleza y el hombre**, 1817-1859) y el determinismo de raza (Joseph Arthur Gobineau, **Ensayo sobre la desigualdad de las razas humanas**, 1853). El autor de **Vida de Jesús,** Auguste Renan declara a menudo que los judíos representan la religión como los griegos el intelecto, una tradición que se trasmite como los caracteres genéticos en el mundo natural. El escritor e historiador positivista venezolano Laureano Vallenilla Lanz le toma la palabra a Gustave Le Bon para decir "Las pasadas generaciones han desconocido que "ese conjunto de sentimientos que se llama carácter y que son los verdaderos móviles de la conducta, el hombre los posee cuando viene al mundo; pues como están compuestos por la herencia de sus antepasados influyen en él con un peso del cual nadie es capaz de liberarlo, y desde el seno de la tumba todo un pueblo de muertos le dicta imperiosamente su conducta".

La montaña es más religiosa que la tierra llana, sostenían estos determinismos. Quien escribe estas líneas ha descubierto que una ciudad "llanera" y del semiárido venezolano, como Carora (430 metros sobre el nivel del mar), es y fue tanto o más religiosa que Mérida o La Grita, localidades de los Andes de temperamento suave o templado conocidas y reconocidas por su acendrado y raigal catolicismo. Gracias al determinismo de raza ciertos autores han visto nuestra mezcla de distintas etnicidades, de españoles, indios y negros como una degeneración del tipo venezolano, un mestizo proclive a la pereza, la flojera, el alcoholismo, de temperamento proclive a la pendencia y al desorden. De allí bien podría interpretarse la expresión "merienda de negros".

No menos grave como dañino para la comprensión de la historia, es el determinismo económico en el que militan los malos marxistas. Sostienen que la religión, el arte y los modos de pensar son meros "reflejos" de la base económica. Tal teoría del "reflejo" la tomó Federico Engels de la óptica del siglo XIX, debo aclarar. Carlos Marx no dijo nunca tal cosa, más bien lo que hizo fue incorporar lo económico a la explicación de los hechos y fenómenos históricos, pues el positivismo de la época se empeñaba y centraba su atención en los grandes jefes de estado y en las batallas y los acuerdos internacionales e ignoraba olímpicamente la economía. Lo económico explica muchas cosas, esto es cierto. Pero no todas. Edward Palmer Thompson (1924-1993) escribió con genialidad que: "Pero la entera sociedad abarca muchas actividades y relaciones (de poder, de consciencia, sexuales, culturales, normativas) que no son el objeto propio de la economía política, que han sido *definidas fuera* de la economía política y para los cuales esta disciplina no tiene términos con qué designarlas". Se trata este determinismo, pues, de una especie de "dualismo académico" que se expresa en y con la distinción entre base y superestructura ideológica, como dice el filósofo Alasdair Mac Intyre.

Edward Palmer T.

Eric Hobsbawm (1917), el mayor historiador vivo en el presente, dice que "la Escuela de los *Annales* no necesitó que Marx le llamara la atención sobre las dimensiones económicas y sociales de la historia. Que hay países en Asia o en América Latina en los cuales la transformación, cuando no la creación de la historiografía moderna casi puede identificarse con la penetración del marxismo. De la influencia marxista, dice, se ha identificado con unas cuantas ideas relativamente sencillas, aunque dotadas de gran fuerza, pero que en absoluto son necesariamente marxistas, que no son representativas del pensamiento maduro de Marx. Llamaremos a este tipo de influencia "marxista vulgar" y el problema consiste en separar los componentes marxista vulgar y marxista en el análisis histórico. El marxismo vulgar según este historiador marxista británico, comprendía principalmente los siguientes elementos:

1º La "interpretación económica de la historia", esto es, la creencia de que "el factor económico es el factor fundamental del cual dependen los demás"; y, de modo más específico, del cual dependían fenómenos que hasta ahora no se consideraban muy relacionados con asuntos económicos.

2º El modelo "base y superestructura" (que se usa de la forma más generalizada para explicar la historia de las ideas). A pesar de las propias advertencias de Marx y Engels, este modelo solía interpretarse como una simple relación de dominio y dependencia entre la "base económica" y la "superestructura", medida a lo sumo por

3º "El interés de clase y la lucha de clases". Uno tiene la impresión de que varios historiadores marxistas vulgares no leyeron mucho más allá de la primera página del Manifiesto comunista, y la frase la historia (escrita) de todas las sociedades que han existido hasta ahora es la historia de las luchas de clases".

4º "Las leyes históricas y la inevitabilidad histórica", de la cual se excluía lo contingente, en todo caso en el nivel de la generalización sobre los movimientos a largo plazo. De ahí la constante preocupación de los primeros escritores sobre historia marxista por problemas como el papel del individuo o de la casualidad en la historia.

5º Temas específicos de la investigación histórica que se derivaban de los intereses del propio Marx: por ejemplo, el interés por la historia del desarrollo capitalista y la industrialización, pero, a veces, también de comentarios fortuitos.

6º Temas específicos de la investigación que se derivaban no tanto de Marx como del interés de los movimientos asociados a su teoría: por ejemplo, el interés por la agitación de las clases oprimidas (campesinos, obreros), o por las revoluciones.

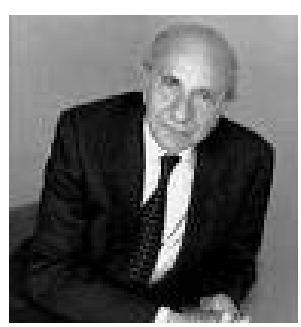
7º Varias observaciones sobre la naturaleza y los límites de la historiografía, que se derivan principalmente del número 2 y servían para explicar los motivos y los métodos de los historiadores que afirmaban no ser nada más que buscadores de la verdad y se enorgullecían de determinar sencillamente *wie es eigentlich gewesen* ("mostrar lo que de hecho ocurrió", como escribió Ranke en 1824 en su obra primeriza **Historia de los pueblos románicos y germánicos**)

Debemos aclarar que Hobsbawm no repudia la etiqueta de marxista, aunque es imprecisa, aclara. "Sin Marx, dice, no se hubiera despertado en mí ningún interés especial por la historia. Marx y los campos de actividad de los jóvenes radicales marxistas me proporcionaron mis temas de investigación e inspiraron mi manera de escribir sobre ellos". Este gran historiador sufrió la pena de constatar que no había ánimos para publicar sus libros en la difunta URSS, a pesar de que era miembro del Partido Comunista y de que fue el encargado de publicar las obras completas de Marx y Engels en el Reino Unido, así como tampoco encontró quien editara su **Historia del siglo XX** al francés. Dice además este investigador que tampoco el trabajo de los marxistas, o el de otros, debería juzgarse según las etiquetas políticas que, ellos u otros, pongan en su solapa.

Este ha sido el caso de mi tesis de maestría sobre la educación secundaria en Carora en el siglo XIX: **Del Colegio La Esperanza al Colegio Federal Carora, 1890-1937** (1997) En nuestros medios académicos se conceptúa casi como un pecado no ser marxista, o en todo caso, serlo. Sucedió que los marxistas vulgares dijeron que mi trabajo carecía de lucha de clases, aunque yo descubrí que era una educación minoritaria, sólo y casi exclusivamente para una clase social. ¿No es esto, acaso, una manifestación de un clasismo excluyente que le negaba el acceso a la educación al grueso de la población de la ciudad? Había en los días de la fundación del Colegio La Esperanza 8.000 habitantes, de los cuales sólo 22 entraron a la institución, ¡ninguno era mujer! Otros marxistas vulgares, cegados por el odio de clases, exclamaron que yo era demasiado indulgente con la "godarria de Carora", y que ella no se merecía los elogios que les di: haber llevado la imprenta en 1875, fundado un colegio de secundaria en 1890, un club recreativo (excluyente) en 1898, un diario (que aún circula) en 1904, un liceo para señoritas en 1915, la raza de ganado tipo Carora en la década del 30, un antecedente de la Teología de la Liberación a principios del siglo XX, una planta eléctrica sin ayuda del gobierno, una élite intelectual que comenzó a formarse en ese viejo Colegio, aunque remarqué el carácter elitesco de su vida, su endogamia enfermiza, así como su terrofagia sin límites, su sumisión a las dictaduras de Juan Vicente Gómez (1908-1935) y Pérez Jiménez (1952-1958), así como la violenta pérdida de su hegemonía en los últimos decenios.

Los no marxistas, por el contrario, adujeron que los fundadores del Colegio no eran ricos, a lo que yo respondí que no lo eran para los estándares de comienzos del siglo XXI, que hasta el financista de aquel instituto particular llegó a ser calificado "primera riqueza del Distrito" por aquél entonces. Creo que existe en esos sectores una cierta vergüenza que les impide declararse gente de fortuna, como decía Pierre Vilar. Otros me calificaron de funcionalista porque, según dijeron, el colegio "funcionaba" para los godos de Carora. Por la televisión, un comentarista dijo "el autor, a pesar de ser marxista, no es mezquino con el magisterio del doctor Ramón Pompilio Oropeza", el fundador de la institución. Allí se deja entrever la percepción que tienen de este pensamiento estos sectores: la misión del marxismo y de los marxistas es la de demoler lo que han construido secularmente las clases dominantes. No han podido entender los críticos venidos de ambas posiciones que mejor elogio a la burguesía lo escribieron Carlos Marx y Federico Engels en el **Manifiesto Comunista** de 1848.

Quien escribe estas líneas se dio cuenta que la **endogamia** es un fenómeno que participa en el resguardo y evita la dispersión de las fortunas y los linajes, pero que quien la logra establecer es la Iglesia católica a través de las *dispensas* matrimoniales. Las creencias religiosas regulan la vida de la sociedad, la moral, la alimentación, el sexo y en el caso que nos ocupa, la propiedad de la tierra en Carora del siglo XVIII. El matrimonio actúa como una suerte de junción de lo material y lo espiritual, pues sostiene la



Georges Duby

"infraestructuras", dice Duby. Esta incomprensión se debe a que los malos marxistas son incapaces o no se atreven a leer a Max Weber o al historiador marxista de las mentalidades Michel Vovelle o a los británicos Eric Hobsbawm, Edward Thompson, renovadores del marxismo desde una perspectiva culturalista, cercana, paralela a la de los Anales.

Yo evité a toda costa evitar todo determinismo cuando escribí **Llave del Reino de los Cielos. Iglesia católica, cofradías y mentalidad religiosa en Carora, siglos XVI al XIX.** (2002), mi Tesis Doctoral. La investigación me condujo a pensar que estaba en presencia de una sociedad de creyentes, en donde la religión instituida jugaba un papel central, determinante. El grueso de la población estaba inscrito o pertenecía a una hermandad o cofradía a finales del siglo XIX, y que después de dos siglos de Enciclopedismo y de positivismo, un obispo en visita pastoral en 1898 administró 2.300 confirmaciones en una ciudad como Carora que no tenía más de 8.000 almas. De tal modo pues, que el marxismo determinista no tenía nada que hacer allí, pues lo económico era reglado firmemente por la Iglesia católica, desde el matrimonio hasta la propiedad de la tierra, hasta la dieta, el trabajo, el descanso, la medida del tiempo y las fiestas. A tal punto me llevó la investigación archivística y la reflexión, que al final pude afirmar que el producto mejor elaborado por la Iglesia en estos lares ha sido la "godarria caroreña". De modo que la superestructura religiosa era tan lo más determinante que la base económica de la sociedad!. Vivimos bajo los efectos del Concilio de Trento.

Los determinismos en historia devienen también de los determinismos de la lectura. Cierta vez una participante de postgrado en historia me espetó duramente porque sugerí emplear las categorías de análisis del funcionalismo norteamericano, tales como las llamadas **Redes sociales**. No comprendía aquella dama que la sociedad tiene sus mecanismos para permanecer estable y que el cambio revolucionario es atenuado o postergado por estos mecanismos. De otra forma no se podría entender la extremada estabilidad del régimen colonial en la América hispana que se extendió por 300 años. Nueva España, dice el mexicano Octavio Paz, era una sociedad para durar, no para cambiar. En estas sociedades existieron unas verdaderas redes de sociabilidad como las cofradías que satisfacían las necesidades mundanas y extramundanas de los creyentes a ellas afiliados. Ellas explican, en cierto modo esta tremenda estabilidad de tales sociedades, a lo que habría que agregar que tales hermandades sobrevivieron a los hechos iniciados en 1810 y nos llegan hoy hasta alcanzarnos.

Pero existe un curioso determinismo que yo llamo de signo *inverso*, y no es otro que el que ha sufrido el autor de **Economía y sociedad** (1922), el sociólogo alemán Max Weber (1864-1920), la creencia vulgar que le atribuye la "teoría" de que el protestantismo es la *causa* del capitalismo. Es una deformación que se remonta a fuentes secundarias que surgieron con un pecado de parcialidad, nos dice José Medina Echavarría, prologuista de la edición del Fondo de Cultura Económica en 1944. Creo que ello se debe, digo yo, al título de su obra más polémica, **La ética protestante y el espíritu del capitalismo** (1904-1905), trabajo que al igual que el **Manifiesto comunista** de Marx y Engels, apenas se le leen sus portadas y acaso sus primeras páginas de forma apresurada y acrítica, nunca su texto íntegro. En otras ocasiones no se leen los originales, sino que se conoce a los autores por referencias que hacen de ellos terceras personas.

Max Weber

Existe otro tipo de determinismo, digo yo, y no es otro que el determinismo de las fuentes. Los positivistas del siglo XIX, y sus seguidores hasta el presente, consideran un único tipo de fuentes: las escritas, su majestad el documento (en latín *docere*, enseñar). Raramente indicaban que estos documentos y los procedimientos, (los criterios empíricos para valorarlos), sólo eran aplicables, dice Hobsbawm, a una serie limitada de fenómenos históricos, toda vez que aceptaban sin espíritu crítico que ciertos fenómenos eran merecedores de estudio especial mientras que otros no lo eran. Una metodología que se prestaba mucho a la narración cronológica. Fue la escuela de Anales quien rompió esta tradición decimonónica al considerar a cualquier rastro o manifestación dejado por la humanidad como un documento: el arte, las herramientas, las costumbres. En mi tesis doctoral sobre la mentalidad religiosa en Carora desde el siglo XVI al XIX, hube de revisar decenas de placas mortuorias colocadas en las paredes, así como los muy odiados y polémicos muebles de la iglesia de San Juan Bautista del Portillo de Carora, los cuales tenían colocados los nombres de sus propietarios para que otras personas distintas a los de la *godarria* no pudiesen sentarse en ellos. Fueron retirados estos polémicos muebles…¡en 1969!. Otro tanto sucedió con la iconografía religiosa, pues hube de establecer por medio del método comparativo las semejanzas y las diferencias entre la virgen del Rosario de la Chiquinquirá de Aregue (localidad cercana a Carora, estado Lara) y la misma virgen en sus variantes en Lobatera (estado Táchira), Barinas (en el estado del mismo nombre), Maracaibo (estado Zulia), y por supuesto la Chiquinquirá del Nuevo Reino de Santa Fe (Boyacá), devoción mariana de las más antiguas de América y que data del siglo XVI. Fue este determinismo de las fuentes el que hizo a los historiadores del siglo XIX expertos insuperados en documentos escritos, pero los hacía desconocedores de la economía, la antropología o la sociología, ciencias que por aquellos años daban sus primeros pasos. Fue el filósofo Henry Berr quien propugnó en 1900 una historia que recogiese todos los sectores de la actividad social, idea que se materializó cuando Bloch y Febvre fundaron la escuela analista en 1929.

Quinto pecado: Provincianismo.

"La historia de la identidad no es suficiente".

Eric Hobsbawm, 1994.

Es el pecado de suponer que nuestra localidad de nacimiento o de residencia y que nuestra propia formación académica son el centro o el ombligo del mundo, que fuera de ellas nada vale la pena o puede despertar nuestro interés. El principal peligro no es la tentación de mentir sino la tentación de aislar la historia de una parte de la humanidad-la del propio historiador, por haber nacido en ella o haberla elegido-del contexto más amplio, nos dice Hobsbawm. No entienden estos pecadores que nuestra religión católica es un credo universal o *Katolicus*, y que nuestra lengua la hablan más de 400 millones de personas en nada más y nada menos que 23 países, incluidos los EEUU. Hace unos años quien escribe estas reflexiones investigó los inicios de un colegio particular de enseñanza secundaria en Carora del siglo XIX. En ese humilde y "provinciano" instituto llamado La Esperanza, el plan de estudios contemplaba la enseñanza de lenguas universales: el latín como una lengua sagrada, lengua que fue universal hasta el siglo XVII , vínculo en la actualidad entre los 1.200 millones de personas que profesan esta fe milenaria en Cristo, aunque no lo hablen, como sostiene Benedict Andersen. La otra lengua que se enseñaba en aquél colegio decimonónico no es menos universal que la del Lacio, nos referimos al griego, vehículo en el cual se construyó la civilización occidental. Palabras tan actuales como *cibernética* y *clonación* derivan de la lengua de Aristófanes. ¿Y qué decir de la Física? El bueno del Doctor en Medicina, egresado de la Universidad Central de Venezuela en 1891, Lucio Antonio Zubillaga, vicerrector del colegio arrastraba como el resto de la comunidad científica del orbe, la creencia en la hoy insostenible existencia del éter que rodeaba todos los fenómenos y que dio lugar a la llamada "Física del éter", hoy parte del museo del pensamiento, como el positivismo.

Provincianismo es también cerrarse a la lingüística, pues muchos cultores de Clío desconocen el celebérrimo y controversial "*giro lingüístico*" que se ha producido en la comprensión de la historia desde que Lawrence Stone lo propuso en 1979 en la revista británica *Past and Present*; cerrarse a la semiología , a la paleontología o a la física cuántica. Creo que desde que el físico alemán Heinsenberg creó el principio de incertidumbre hace ya exactamente 80 años, la ciencia de la historia ya no es ni podrá ser la misma. Y lo mismo podemos decir de la Teoría de la Relatividad de Einstein que después de 1905 acabó con la idea del tiempo en que navegaban Kant, Comte, Spencer y el mismísimo Carlos Marx. En todo caso estamos encaminados hacia la *teoría de la complejidad*, propuesta entre otros por Ilya Prigogine, premio Nobel de química en 1977, quien propone que el conocimiento humano se dirige a una gran síntesis de las ciencias naturales y la humanas. Una Nueva Alianza entre las ciencias de la naturaleza y las ciencias del espíritu. La complejidad pide una nueva integración entre cultura científica y cultura humanística. Dice Edgar Morin que esta dicotomía "cartesiana" puede y debe morir. Ya lo advertía don Miguel de Unamuno a fines del siglo XIX y comienzos del XX: "Una de las disociaciones más hondas y fatales es la que aquí (en España) existe entre la ciencia y el arte y los que respectivamente los cultivan. Carecen de arte, de amenidad y de gracia los hombres de ciencia, solemnes, *lateros,* graves como un corcho y tomándolo todo en grave, y los literatos viven ayunos de cultura científica seria, cuando no desembuchan, y es lo peor, montón de conceptos de ciencia mal digerida". Ciencia mal digerida o pseudociencia como la ha llamado Carl Sagan, que en la actualidad goza de un enorme prestigio. *"El escepticismo no vende",* concluye el astrónomo y divulgador de la ciencia norteamericano, muerto en mala hora en 1996.

Provincianismo es también la tendencia muy del mundo hispánico a laborar individualmente. Le tememos a las comunidades de discurso. José Pascual Mora García, docente e investigador de la Universidad de Los Andes, Táchira, Venezuela, estudioso investigador de la historia de la educación dice que se ha hecho demasiada historia de la educación y de la pedagogía en el país bajo este pernicioso criterio. "La insociabilidad es uno de nuestros rasgos característicos. Apena el ánimo la contemplación de los estragos de nuestra insociabilidad, de nuestro salvajismo enmascarado", escribe don Miguel de Unamuno. Y agrega el autor de **La agonía del cristianismo**: "Asombra a los que vivimos sumergidos en este pantano el remolino de escuelas, sectas y de agrupaciones que se hacen y deshacen en otros países, en donde pululan conventículos, grupos, revistas, y donde entre fárrago de excentricidades , borbota una vida potente. Aquí las gentes no se asocian sino oficialmente, para dar dictámenes o informes, publicar latas y cobrar dietas".

Pascual Mora

Dos escritores venezolanos, Pedro Grases y José Manuel Briceño Guerrero han adelantado algunas ideas sobre esa dificultad de convivir tan hispanoamericana. Grases sostiene que existen en nuestro vocabulario casi un centenar de palabras para expresar desorden, tales como relajo, barullo, alboroto, tumulto, pendencia, bochinche, jolgorio, parapampám, jaleo, coje-culo, entre otros. Por su parte, el filósofo Briceño Guerrero en su libro **El laberinto de los tres minotauros** (1993) expresa que tres discursos dirigen nuestro pensamiento. 1º) el europeo segundo (la Ilustración del siglo XVIII), 2º) el discurso cristiano hispánico (mantuano), y 3º) el discurso salvaje, no occidental, aborigen - africano. "Estos tres discursos – dice el pensador de Mérida - en todo americano se expresan de manera distinta, a distintos niveles y a diversos grados de identidad de acuerdo a los estratos sociales, los lugares, los niveles de psiquismo, las edades y los momentos del día. Son tres discursos que se obstaculizan el uno del otro, en pugna estéril que no llega aun resultado definitorio, sin lograr victoria clara por parte de ninguno de los tres de manera definitiva. Consecuencias: ninguno de los tres discursos logra gobernar la vida pública hasta el punto de poder dirigirla hacia formas coherentes y exitosas de organización, pero cada una es suficientemente para frustrar a los otros dos, y los tres son mutuamente inconciliables e irreconciliables. La otra consecuencia es de orden teórico: no se logra formar centros permanentes de pensamiento, de conocimiento y de reflexión".

Tal es así que ha producido asombro que en Barquisimeto, caso notable por su singularidad, se ha conformado una "comunidad de discurso" en la investigación sobre la historia de la educación y de la pedagogía, en la que un grupo de investigadores comparten unos criterios teóricos y metodológicos, que no son otros que los de la Escuela de los Anales. Bajo tales premisas**, Historia social e institucional de la educación en la Región Centro Occidental de Venezuela, y** bajo el liderazgo de los doctores Federico Brito Figueroa (+2000) y Reinaldo Rojas (1954) han sido presentadas, defendidas y aprobadas más de medio centenar de tesis de maestría y unas cinco de doctorado desde que se inició el programa en 1992 en la Universidad Pedagógica Experimental Libertador-Instituto Pedagógico Barquisimeto "Dr. Luis Beltrán Prieto Figueroa". Esta extraordinaria experiencia en el interior de Venezuela no ha estado libre de riesgos y acechanzas: la dispersión, la reiteración de enfoques y temas, la incomprensión, y hasta la envidia, la pasión que corroe los pueblos hispánicos, se ha hecho presente.

No podía faltar en esta quinta trasgresión una referencia a la llamada "historia local". En cierta ocasión un participante de postgrado animado en la idea de esta "historia de campanario" me refirió que estaba haciendo una investigación sobre un hecho fugaz acontecido en su localidad de nacimiento y de residencia, un ataque guerrillero de las FALN, Fuerzas Armadas de Liberación Nacional, ocurrido en 1962. Le dije que averiguara qué otros acontecimientos ocurrieron en esos mismos días en el resto del país. Asombrado aquél joven me dijo que el ataque a Curarigua aquel 2 de mayo de 1962 había ocurrido el mismo día en que aconteció el famosísimo "Carupanazo", estado Sucre, al otro extremo del país, evento en el cual un sector de la Marina afecto al Partido Comunista de Venezuela (PCV) se alzó contra el gobierno democrático del señor Rómulo Betancourt. ¡Qué coincidencia!, me dijo, a lo cual yo le repliqué de seguido que no era aquello casual, que aquél era un asalto que obedecía a una **estrategia insurreccional a escala nacional** con ramificaciones en el exterior. De modo que aquél suceso no era sino una manifestación en Curarigua de Leal, estado Lara, Venezuela de un enfrentamiento global, la llamada Guerra Fría. De modo, pues que la "historia local" no existe, le dije. Todo está conectado.

Como reitera Eric Hobsbawm constantemente en sus numerosos trabajos: "La historia será universal, de toda la humanidad, o no lo será". La historia requiere, agrega, movilidad y la capacidad de investigar y explorar un vasto territorio, esto es, la capacidad de saberse mover más allá de nuestras propias raíces. Por eso no podemos ser plantas, unos seres incapaces de abandonar su territorio y su hábitat de nacimiento, porque ni un solo hábitat o nicho ambiental puede agotar nuestro tema de estudio. Nuestro ideal no puede ser el roble o la secuoya- por majestuosos que sean-, sino el ave migratoria- que se sienten en su casa tanto en el Ártico como en el Trópico- que cruza volando la mitad del planeta.

Tal cual sucedió con quien escribe estas reflexiones durante sus investigaciones que nos condujeron al Título de Doctor en Historia (Universidad Santa María, Caracas, 2003) sobre la Iglesia católica en Carora y con la estimulante tutoría del Dr. Reinaldo Rojas. Ciudad de numerosas vocaciones sacerdotales y múltiples cofradías y la mentalidad religiosa dominante que le ha caracterizado, por lo que se le ha llamado "ciudad levítica". Siempre se ha hablado y ha quedado como establecido que nuestro siglo XVII fue una centuria de silencio y de aislamiento entre regiones de la inmensa Provincia de Venezuela, como han sostenido Laureano Vallenilla Lanz y Arturo Uslar Pietri (quien lo llama *siglo silencioso*). Mayúscula sorpresa al internarnos en los numerosos y gruesos **Libros de cofradías**, sobre todo la del **Santísimo Sacramento**, fundada en 1585, pues allí encontramos, como desmintiendo al autor de **Cesarismo democrático**, y de **Disgregración e integración** que a tal hermandad "entraron" 16 hermanos de El Tocuyo, 8 de Barquisimeto, ambas localidades del actual estado Lara ,7 de Trujillo, ciudad andina, otros 7 de Coro, en la costa del mar Caribe, 5 de Caracas, en el centro del actual país, 5 españoles (de la Península), 2 de Tunja, Reino de Santa Fe (Colombia), 2 de la andina Mérida, 2 de Maracaibo, ciudad del Lago homónimo, 01 canario, 4 de Nirgua, actual estado Yaracuy, 68 de Carora, sede de la cofradía, y 2 forasteros. Y como hallazgo curiosísimo encontramos que al hacer el **análisis temporal-comparativo interno** dentro de la cofradía del **Sacramentado**, que el número, procedencia y variedad de apellidos encontrados allí en el siglo XVII es mayor en cantidad, variedad de apellidos y lugares que los encontrados en la hermandad dos siglos después y bajo el régimen republicano. Quiere decir, en consecuencia, que la Provincia de Venezuela y su Iglesia católica estaban mejor conectadas con buena parte mundo católico e hispanohablante en el siglo XVII y XVIII que en el republicano y liberal siglo XIX, centuria esta última del ferrocarril y del telégrafo. Vaya, qué paradoja.

Y cuando uno de los dos tunjanos, el cófrade Gerardo de Robles, murió allá en 1682, no pasaron muchos días cuando la noticia se supo en Carora y la hermandad cumplió con hacerle las misas con que se había comprometido al permitirle su "entrada", tal y como el Santo Concilio de Trento estableció entre 1545 y 1563. Era, como le dije, al historiador francés experto en el Perú virreinal, Dr. Bernard Lavallé, una especie de "*Internet barroco y colonial.*" (sin electricidad, pero eficientísimo). Y no nos hemos referido al siglo XVIII, centuria de esplendor de las cofradías en Hispanoamérica, cuando hubo "entradas" de hermanos a las cofradías caroreñas procedentes del Reino de Irlanda, del Reino de Francia, de los reinos de España, las Islas Canarias, Cuba, Puerto Rico, Reino de Santa Fe, y de buena parte del Occidente venezolano. Hasta el padre del Libertador, Don Juan Vicente Bolívar entró como hermano en 1772 en varias cofradías de Carora, así como una buena muestra del "mantuanaje" caraqueño. En consecuencia, cada día es más difícil hacer "historia local".

Estas reflexiones las estamos haciendo en momentos en que esta forma **liliputiense** de hacer historia se le han abierto un inmensos escenarios en razón de que los Consejos Comunales creados por la Revolución Bolivariana liderada por el presidente Hugo Chávez Frías exigen que cada uno de ellos cuente con la historia (escrita) de su localidad u ámbito territorial. ¿A dónde nos conducirá semejante dispersión, nos preguntamos con angustia, cuando se cuentan en millares en Venezuela en el año en curso (2007) tales Consejos Comunales? Es la misma angustia que expresó el doctor Arturo Uslar Pietri (1906-2001) cuando en una ocasión el Ministerio de Educación le dio prioridad en la enseñanza Primaria y Media de Venezuela a la historia local o regional sobre la historia de la Nación. "Los historiadores, dice Hobsbawm, por microscópicos que sean, deben estar a favor del universalismo (…) porque es la condición necesaria para comprender la historia de la humanidad, incluida cualquier sección especial de la humanidad. Porque todas las colectividades humanas son y han sido necesariamente parte de un mundo más amplio y más complejo. Una historia que esté concebida sólo para los judíos (o los afroamericanos, o los griegos, o las mujeres, o los proletarios, o los homosexuales) no puede ser historia buena, aunque puede ser reconfortante para quienes la cultivan".

Sexto pecado : Teoricismo y empirismo (documentalismo).

"Es esencial que los historiadores defiendan el fundamento
de su disciplina: la supremacía de los datos".

Eric Hobsbawm, 1994.

Muchos historiadores creen que la teoría por sí misma lo explica todo. Pobre de los hechos empíricos que no cuadren con la teoría: los desechan o los modifican para que cuadren con la teoría. Creo que allí se esconde una curiosa forma de pereza mental y pereza de trasero. Esos teóricos no entienden que el oficio del historiador es una disciplina más o menos empírica, y no exactamente filosófica-especulativa, que requiere de largas y fatigosas jornadas en los archivos. "Teóricos de toda clase, dice Hobsbawm, dan vueltas alrededor de los mansos rebaños de historiadores que pacen en los ricos pastos de las fuentes primarias o rumian las publicaciones de sus colegas".

Conozco una chica atacada por el teoricismo, participante en una maestría en historia que sostenía que había un antagonismo social acusado entre el club de los oligarcas y el club de las clases populares en Carora. "La historia de la humanidad es la historia de la lucha de clases", repetía. La investigación mostró (no demostró) que algunos oligarcas actuaron como personajes de relieve y promovieron la fundación del club popular llamado Centro Lara. Y que fue un oligarca "renegado" que movió la idea de crearlo en 1938 para la sociabilidad de las clases medias emergentes y el populacho. Me refiero a don Cecilio Zubillaga Perera, un auténtico *intermediario cultural* en la expresión del historiador marxista francés Michel Vovelle.

Pero en todo caso es preferible el teoricismo al simple empirismo, como ha dicho el postulador de la "historia total", el profesor Pierre Vilar (1906-2003). Los perceptores sin conceptos, como vino a decir Kant, están ciegos. Dejemos que sea el propio autor de **Cataluña en la España moderna** (1962) quien lo diga: "no me gusta, tampoco, lo que yo llamaría el "vértigo teórico", las largas páginas únicamente dedicadas a consideraciones abstractas o verbales, o a justificaciones por los textos, no por los hechos. A pesar de que sigo fiel a lo que dije hace ya tiempo frente a los investigadores empíricos y positivistas: el exceso de inquietud teórica es de todos modos preferible la ausencia de inquietud". Sé de personas que en el afán de lo empírico han retrocedido o en todo caso se han quedado estancados en los paradigmas investigativos ya superados del positivismo decimonónico, y siguen creyendo que el conocimiento histórico está indefectiblemente en el documento escrito, pues sólo éste tipo de fuentes y no otro conocen. He conocido de participantes de maestrías en historia que ha habido que ir a "rescatarlos" a los archivos y repositorios, pues prácticamente se han enterrado en ellos sin remedio. Andan, pues, buscando el último documento. El historiador británico Edward Hallet Carr dice al referirse a los datos empíricos en sí mismos: "los ladrillos son importantes, pero un montón de ladrillos no constituyen una casa".

Pero es absolutamente necesario recordar que toda ciencia -y la historia sin duda lo es- trabaja con conceptos y categorías. Reinaldo Rojas ganó en México en 1995 un premio continental de historia colonial adornado con el nombre de Don Silvio Zavala con una obra titulada **Historia social de la Región Barquisimeto en el tiempo histórico colonial, 1525-1810** (1995). Nos dice Rojas que ninguno de los componentes del jurado calificador ha estado jamás en Venezuela y que, en todo caso tal jurado premió el esfuerzo teórico-metodológico, la perspectiva interdisciplinar y de síntesis allí contenida. En todo caso, como en todas las ciencias, recordamos mucho más fácilmente la teoría y no los datos. Los historiadores Cardoso y Pérez Brignoli nos han advertido que en América Latina, sin embargo, la teoría brilla por su ausencia. Es una *rara avis*.

Obras de gran aliento histórico y antropológico y de cobertura continental como **Casa-grande y senzala**, (1933) del brasileño Gilberto Freire carece por completo de conceptos. Darcy Ribeiro sostiene que ello se debe al temor de pasar por marxista, pues este autor cursó estudios con el antropólogo hebreo Franz Boas en los EEUU en la década de los 20 del siglo pasado. A pesar de ser esa obra una descripción sistemática, criteriosa, exhaustiva, cuidadosísima de los modelos culturales, pero desinteresada respecto a cualquier generalización teórica, Gilberto Freyre escribe: "Por poco inclinados que estemos al materialismo histórico, en tantas cosas exagerado en sus generalizaciones , principalmente en obras de sectarios y fanáticos, hemos de admitir la influencia considerable, aunque no siempre preponderante, de la técnica de la producción económica sobre la estructura de las sociedades en la caracterización de su fisonomía moral. Es una influencia sujeta a al reacción de otras, y sin embargo, poderosa como ninguna en la capacidad de aristocratizar o democratizar a las sociedades, de desarrollar tendencias hacia la poligamia o la monogamia. A mucho de lo que se supone el resultado de rasgos o taras hereditarias preponderando sobre otras influencias, en los estudios aún fluctuantes de eugenia y de cacogenia, se le debe más bien asociar a la persistencia, al través de generaciones, de condiciones económicas y sociales favorables o desfavorables al desarrollo humano". Dice el antropólogo brasileño Darcy Ribeiro (1922-1997) que no sería justo olvidar que ninguna de las obras clásicas de las ciencias sociales es explicable por sus virtudes metodológicas. Al contrario. Todo lo que se produjo con extremado rigor metodológico, haciendo corresponder cada afirmación con la base empírica en la cual se asienta, y calculando y comprobando estadísticamente todo, resulta mediocre y de breve duración. El hombre de ciencia, sólo necesita aprender métodos y estudiar metodologías para olvidarlos después. Olvidarlos tanto en la operación de observación como en esa misteriosa e inexplicable operación de inducción de las conclusiones. Olvidarlas, sobre todo, en la construcción artística de la obra en que deberá comunicar a sus lectores, tan persuasivamente como sea posible, lo que él sabe." Ahora entiendo los gruñidos del doctor Federico Brito Figueroa en las aulas de clases del Pedagógico Luis Beltrán Prieto Figueroa de Barquisimeto cuando decía enfática y repetitivamente: "no soy me-to-dó-lo-go". El método es muchas veces y casi siempre una camisa de fuerza que mata la imaginación.

Pero hay otro tipo de científicos que opinan diferente. Tal es el caso del doctor Carl Sagan (1934-1996), profesor de Astronomía y Ciencias Espaciales de la Universidad de Cornell (EEUU), quien nos dice que para el divulgador de la ciencia es un desafío supremo la historia actual y tortuosa de sus grandes descubrimientos y equivocaciones, y la testarudez ocasional de sus practicantes en su negativa a cambiar el camino. Muchos, quizá la mayoría de los libros de texto de ciencias para científicos en ciernes, lo abordan con ligereza. Es mucho más fácil presentar de modo atractivo la sabiduría destilada durante siglos de interrogación paciente y colectiva sobre la naturaleza que detallar el complicado aparato de destilación. El método, aunque sea indigesto y espeso, es mucho más importante que los descubrimientos de la ciencia, dice Sagan.

La mayoría de los estudios de cuarto y quinto nivel en historia (Maestría y Doctorado) en Venezuela muestran una tendencia marcada al teoricismo en desmedro de los métodos de investigación. Los cuatro o seis semestres de la escolaridad se agotan en discusiones meramente teóricas, dejando de lado el problema concreto, real e inquietante del archivo. Esta experiencia tan rica en sus particularismos (la lógica informal de la vida) se deja para el final de la escolaridad, y es allí cuando el participante se encuentra como inerme e impotente ante el fárrago de información contenido en cualquier repositorio. Una sentencia del maestro Bloch como la que dice: "nadie sabe lo que encuentra si no sabe lo que busca" le evitaría el famoso síndrome TMT (todo menos tesis). TMT que ha frustrado a más de un participante que por lo general es buen lector, que ha cultivado una buena cultura y posee una oratoria impresionante, pero que se desinfla y se desanima con asignaturas prácticas que

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no se aprenden con la sola teoría, como es el caso de la paleografía o con la cartografía geohistórica. Leer y transcribir un documento del siglo del siglo XVII o construir con sus manos o con ayuda de la computadora u ordenador una carta temática de los flujos de una firma comercial del siglo XIX, por ejemplo, los desanima de tal manera que terminan quedándose con la sola aprobación de la escolaridad, y dejando la posibilidad de concluir la Tesis de Grado para un futuro remotísimo. Y eso que no nos hemos referido a la Estadística, ni a los problemas que casi siempre se presentan en la relación tutor-participante. Lo que quiere decir que el oficio de Clío es una curiosa ciencia que mezcla la empíria y la teoría de manera muy específica y particular. **El Franco-Condado** (1912) de Febvre es un modelo de un cuidadoso examen empírico, allí como en su obra posterior nos enseña que un montón de piezas de archivo no da respuesta al historiador si éste sabe interrogarlo. Ya lo dijo Karl Marx: "En la ciencia no hay calzadas reales, y quien aspire a remontar sus luminosas cumbres tiene que estar dispuesto a escalar la montaña por senderos escabrosos".

El insigne historiador británico Edward Hallet Carr (1892-1982) autor de la monumental **Historia de la Rusia soviética,** dice que: "La relación entre pensamiento y acción, entre teoría y práctica, entre reflexión y observación, entre lo abstracto y lo concreto, entre lo general y lo particular, constituye el problema fundamental de toda la sociología, economía, política e historia. La inmensa fuerza del pensamiento de Karl Marx reside en la plena conciencia de este problema y en la respuesta que le dio". "En el peor de los casos, dice Carr, la historia se convierte en una sucesión de acontecimientos cuyas conexiones causales no estamos, en principio, preparados para descubrir. Todo esto hubiese provocado el anatema de Marx. Marx no era empirista. Estudiar la parte sin hacer referencia al todo, el hecho sin considerar su significación, el acontecimiento sin referirnos a su causa o consecuencia, la crisis concreta sin entroncarla a la situación global, todo ello hubiese parecido a Marx un ejercicio estéril". Es de destacar que este historiador y diplomático de carrera abogó en su obra **¿Qué es la historia?** (1961) por la superación del positivismo historicista predominante en el siglo XIX, insistiendo en la continua interacción del historiador y los datos.

Dejemos que sea el historiador marxista británico Edward Palmer Thompson (1924-1993): **La lógica de la historia**. **Miseria de la teoría**, quien nos aclare, finalmente, la relación teoría y dato: "El discurso de la demostración de la disciplina histórica consiste en un diálogo entre concepto y dato empírico, diálogo conducido por hipótesis sucesivas, por un lado, e investigación empírica por el otro. El interrogador es la lógica histórica; el instrumento interrogativo una hipótesis (por ejemplo la manera en que diversos fenómenos hayan podido actuar unos sobre otros); el que contesta es el dato empírico, con sus propiedades concretas.(…) Adviértase bien, no los "datos empíricos" por sí mismos, sino los datos empíricos interrogados de este modo". De lo contrario seremos presa fácil de la Bestia empirista, dice Thompson.

Séptimo pecado: Acriticismo.

La deconstrucción de mitos políticos o sociales
disfrazados de historia
forma parte desde hace tiempo
de las obligaciones profesionales del historiador,
con independencia de sus simpatías.

Eric Hobsbawm, 1994.

Que quiere decir que hay investigadores que creen a ciegas en todo lo que leen u oyen. Dice Bloch en su **Apología de la historia o el oficio del historiador**: "El verdadero progreso surgió el día en que la duda se hizo "examinadora"; cuando las reglas objetivas, para decirlo en otros términos, elaboraron poco a poco la manera de escoger entre la mentira y la verdad". Es importantísimo el estudio crítico de los errores y deformaciones que acontecen durante la transmisión de los recuerdos. El historiador debe estudiar ante todo cómo se forman los testimonios y las tradiciones. "Una de las razones del éxito de la ciencia (natural) es que tiene un mecanismo incorporado que corrige los errores en su propio seno. Quizá algunos consideran esta característica demasiado amplia, pero, para mi, dice el profesor del Instituto Tecnológico de California Carl Sagan, cada vez que ejercemos la autocrítica, cada vez que comprobamos nuestras ideas a la luz del mundo exterior, estamos haciendo ciencia. Cuando somos autoindulgentes y acríticos, cuando confundimos las esperanzas con los hechos, caemos en la pseudociencia y la superstición". No debemos olvidar bajo ninguna circunstancia que nosotros los historiadores profesionales, dice Hobsbawm, somos los principales productores de la materia prima que se transforma en propaganda y en mitología.

El ya mencionado **Diccionario de historia de Venezuela,** de la Fundación Polar (1997) sostiene que los restos mortales del prócer de la Independencia suramericana, General de División Pedro León Torres se encuentran en el Panteón Nacional desde 1896, cuando quien escribe estas líneas prepara un viaje a Yacuanker, Colombia, a repatriarlos en breve a Venezuela. En otro lugar aparece que el filósofo Rafael Villavicencio era natural del estado Lara. Y se supone que este útil **Diccionario** está hecho por especialistas investigadores. En otro caso conseguí en el Archivo de la Diócesis de Carora un "Acta de la fundación de la Cofradía del

Pedro León Torres
1788 - 1822

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Santísimo Sacramento", fechada en 1585. Una mano piadosa, sin embargo, cambió el nombre del documento con fines didácticos, acaso, el cual se llamaba desde el siglo XVI: "Constituciones y ordenanzas de la cofradía del Santísimo Sacramento". Y el error prosperó y se propaló de tal forma desde 1924, fecha en que se produjo el cambio tan importante en la trascripción del documento. El espíritu de la duda cartesiana parece que no ha llegado hasta nosotros los hispanoamericanos. No en balde ha dicho el Nobel de Literatura Octavio Paz: "no tuvimos Ilustración".

Otros creen a pie juntillas que el iniciador de la *historia de las mentalidades* en el país es un prominente miembro de nuestra Academia Nacional de la Historia, el doctor Elías Pino Iturrieta, cuando en realidad ese caballero, egresado del Colegio de México, sólo es un historiador de las **ideas** o un historiador de **intelecto**, concepciones que parten de la idea de que las personas tienen ideas claras y que son capaces de transmitirlas. Los textos son una expresión de los autores y como tales deben tomarse en serio. El concepto de *mentallité,* en cambio, designa posturas que son mucho más difusas que las ideas y que, a diferencia de éstas, son propiedad de un grupo colectivo, no el resultado del pensamiento de determinados individuos. Por ello se le asocia a la historia serial, que trabaja con largas secuencias de datos (los grandes números) que son procesados electrónicamente para estudiar procesos como la idea de la muerte contenida en cientos de testamentos, o el grado del entusiasmo religioso medido por la "entrada" de miles de creyentes a una hermandad o cofradía en un período de tres y más siglos. "Y (de tal manera) el historiador fue traído de nuevo a su **banco de artesano**", como dice Bloch. Queremos decir que el estudio de las mentalidades religiosas y colectivas requiere largas y extenuantes jornadas de investigación en los archivos parroquiales, revisar cientos y miles de folios que contienen miles de nombres de piadosos seres humanos, vivos y muertos. Luego habrá que ordenar y tabular toda o parte de esa inmensa información allí contenida: por sexo, profesión, procedencia, edad, año de entrada a la cofradía, fecha de su muerte, cantidad de misas que mandó a hacer luego de su deceso, cantidad de dinero que dispuso para tal fin, el santo de su devoción, tipo de misa que pidió, no se le hizo misa al morir,etc. Luego se requiere hacer cuadros estadísticos, cuadros de barras, pasteles de distribución, gráficos de curvas, y otras formas de representación. Al final se requiere interpretar esas largas cadenas de datos, para establecer, por ejemplo, los años o décadas de mayor devoción, el auge y declive de una cofradía, el momento de aceptación de los dogmas de la Iglesia católica por los esclavos negros o por los aborígenes. Creemos que esta es –entre otras- una de de las razones por las cuales tal tipo de historia se halla en estado gestación en nuestro país.

En consecuencia, podemos afirmar que hacer estudios de las ideas o del intelecto es mucho más cómodo que hacer historia de las mentalidades. Las ideas están contenidas en libros, en periódicos, en manuscritos que han sido redactados para comunicarlas en forma más o menos explícita. En cambio en las mentalidades hay que establecer lo que quiere decir toda o parte de millares de unidades de información o "bits" contenidas en miles de folios de los siglos XVII, XVIII y XIX, como fue en el caso de mi investigación titulada **Llave del Reino de los Cielos. Iglesia católica, cofradías y mentalidad religiosa en Carora, siglos XVI al XIX** (2002). Es recomendable, pues, al enfrentar este tipo de investigaciones tener los conocimientos básicos y esenciales para manejar las computadoras u ordenadores. Aunque, debo aclarar, yo me remití a la estadística descriptiva, dejando para otra ocasión la utilización de fórmulas para establecer varianzas o desviaciones estándar, o correlaciones entre dos variables, entre otras. Ello se debió a dos situaciones. La primera tiene que ver en que me dejé influenciar por el físico teórico británico Stephen Hawking (1942) cuando dijo que agregar una sola fórmula a su libro **Historia del tiempo,** le iba a restar miles de lectores. La otra fue la urgencia académica que me impedía retrasar la investigación.

En otro lugar nos dice el fundador de la historia de las mentalidades: "Un historiador, si emplea un documento, debe indicar, lo más brevemente posible, su procedencia, es decir, el medio de dar con él, lo que equivale a someterse a una regla universal de probidad. Nuestra opinión, emponzoñada de dogmas y de mitos- aún la más amiga de las luces- , ha perdido hasta el gusto de la comprobación". En la crítica de los testimonios casi todos los dados tienen trampa, agrega Bloch. Y como refiriéndose a Venezuela de hoy, víctima de la polarización y la manipulación mediática, dice: "los periódicos no han dado aún con su Mabillón". Este humilde monje benedictino francés del siglo XVII es un protagonista en el desarrollo de la moderna historiografía tan importante como Voltaire, lo que es justo recordar. Nuestro historiador Eduardo Arcila Farías afirma que don José Oviedo y Baños, el abuelo de los escritores venezolanos y autor de **Historia de la conquista y población de Venezuela** (1723) que el espíritu de Mabillón se puede encontrar en sus escritos.

Eduardo Arcila Farías

El método crítico, escribe Bloch fue practicado por eruditos, exegetas, curiosos, pero no por los escritores de historia. A pesar del enorme avance logrado por la crítica en el siglo XX nos sorprende que sobre la vida de Bloch y de Febvre esté rodeada de equívocos y medias verdades. Joseph Fontana, por ejemplo, afirma que los Anales recibió financiamiento de los EEUU, otros han querido ver en el deseo de Febvre de seguir publicando la revista de la Escuela bajo la ocupación nazi como signo de su colaboracionismo. Etienne, hijo de Marc Bloch, nos ha aclarado que su padre no fue fusilado, como solemos repetir, sino que fue simplemente asesinado, ello porque no fue llevado a juicio como se procede con los que van a ser enviados al paredón. El manuscrito interrumpido de Marc Bloch, **Apología de la historia** también ha ocasionado más de un quebradero de cabeza. En cierta ocasión Febvre dijo que la palabra *evolución* no aparece en todo el libro, lo cual no es cierto, como él mismo reconoció luego. En otro momento, durante la composición tipográfica, o la corrección de pruebas, vuelve a faltar otra hoja, y Febvre crea otro enlace con las páginas restantes. Enlace en el cual poquísima gente ha reparado. Massimo Mastrogregori, historiador italiano, dice que vio por casualidad en las notas blochianas en los Archivos de Francia, que en el reverso de las fichas de lectura estaba escrito de manera apretada; y que acercando uno al otro aquellos fragmentos de hoja se podían obtener, como en un rompecabezas, páginas enteras. Con sorpresa, dice, que se dio cuenta que se trataba de apuntes para la **Apología de la historia**. De modo que la propia vida de Bloch es un verdadero jeroglífico al cual le han sido seccionadas partes importantes de su estructura: su familia judía, su niñez, sus estudios primarios y secundarios, su militancia política (su hijo Etienne dice que era socialista), su distanciamiento intelectual de Febvre, el proyecto de este último de proyectar simultánea y paralelamente a los *Anales* otra revista, su coqueteo y posterior abandono del marxismo, su deseo de emigrar a los EEUU y emplearse allí como maestro, la renuncia a esta idea. ¿Qué es lo verdadero, lo falso y lo verosímil en lo que acabamos de decir? Use usted, amigo lector, la crítica. A ello los invitamos.

El historiador vivo más importante del presente, Eric Hobsbawm, nos advierte que el nacionalismo es una cultura de la identidad que está anclada en el pasado por medio de mitos disfrazados de historia. "Sobre esto dijo Renan lo siguiente hace más de cien años: "Olvidar, incluso interpretar mal la historia, es un factor esencial en la formación de una nación, motivo por el cual el progreso de los estudios históricos es a menudo un peligro para la nacionalidad". La versión nacionalista de su historia consiste en anacronismos, omisiones, descontextualizaciones y, en casos extremos, mentiras". Menciona el autor de **La invención de la tradición** (2002) la falsificación de manuscritos en Bohemia, la escritura de una epopeya nacional escocesa antigua y apropiadamente gloriosa (como "Ossian" de James Macpherson) o la producción de una obra de teatro público totalmente inventada (…) como en Gales (…)el gran medievalista inglés J. Horace Round forjó su reputación con una serie de disecciones sin piedad de los árboles genealógicos de familia de la nobleza británica que afirmaban descender de los invasores normandos. Round demostró que tales pretensiones eran falsas. El "sudario de Turín" (…) reliquia sagrada del cual amasaron su fortuna los centros de peregrinaje medieval, no pudo resistir la prueba de la datación por el radiocarbono B a la que fue necesario someterlo".

El finado científico estadounidense Carl Sagan, defensor a ultranza de lo que llamó "maestro despiadado", el método científico, y un escéptico notable, así como un gran acusador de la cultura del secreto, a la que tildó de incompatible con la democracia y con la ciencia, quien además dijo una de sus más célebres sentencias cuando afirmó que "**la metafísica no tiene laboratorio**", se lamentaba amargamente que el escepticismo (duda de lo que es aceptado como realidad), sus herramientas no suelen estar al alcance de los ciudadanos de nuestra sociedad. Casi nunca se menciona en las escuelas, ni siquiera en la presentación de la ciencia, su más ferviente practicante, aunque también el escepticismo surge espontáneamente de las decepciones de la vida cotidiana. Nuestra política, economía, publicidad y religiones (nuevas y viejas) están inundadas de credulidad. Los que tienen algo que vender, los que desean influir en la opinión pública, los que mandan, podría sugerir un escéptico, tienen un interés personal en no fomentar el escepticismo.

No se trata de un nuevo pirronismo cuando hablamos del escepticismo moderno, actitud del pensamiento que tiene sus iniciadores en Montaigne (1533-1592) y David Hume (1711-1776), una tradición que no tuvo arraigo profundo en la América colonial de habla española. El escepticismo ha influido de manera decisiva en la filosofía pragmatista norteamericana y en la filosofía analítica anglosajona. El escepticismo nos ayuda a reconocer las falacias más comunes y peligrosas de la lógica y la retórica. Se pueden encontrar muchos buenos ejemplos en religión y política, porque sus practicantes a menudo se ven obligados a justificar dos proposiciones contradictorias. Veamos de qué manera Carl Sagan dice que se encuentran las falacias:

Falacias ad hominen (o contra el hombre): atacar al que discute y no su argumentación. P. ej. "El doctor Federico Brito Figueroa tenía mal carácter, no era un historiador que debe ser tomado en serio". O esta otra : "Laureano Vallenilla Lanz era defensor de la tiranía gomecista, por lo que sus tesis históricas deben ser desechadas por falaces".

Falacia de argumento de autoridad: P. ej.: "*El papa Benedicto XVI ha de ser un magnífico historiador de las religiones*". Lo que en efecto no es; sus apreciaciones sobre el Islam han tenido efectos catastróficos mientras escribo estas reflexiones.

Falacia de argumento de consecuencias adversas: "Dios existe porque la justicia humana es insuficiente y la sociedad se haría ingobernable sin El".O bien: "El gobierno del Presidente Chávez nos conduce al totalitarismo de signo stalinista".

Falacia de la llamada a la ignorancia: La declaración de que todo lo que no ha sido demostrado debe ser cierto, y viceversa. P. ej.: "*No tendremos jamás un cerebro del hombre de Neanderthal, por lo que no podremos negar su capacidad telepática*".

Falacia por un argumento especial. A menudo para salvar una proposición en un problema retórico profundo. Por ejemplo: "*Cómo puede haber seguidores del cristianismo que perpetraran tanta crueldad? Argumento especial: no entiendes el libre albedrío.*

Falacia de pedir la pregunta, llamado también asumir la respuesta. Por ejemplo: *Debemos implantar la pena de muerte para desalentar el crimen.*

Falacia de la selección de la observación, llamada también enumeración de circunstancias favorables o, como lo describió Francis Bacon, contar los aciertos y olvidar los fallos. Por ejemplo*: "Un estado se jacta de los presidentes que ha tenido, pero no dice nada de los asesinos en serie".*

Falacia de la inconsistencia: por ejemplo: atribuir el descenso de la esperanza de vida en la URSS a los defectos del comunismo; pero no atribuir nunca la alta tasa de mortalidad infantil de los EEUU, una de las más altas de un país industrializado, a los defectos del capitalismo.

Falacia *non sequitur* "no sigue", en latín. Por ejemplo: *Estados Unidos prevalece porque Dios es grande.* Los que caen en esta falacia es simplemente que no han reconocido posibilidades alternativas.

Falacia *post hoc, ergo propter hoc*: en latín, "después de esto, luego a consecuencia de esto". Por ejemplo: *"Conozco a una mujer de 26 años que parece tener 60 porque toma píldoras anticonceptivas".*

Falacia de la exclusión del medio o falsa dicotomía: considerar sólo los dos extremos en un continuo de posibilidades intermedias. P. ej.: "*El que no quiere a Venezuela la odia".*

Falacia de la pregunta sin sentido: Por ejemplo: *"Qué ocurre cuando una fuerza irresistible choca con un objeto inamovible?* Pero si existe algo así como una fuerza irresistible no puede haber objetos inamovibles, y viceversa.

Falacia del corto plazo: P. ej.: "Antes que atacar la inflación con la reforma monetaria, el gobierno Bolivariano de Venezuela debe agotar sus esfuerzos en la lucha contra el crimen".

Falacia del terreno resbaladizo: Relacionado con las dos falacias anteriores por la exclusión del medio. P. ej. : "El aborto en las primeras semanas de embarazo, hará imposible impedir la muerte de un bebé formado".

Falacia de confusión de correlación y causa. P. ej.: "Desde que los venezolanos comenzamos a consumir harina precocida de maíz se dispararon los índices de criminalidad".

Falacia del hombre de paja: Caricaturizar una postura para facilitar el ataque. P. ej.: "Los trenes de la Alemania comunista no llegaban a la hora, por lo que el marxismo es una doctrina falsa".

Falacia de la prueba suprimida, **o media verdad**. P. ej.: "*El Presidente de Venezuela ha renunciado",* decía la oposición en abril del 2002. Nunca apareció la carta de renuncia firmada por Hugo Chávez.

Falacias de las palabras equívocas: En el oficio de Clío se puede confundir la historia realidad con la historia conocimiento, tal como mostró Pierre Vilar; es decir que el término "historia" tiene diversos contenidos. Una cosa es decir "la historia de Venezuela", otra es decir "la historia nos enseña", o esta otra dicha por Fidel Castro "la historia me absolverá". El idioma alemán actual hace una clara distinción entre "Historie" como realidad y "Geschichte" como conocimiento de ella. Y como si fuera poco, añade luego la palabra "Historik" como tratamiento de los problemas metodológicos. Este es el sentido que le da Droysen en su clásica obra **Histórica. Lecciones sobre la Enciclopedia y metodología de la historia.** Pero en la lengua de Cervantes estamos condenados a usar la vieja palabra historia de distintas maneras y, en consecuencia, aclarar la forma en que va a ser usada en cada oportunidad.

Conocer la existencia de esas falacias retóricas y lógicas completa nuestra caja de herramientas, dice Sagan, quien de seguido agrega: "Como todas las herramientas, el equipo de detección de camelos (engaños, noticias falsas) puede usarse mal, aplicarse fuera de contexto o incluso aplicarse rutinariamente como alternativa al pensamiento. Pero si se aplica con juicio, puede marcar toda la diferencia del mundo, y nos ayuda a evaluar nuestros propios argumentos antes de presentarlos a otros". No resulta gratuito, pues, que la obra que hemos consultado de este autor **El mundo y sus demonios**, se subtitule: **La ciencia como una luz en la oscuridad**.

Fue la Escuela de Frankfurt (1923) la que creó la llamada "teoría crítica", la que se debe entender como la *negación* de lo que parece evidente, el no satisfacerse con lo que está *dado.* Fue una de las lecturas en mis años mozos que me cautivó durante mis estudios de pregrado en la serrana universidad emeritense. Estos filósofos aún vivían y recuerdo que nos apasionaba sobre todo el alemán Herbert Marcuse (1898-1979) y sus trabajos como **El marxismo soviético** (1958), **Eros y civilización** (1955), **El hombre unidimensional** (1964), **Razón y revolución. Hegel y el surgimiento de la teoría social** (1941), entre otros. Se le consideraba el padre espiritual de los sucesos de 1968 que estremecieron a Francia, Alemania, Italia, España y México. Entre las tareas del pensamiento crítico se

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encuentra la de hacer emerger las contradicciones que recorren de hecho la sociedad y la cultura, conducirlas a su evidencia. Se trata de un recorrido nada fácil porque nunca se es lo suficientemente astuto como para huir de los mecanismos de manipulación y control ni nos encontramos lo suficientemente al margen de traducir la crítica en positividad y sistema. Pero ésta es la "fatiga del concepto" de la cual hablaba Hegel y en la cual consiste el trabajo del pensamiento, nos dice Franca D´Agostini. Estos pensadores, a la cabeza de los cuales se hallaba Max Horkheimer, acompañado de Teodor Adorno, Herbert Marcuse y más recientemente Jürgen Habermas, se han constituido en una de las herramientas del pensamiento más eficaces y constructivas para desmontar la mentira en la sociedad contemporánea, sociedad que ha sufrido unos cambios tan radicales e inesperados que Carlos Marx nunca pudo avizorar a pesar de su genio. En este sentido habrá de entenderse el empeño de la Escuela de Frankfurt como una actualización adecuada del marxismo.

OCTAVO PECADO: CRONOLOGISMO.

"La historia de la sociedad es *historia*; es decir, tiene el tiempo cronológico real como una de sus dimensiones".

Eric Hobsbawm, 1972.

Decía el recientemente fallecido profesor Pierre Vilar que no hay cosa que me mortifique que adivinar, en un auditorio joven, la expectativa siguiente: "he aquí el profesor de historia; nos va a enseñar que Francisco I ganó la batalla de Marignano en 1515 y perdió la de Pavía en 1525". Hace mucho tiempo que me sublevé públicamente, por vez primera, contra esta imagen". Estas palabras de Vilar fueron dichas en 1937, en plena guerra civil de España, pero aún parece que el cronologismo goza de muy buena salud. En el reciente III Congreso Suramericano de Historia, Universidad de Los Andes, julio de 2007, Mérida, Venezuela, en una mesa sobre historia de la educación universitaria el doctor Reinaldo Rojas se refería a la existencia de dos universidades coloniales en Venezuela, la de Caracas (1725) y la de Mérida (1808-1810). Con cierta malicia preguntó el conferencista a los allí reunidos:¿ y cuál fue la primera universidad republicana? A lo que de inmediato respondieron los zulianos: "la del Zulia, fundada en 1891". A lo cual replicó Rojas: "no, la primera universidad republicana no fue la del Zulia, pues la primera que se reformó en este sentido fue la Universidad de Caracas en 1827, de las manos del Libertador Simón Bolívar y el doctor José María Vargas. Este pecado es de vieja data y fueron los positivistas los que lo llevaron a sus últimas consecuencias. Pensaban que ordenar los hechos históricos en una rigurosa cronología daba explicación por sí misma a tales hechos históricos. Son las famosas cadenas de causa y efecto. Así 1810 en la historia de Venezuela explica a 18l1; 1811 a 1821; 1821 a 1830; 1830 a 1859 y así sucesivamente…Consciente de los problemas que acarrea el cronologismo, quien escribe estas líneas se enfrentó un problema de clasificación de las temporalidades en la historia de la Iglesia católica en Carora, Venezuela, desde el siglo XVI hasta el XIX. Hubiera sido muy sencillo clasificar en dos la historia de la Iglesia: la colonial por un lado y la republicana por el otro. Pero la historia de la Iglesia responde a otras temporalidades, distintas en lapsos y en acontecimientos a los de la vida laica y seglar. En este sentido dividí la historia de la Iglesia así: a.) Tiempo de la Evangelización y del Concilio de Trento (1545-1563) b.) Tiempo de la colonización y de la cultura barroca, siglos XVII, XVIII y XIX; c.) Tiempo del Concilio Vaticano I (1870-1960); y por último Tiempo del Concilio Vaticano II (1960 hasta el presente). ¿ puede usted, amigo lector, palpar la diferencia?

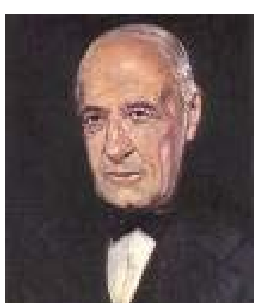
Es ineludible, en consecuencia, dejar atrás la *historia-crónica* y ponernos en marcha hacia una *historia-investigación* dotada de espíritu analítico, una explicación del pasado y no su simple descripción. De tal manera pues que los cronologistas no podrán comprender las afirmaciones como la del tono que hizo nuestro Mariano Picón Salas cuando dijo que Venezuela entró al siglo XX en 1935, o esta otra del historiador francés Jacques Le Goff en el sentido que la Edad Media no se canceló en el siglo XVI sino que se prolongó hasta el siglo de la Luces, el siglo XVIII. Y qué decir del **"siglo corto"** de Eric Hobsbawm, tal como llama este historiador británico nacido en 1917 al siglo XX, pues, según sostiene la pasada centuria se inició con la Revolución Bolchevique rusa en 1917 y se canceló con el desmoronamiento de la Unión Soviética en 1991. ¡Un siglo de apenas 74 años!

Jacques Le Goff 1924

Veamos un ejemplo de los más emblemáticos de esta sujeción canóniga a las fechas y a los calendarios. Quien escribe estas líneas realizó un trabajo para una profesora que nos dictaba una asignatura en la Maestría en Historia en la Universidad José María Vargas, de Caracas. Le pareció un buen trabajo, pero me hizo una observación: "profesor, he notado que en cada página usted coloca las fechas sin orden, es decir coloca el año 1890 al final de la hoja y al comenzarla coloca el año 1911. Eso no se debe hacer", me dijo. Guardé silencio, pero para mis adentros reflexioné que aquella bien intencionada docente no había superado el paradigma newtoniano del tiempo y la visión positivista del universo como si fuera un sistema mecánico que se rige por la matemática. El tiempo, enseña Einstein no es un absoluto sino que depende del observador. Aquella profesora me estaba exigiendo una mera descripción de secuencias cronológicas.

Para los historiadores cronologistas habrá de resultar incomprensible la división tripartita de los tiempos que planteó Fernand Braudel (1902-1985) en un artículo denominado La larga duración (*La longue durée*) revista "Annales. Economía, Sociedades, Civilizaciones". 13, nº 4 octubre-diciembre de 1958. En su obra más emblemática (y menos leída) sobre el Mediterráneo: **El Mediterráneo y el mundo mediterráneo en la época de Felipe II** (1949) distingue entre el tiempo casi estacionario del mar Mediterráneo como espacio geográfico (la longue durée), el tiempo lento de las estructuras sociales y económicas (conjonctures) y el tiempo rápido de los acontecimientos políticos (évènements). Es que para los historiadores analistas no existe ya un solo tiempo, sino tiempos muy diversos. Braudel nos dice: "la dificultad estriba en que no hay sólo dos o tres temporalidades, sino más bien varias decenas: y cada una de ellas implica una historia particular. Sólo la suma de estas temporalidades, de estas medidas del tiempo, operadas por las ciencias del hombre puede devolvernos esa historia total cuya imagen tan dificil resulta de reconstituir en su rica entidad". Así, en este sentido, el clásico ensayo de Le Goff **El tiempo de la Iglesia y el tiempo del comerciante en la Edad Media** nos dará una idea de lo que vinimos diciendo. Pero ya Fustel de Coulanges (1830-1889) en su obra **La ciudad antigua** (Libro III. La ciudad) había dicho ya en 1868: "Hasta aquí no hemos ofrecido, ni todavía podemos ofrecer, ninguna fecha. En la historia de estas sociedades antiguas (Grecia y Roma), las épocas se determinan más fácilmente por la sucesión de las ideas y de las instituciones, que por la de los años".

En un prólogo que escribió el español José Ortega y Gasset (1883-1955) a una obra del filósofo antipositivista alemán Wilhelm Dilthey (1833-1911) llamada **Introducción a las ciencias del espíritu** dijo una serie de apreciaciones sobre la cronología que puede ser muy útil para ciertas clarificaciones: "En historia la cronología no es como suele creerse, una *denominatio extrinseca* sino, por el contrario la más sustantiva. La fecha de una realidad humana, sea la que sea, es su atributo más constitutivo. Eso trae consigo que la cifra con la que se designa la fecha pasa a tener un significado puramente aritmético, cuando más, astronómico, a convertirse en un nombre o una noción de una realidad histórica. Cuando este modo de pensar sea común entre los historiadores, podrá hablarse en serio de que hay una *ciencia* histórica". En una palabra,



José Ortega y Gasset (1883-1955)

dice Aróstegui, la cronología es únicamente el tiempo físico, pero éste y el tiempo histórico **no** se oponen.

¿Por qué este octavo pecado ha tenido tan larga vida entre los historiadores? Simplemente porque la cronología ha sido desde los inicios de la civilización y quizá antes, el primer instrumento comparativo y jerarquizador de lo sucedido. Es por ello, dice Georg Iggers (1926), que un aspecto en común tiene la ciencia histórica desde Leopold Von Ranke y la ciencia histórica desde Tucídides ((460-460 a. C.) hasta Edward Gibbon (1737-1794): la exposición histórica sigue las acciones que realmente tuvieron lugar en su sucesión diacrónica, es decir, sólo conoce un tiempo unidimensional, en el que los sucesos posteriores siguen a los anteriores y se hacen comprensibles gracias a éstos.

Vivimos aún en una sociedad de dos culturas, nos dice Ilya Prigogine: la de las ciencias naturales y la de las ciencias humanas. La comunicación entre los miembros de estas dos culturas es difícil ¿Cuál es la razón de esta dicotomía? Esta dicotomía tiene una razón profunda, se debe a la manera en que es incorporada la noción de tiempo en cada una de las dos culturas. Lo que distingue a ambas culturas es describir el paso del tiempo. También se podrían tratar de distinguir por la complejidad de su objeto. La física se ocuparía de los fenómenos llamados simples, y las ciencias humanas de los complejos. Pero hoy el abismo entre los llamados fenómenos simples y los complejos se está reduciendo. Sabemos que las partículas elementales y los problemas de la cosmología corresponden a fenómenos sumamente complejos, que han dejado muy atrás las ideas que se tenían al respecto hace tan sólo unas décadas. En cambio, se han postulados modelos simples para describir (de forma esquemática, pero muy interesante) unos problemas que tradicionalmente se habían considerado complejos, como el funcionamiento del cerebro o el comportamiento de las sociedades de insectos. Más adelante dice este Premio Nobel de química que en todos los fenómenos que percibimos a nuestro alrededor, ya sea física macroscópica, en química, en biología o en las ciencias humanas, el futuro y el pasado tienen distintos papeles. Encontramos por doquier una "flecha del tiempo". Se plantea, pues, la pregunta de cómo puede surgir del no tiempo la flecha del tiempo. ¿Es una ilusión el tiempo que percibimos? La cuestión nos lleva a la "paradoja" del tiempo que es el eje de esta obra, (**Las leyes del caos**. 1997).

Ilya Prigogine

¿Cuál es la razón de nuestro ser?, se pregunta Prigogine. Y responde señalando que los desarrollos recientes van precisamente en esta dirección. Ponen de manifiesto la extensión de la ciencia a un conjunto de

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fenómenos que la ciencia había relegado a la "fenomenología" (Husserl, Heidegger), y que sin embargo para nosotros son parte esencial de la naturaleza. Según Einstein para llegar a la armonía de lo eterno había que ir más allá del mundo sensible con sus tormentos y añagazas. El triunfo de la ciencia estaría relacionado con la demostración de que nuestra vida –inseparable del tiempo- sólo es una ilusión. Es un concepto grandioso, sin duda, pero también profundamente pesimista. La eternidad no conoce sucesos, pero ¿cómo disociamos la eternidad de la muerte? En cambio, el mensaje de esta obra (**Las leyes del caos**) es optimista. La ciencia es capaz de describir la creatividad de la naturaleza, y hoy el tiempo ya no habla de soledad, sino de alianza entre el hombre y la naturaleza descrita por él.

Hemos querido colocar estas reflexiones de Prigogine, quien fue profesor de la Universidad Libre de Bruselas, porque ponen de manifiesto la enorme y extraordinaria complejidad de la noción del tiempo y la importancia tan crucial que ha tomado a fines del siglo XX y a comienzos del XXI. Nosotros los historiadores que tenemos al tiempo y a la *duración* (Vilar) como nuestra materia prima no debemos estar al margen de esta alucinante, fantástica y asombrosa discusión. Recordemos con Bloch que la historia **es ciencia de los hombres en el tiempo.** "Oh, Tiempo, sólo tú eres eterno"**,** solía decir nuestro Federico Brito Figueroa.

CONSIDERACIONES FINALES

Cuando el presente tiene poco que celebrar,
el pasado proporciona un trasfondo más glorioso.

Eric Hobsbawm, 1993.

Como corolario de todos estos pecados acá comentados, examinados y haciendo un llamado a su superación, no nos queda más que denunciar la precariedad de la formación de nuestros historiadores venezolanos, expertos a lo sumo en el arte de manipular papeles viejos… y nada más. Atosigados los más con una enorme carga docente de aula, sin tener lugar ni disposición física ni mental para la lectura ni mucho menos para la meditación. Este mal no sólo es de nuestro país, pues el historiador británico Eric Hobsbawm escribió: "Lo que deseo recordarles es algo que me dijeron a mí cuando empecé a enseñar en la universidad. "Aquellos por los que estás aquí –me dijo mi propio profesor - no son estudiantes tan brillantes como tú. Son estudiantes mediocres con mentes faltas de imaginación que se licencian sin pena ni gloria con un aprobado justito y cuyos exámenes dicen todos las mismas cosas. Los que son realmente buenos pueden cuidar de sí mismos, aunque disfrutarás enseñándoles. Pero son los otros los que de verdad te necesitan".

El oficio del historiador es un oficio hermoso, pero es un oficio difícil y cuya preparación esta, en mi opinión, dice Bloch, muy mal organizada. Los que adelantan alguna que otra investigación, lo hacen casi en solitario, sin apoyo de ningún organismo privado o estatal. Domina entre nosotros lo que se puede llamar una **pasión por el secreto,** mal que necesariamente habrá de trocarse en un gusto por la información, por el intercambio de información. Mucho menos han de pertenecer nuestros historiadores venezolanos a una **comunidad de discurso**, por lo que a la desaparición física o intelectual del investigador habrá que, cual Sísifo, comenzar de nuevo. No hay, pues, continuidad de propósitos en las investigaciones. Por ello desde Barquisimeto, Venezuela, estamos enviando un mensaje de aliento y esperanza en el sentido de que los historiadores podemos romper la regla y la tradición, y que **sí es posible trabajar en equipo** y formar una comunidad de discurso. Eso sí, reconociendo el liderazgo intelectual de los maestros, regla de bronce para constituir comunidades de discurso, y que en nuestro caso se trata de los doctores Federico Brito Figueroa (+2000) y Reinaldo Rojas (1954). Dos hombres que en una genética del intelecto están conectados y nos unen a los fundadores de la Escuela de los Anales y de sus fundadores: Marc Bloch y Lucien Febvre.

Ignoran, pues, nuestros historiadores venezolanos los enormes avances epistemológicos, que según Martínez Miguélez , "han ido logrando una serie de metas que pueden formar ya un conjunto de *postulados irrenunciables*, como los siguientes: Toda observación es *relativa* al punto de vista del observador (Einstein); toda observación *se hace desde* una teoría (Hanson); toda observación *afecta* al fenómeno observado (Heinserberg); no existen hechos, *sólo interpretaciones* (Nietzsche); estamos condenados al *significado* (Merleau-Ponty); ningún lenguaje consistente puede contener los medios necesarios para *definir su propia semántica* (Tarski); ninguna ciencia está capacitada para demostrar científicamente su propia base (Descartes); ningún sistema matemático puede *probar los axiomas* en que se basa (Gödel); la pregunta *¿qué es la ciencia?* no tiene una respuesta científica (Morin). Estas ideas matrices conforman una plataforma y una base lógica conceptual para asentar todo proceso racional con pretensión científica, pero coliden con los parámetros de la racionalidad científica clásica tradicional".

En historia, más que en cualquier disciplina, estamos atados a la tradición de manera muy fuerte, ello quizá se deba a la distorsionada idea de que los historiadores sólo nos ocupamos de lo que ya pasó, un frío, yermo e inerte pasado. A Paúl Valèry le parecía la historia una vieja geometría inapropiada ya para un nuevo universo. Se presentaba a los historiadores como el ejemplo extremo de una sensibilidad reprimida, según escribió Hayden White, o mentes cargadas de material inédito, murciélagos de erudición, ignorándose que somos una **ciencia de los hombres en el tiempo**, según dijo Bloch. Todos estos ataques a la historia se deben al hecho de que como construcción científica somos muy recientes. Somos hijos del pacato y mojigato siglo XIX. Europa en esta centuria era una sociedad mecanicista. El modelo mecánico nos marcó cuando la historia se convirtió en algo parecido a una disciplina reconocida. La ciencia es difícil porque es nueva, dice Sagan, quien agrega: “Nosotros, una especie que tiene unos cientos de miles de años de antigüedad, descubrimos el método científico hace sólo unos siglos. Como la escritura, que tiene sólo unos milenios de antigüedad, todavía no le hemos cogido el truco…o al menos no sin un estudio muy serio y atento”. ¿Y qué podemos esperar de la historia como ciencia cuando podemos fechar su nacimiento vacilante a mediados del siglo XIX? La historia es, pues, una ciencia en construcción, como afirmó Vilar.

No olvidemos que somos unos artesanos de la cultura que debemos superar los obstáculos de la especialización, y que estamos obligados a demostrar la legitimidad del conocimiento histórico, frente a las opiniones posmodernas que niegan tal posibilidad. Remarquemos con el profesor Pierre Vilar que *“el conocimiento histórico es condición de todos los demás, ya que toda sociedad está situada en el tiempo*”, además que “la historia mala no es historia inofensiva. Es peligrosa”, dice Hobsbawm. “Las frases que se escriben en teclados aparentemente inocuos pueden ser sentencias de muerte”. Para finalizar he colocado unas interesantísimas reflexiones de Hobsbawm que bien pueden ayudarnos a entendernos como historiadores: “La historia, después de todo, existe como disciplina independiente y distinta de otras ciencias sociales con mentalidad histórica porque en ella las cosas nunca son iguales. Cabría definirla como el estudio que *debe* investigar la relación de las cosas que no son iguales con las que lo son”.

Hemos dedicado el presente trabajo de reflexión y de síntesis a Eric Hobsbawm, el maestro, el historiador vivo más relevante del presente, en palabras de Orlando Figes “el historiador vivo más conocido del mundo”, nacido en Alejandría, Egipto, en 1917, pasó su niñez en Viena, su adolescencia en Berlín, donde fue testitgo dela llegada al poder de Adolf Hitler, y su juventud en Londres y en Cambridge, en vísperas de la guerra civil española. Ha sido profesor de la universidad de Londres hasta su jubilación, y posteriormente de la New School Research de Nueva York, políglota, cosmopolita y erudito, historiador riguroso pero dotado de una gran fuerza imaginativa, sentido del humor y talento literario, quien pertenece a una escuela que después de la segunda guerra mundial aparece en Gran Bretaña como una generación extraordinaria de historiadores que estaban inicialmente ligados al partido comunista británico.

Bajo la inspiración y el magisterio de Maurice Dobb (**Estudios del desarrollo del capitalismo)** y más lejanamente de R. H. Tawney, se creó una de las “escuelas” marxistas que más entidad, cohesión y aportaciones ha procurado a la historia social utilizando una metodología marxista que, en cualquier caso, lo fue con una extraordinaria flexibilidad y capacidad de renovación. Sus más conocidos representantes han sido, además de Maurice Dobb, Rodney Hilton (**La transición del feudalismo al capitalismo)**, Christofer Hill, Eric Hobsbawm (**Rebeldes primitivos. Estudios sobre las formas arcaicas de los movimientos sociales de los siglos XIX y XX, Historia del siglo XX, La invención de la tradición** (con Terence Ranger)**, La era de la revolución, 1789-1848, La era del capital, 1848-1875, La era del imperio, 1875-1914, Trabajadores. Estudios de historia de la clase obrera, El mundo del trabajo. Estudios históricos sobre la formación y evolución de la clase obrera, Gente poco corriente, Los ecos de la Marsellesa, Política para una izquierda racional, Industria e imperio. Historia de Gran Bretaña desde 1750 hasta nuestros días, Sobre la historia, A la zaga. Decadencia y fracaso de las vanguardias del siglo XX, Bandidos, Entrevista del siglo XX, Revolucionarios.**), Edward Palmer Thompson (**La formación de la clase obrera. Inglaterra 1780-1832**) y Víctor Kiernan, a los que habría que agregar los nombres de Raphael Samuel (**Historia popular y teoría socialista**), Perry Anderson (**El Estado absolutista**), Georges Rudé (**La multitud en la historia. Los disturbios populares en Francia e Inglaterra, 1730-1848)**, G. Stedman Jones (**Lenguajes de clases)**, los que mantienen una relación intelectual indudable con los anteriores, aunque puedan haber tenido trayectorias distintas personales y políticas.

La pasión de Hobsbawm por el jazz lo hizo apreciar a los Estados Unidos, a América Latina (fue intérprete del Che Guevara), a la India y al Lejano Oriente, siempre al paso de un firme compromiso con la causa socialismo. Dice Sir Keith Thomas que “Hobsbawm posee una mente extraordinariamente fértil y rara capacidad para acuñar y divulgar nuevos conceptos que dejan una marca perenne en la hi9storiografía… La inteligencia de Hobsbawm aplicada a la historia no tiene igual”. La riqueza de su experiencia vivida y su inmensa curiosidad intelectual se han traducido en una obra diversa y siempre innovadora. Si a ello le añadimos su insólita claridad teórica, capacidad generalizadora y un ojo certero para los detalles sugestivos, capaz de utilizar sucesos y aspectos aparentemente intrascendentes para construir síntesis inesperadas y de gran fuerza imaginativa, se entenderá que se haya convertido en “el historiador vivo más conocido del mundo”, como ha dicho Figes.

Fue nuestro homenajeado el creador de la feliz expresión de “el corto siglo XX” y quien ha dicho que nuestra época es absurda, irónica, surrealista y monstruos

a, el período más sanguinario y a la vez el más revolucionario de la historia. Somos la única generación, agrega, que ha vivido el momento histórico en el que las normas y las convenciones, que hasta entonces habían mantenido unidos a los seres humanos en familias, comunidades y sociedades, dejaron de operar. En otro lugar de su autobiografía escribe: "Cabría afirmar que el índice verdaderamente significativo de la historia de la segunda mitad del siglo XX no es la ideología ni el movimiento estudiantil, sino al auge de los pantalones vaqueros, pues los Levis triunfaron, lo mismo que la música rock, como distintivo de la juventud. Nunca se puso esa prenda, dice en otro lugar, Esta circunstancia me impide ser un historiador de los años sesenta: permanecí al margen de ellos. Lo que he escrito de acerca de esa década es lo que puede escribir el autor de una autobiografía que nunca se ha puesto unos vaqueros.

Es poco menos que lamentable que este historiador haya recorrido desde 1962 toda Sudamérica- Brasil, Argentina, Chile, Perú, Bolivia, Colombia, México, prácticamente todos los países menos a Venezuela y las Guayanas. Se trata, agrega, de un continente en el que tengo numerosos amigos y discípulos, con los que llevo asociado más de cuarenta años, y que, no sé por qué, ha sido curiosamente bueno conmigo. Es la única parte del mundo en la que no me ha extrañado conocer presidentes pasados, presentes y futuros. De hecho, el primero al que conocí en el ejercicio de su cargo, el astuto Víctor Paz Estensoro (1907-2001), de Bolivia, me mostró la farola de la plaza de La Paz situada frente a su balcón en la que fue ahorcado su predecesor Gualberto Villarroel por una muchedumbre de indios amotinados en 1946. Tras el triunfo de Fidel Castro y más aún tras la derrota de los norteamericanos en bahía de Cochinos y el fracasote derrocarlo en 1961, no hubo en Europa ni en Estados Unidos intelectual que no sintiera el hechizo de Latinoamérica, un continente al parecer en plena ebullición con la lava de la revolución social. Aunque a mí también me atrajo aquello, el principal motivo de que fuera allí fue práctico y concretamente lingüístico. Los historiadores que estudian las actividades de la gente corriente deben ser capaces de comunicarse con ella de palabra, y Latinoamérica era la única parte del llamado Tercer Mundo en el que mucha de esa gente hablaba lenguas que estaban a mi alcance. Pues no me interesaba sólo una región geográfica, sino otra mucho más grande y desconocida, es decir, el ochenta por ciento de los hombres, mujeres y niños que viven fuera de la zona habitada hasta el último tercio del siglo XX por gente de piel (teóricamente) blanca.

No obstante, escribe Hobsbawm, nunca he pretendido ser un especialista en Latinoamérica ni considerarme tal. Como le ocurrió a Darwin en su calidad de biólogo, para mi, en cuanto a historiador, la revelación de Latinoamérica no fue regional, sino general. Ha sido un laboratorio del cambio histórico, casi siempre distinto de lo que habría cabido esperar, un continente creado para socavar las verdades convencionales. Para los europeos esos aspectos del continente más alejados de de nuestra experiencia se hallaban enraizados y enlazados a instituciones bien conocidas por los historiadores, como la Iglesia católica, el sistema colonial español, o ideologías decimonónicas como el socialismo utópico y la Religión de la Humanidad de Augusto Comte. Esta circunstancia subrayaba o incluso resaltaba la peculiaridad de sus trasmutaciones latinoamericanas y lo que tenían en común con otras partes del mundo. Latinoamérica era un sueño para los historiadores comparatistas.

Irremediablemente, América Latina cambió- dice- mi perspectiva de la historia del resto del planeta, escribe nuestro nonagenario historiador, aunque sólo fuera porque eliminó la línea divisoria existente entre los países "desarrollados" y el "Tercer Mundo", el presente y el pasado histórico. Como la maravillosa novela de García Márquez **Cien años de soledad**, en la que cualquiera que conozca Colombia reconoce la magia y el realismo, América Latina obligó a dar sentido a lo que a primera vista parecía imposible. Permitió que las especulaciones "contrafactuales" no pueden lograr, a saber proporcionar una auténtica variedad de salidas alternativas a la situación histórica: caudillos: caudillos derechistas se convierten en fuente de inspiración de movimientos obreros (Argentina, Brasil), ideólogos fascistas que coinciden con un sindicato minero de izquierdas para hacer una revolución que da tierras a los campesinos (Bolivia), el único Estado del mundo que ha llegado a abolir el Ejército (Costa Rica), el partido único, víctima de la corrupción más flagrante, cuyo Partido de la Revolución Institucional recluta sistemáticamente a sus militantes entre los estudiantes más revolucionarios (México), una región en la que los emigrantes de la primera generación procedentes del Tercer Mundo pueden llegar a presidentes, y en la que los árabes ("turcos") solían triunfar más que los judíos.

Una vez hecho este reconocimiento muy merecido al inspirador de estas letras y reflexiones, no me queda más que decirles, amigos historiadores y lectores en general: Muchas gracias, amigos historiadores o no, especialistas de otras ciencias, médicos, periodistas, ingenieros, letrados, poetas, abogados, sociólogos, sacerdotes, gente de cualquier extracción social o política, gente de cualquier edad o procedencia geográfica o étnica por haberme soportado hasta acá.

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Management of Gender Discrimination Faced By the Women Working In Government Organizations of Northern Areas (Gilgit-Baltistan) Of Pakistan

By Hafiz Ghufran Ali Khan, Babar Majeed Rathore, Muhammad Ilyas
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Abstract - The research is conducted to explore working women's conditions in government organizations. For this purpose a sample of women employees working in government organization were taken from Gilgit city. A sampleof 50 working women was taken from government organization in Gilgit city. The age group of selected sample ranged between 20-49 years. The qualification of the respondents was usually under-graduate and graduate, the working experience of the sample range between 1-25 years.The research is descriptive in nature and it describesthe conditions of working women in govt. organization of Gilgit city. The collected data reveals that 38% women agree with gender policy and 62% do not agree. Variant views are found about issues like female employees face harassment at work place. This statement is supported by 26% female employees while 74% working women are against the statement, pick and drop facility for female staff is supported by 86% on the other hand 14% working women does not want to avail this facility.Finding indicates that inequality with women or lack of opportunities for women in job market is a serious issue. This research shows that female employees face many difficulties in Govt. organization such as discriminatory gender policy, lack of trainings, pick and drop facility, even in some organization female employees don't have separate toilets. Almost all organization did not have day care centre for children's of working women, Timings are inflexible for female employees. Lack of appreciation for their work, internet facilities at work place, lack of official accommodation and cafeteria facility are the major concerns of working women of northern areas of Pakistan.

Keywords : Working women, Government organizations, Northern areas, Pakistan.

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MANAGEMENT OF GENDER DISCRIMINATION FACED BY THE WOMEN WORKING IN GOVERNMENT ORGANIZATIONS OF NORTHERN AREAS GILGIT-BALTISTAN OF PAKISTAN

Strictly as per the compliance and regulations of :

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Hafiz Ghufran Ali Khan[α], Babar Majeed Rathore[Ω], Muhammad Ilyas[β]

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The research is descriptive in nature and it describes the conditions of working women in govt. organization of Gilgit city. The collected data reveals that 38% women agree with gender policy and 62% do not agree. Variant views are found about issues like female employees face harassment at work place. This statement is supported by 26% female employees while 74% working women are against the statement, pick and drop facility for female staff is supported by 86% on the other hand 14% working women does not want to avail this facility.

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I. Introduction

In Northern Areas (Gilgit Baltistan) concept of human rights does not exist in its finest form. These isolated areas of Pakistan are denied of a number of basic necessities. Even men do not enjoy exposure to opportunities of quality, scientific and technical education, economic resources, human capital and people are denied of political and their constitutional rights.

Female employees face problems like work place harassment, gender inequality, pick and drop facility, inflexible timings, lack of maternity leaves and social limits etc., these problems need to be addressed by government organization for better working environment and efficiency and productivity of employees.

The rationale of selection of the topic of discrimination against women employees is based upon the felt need and realization of the intensity and severity of the issue. Besides, one could see that this discrimination exists in almost all parts of the country and perhaps its worst form exists in remotest and isolated parts of Pakistan, and of course the women of Northern Areas face the most severe from of discrimination. Prevalent male dominance and women suppression has affected women's life in different ways. Physical and psychological growth, mental and emotional health and psychological well being of these women seems to be influenced by discriminatory attitudes, which tend to project this authoritarian manner in all spheres of women's life.

II. The Research Problem

This research primarily focuses on working condition of female employees working in different government organizations and the problems they faced on the basis of gender discrimination. Women constitute 48% of the northern areas population. Their contributions to the regions well being however, remained under valued and largely unseen, and their needs and aspirations often remained unrecognized.

III. Objectives of the Research

The purpose of this research work is to gather data about the conditions of working women in govt. organization, and to know how many facilities are available for women.

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IV. Main Objective

To find out the working conditions of women in different government organizations based in Gilgit city.

V. Scope of the Research

This research primarily focused on female employees of govt. organization. Females are working in different departments of government organizations in Gilgit city, which includes planning and developing dept. Family health association, population, Northern Area Transport Corporation, District Head Quarter Gilgit etc.

VI. Sample Size

For the present study a purposive sample of 50 individuals has been collected, which will be representing different areas of Gilgit city. Academic qualification level of the selected group ranges above matriculation. The age range of the selected sample is above 18. Age range marital status and minimum educational qualification would be held constant in order to control their effects.

VII. Questionare

Questionnaire is based on the concept of close ended questions as well as open ended question. Each question represents the objective of this research. Each questionnaire has contained twenty three questions which reflect the problems faced by female employees in govt. organization of Gilgit city.

VIII. Data Collection

Questionnaires were given to female employees in different sector of govt. organization and collected back on next day. The sample has been approached at their work places as well as at their homes. They have instructed to readout statement carefully and check the appropriate answers by marking tick on it and give answers to open ended questions.

The data for this research has been collected from primary source. A questionnaire designed to address the objectives of the study specifically to assess the work place related issues.

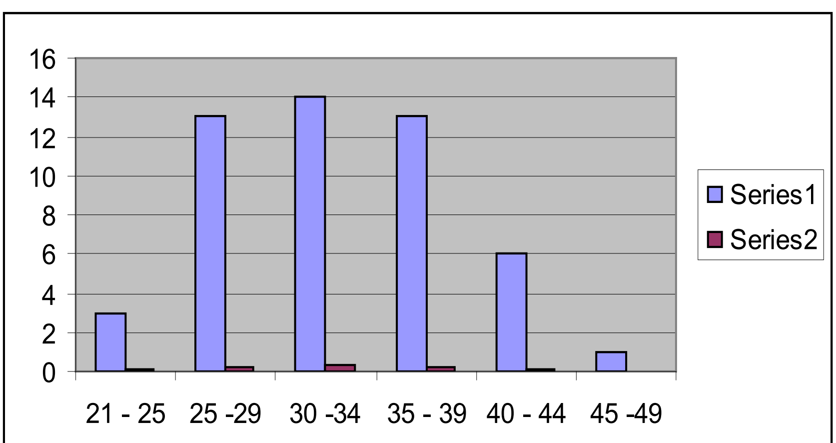
Data has been analyzed manually as it is a descriptive study, statistical tool are not applied how ever frequency distribution and cross tabulation of different variable have been made.

IX. Discussion and Illustration of Collected Data

a) Tables and analysis of data

Age wise responses

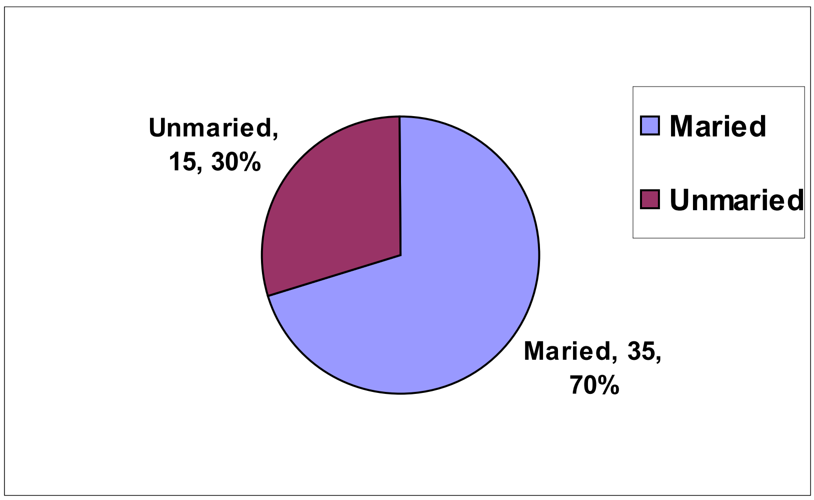
Age group	Frequency	%age
21 – 25	3	6%
26 -29	13	26%
30 -34	14	28%
35 – 39	13	26%
40 – 44	6	12%
45 -49	1	2%
Total	50	100%



The sample size consists of a total of 50 respondents. The age group of 3 respondents ranges from 21-25 , 13 respondents had a 26-29 years, 14 respondents range from 30-34 years, 13 respondents ranges from 35-39 years, 6 respondents range from 40 to 44 years, 1 respondent range from 45-49.

Marital status

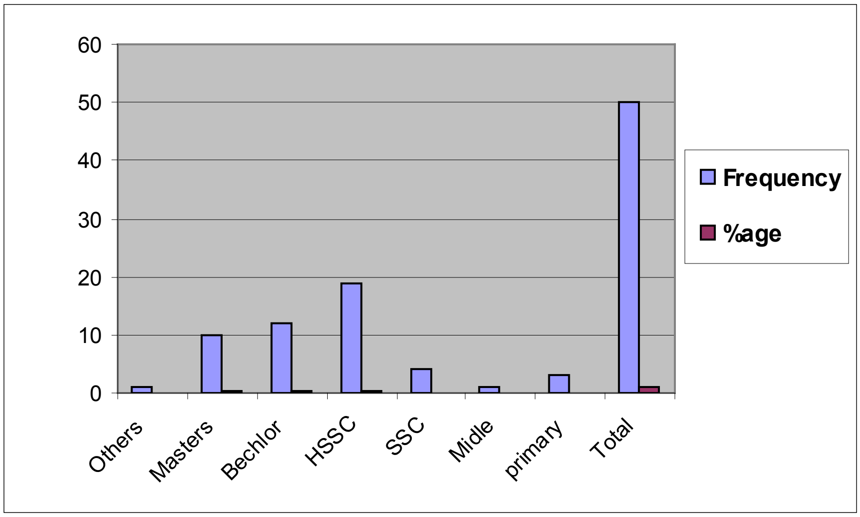
M;S	Frequency	%age
Married	35	70%
Unmarried	15	30%
Total	50	100%



The total sample size is of 50 respondents among whom 35(70%) respondents are married and 15(30%) respondents are unmarried.

Qualification of Female Employees

Edu-	Frequency	%age
Others	1	2%
Masters	10	20%
Bachelor	12	24%
HSSC	19	38%
SSC	4	8%
Middle	1	2%
primary	3	6%
Total	50	100%



The research is conducted to explore working women's conditions in government organization.This finding reveals that 38% women agree with discriminatory gender policy and 62% do not agree. Variant views are found about issues like female employees face harassment at work place. This statement is supported by 26% female employees while 74% working women are against the statement, pick and drop facility for female staff is opposed by 86% on the other hand 14% working women supported this statement.

Finding indicates that inequality with female employees or lack of opportunities in jobs is considered a serious issue. This research tells that female employees face many difficulties in Govt. organization such as gender policy is not fair, lack of trainings, pick and dropfacility, even in some organizations there is a lack of the facility of separate toilets for women, lack of day care centre for their children, inflexible timings(night duty), salary is not enough and not paid on time, lack of appreciation for their work achievements and there is no computerized system and lesser access to the internet facilities at their office, lack of official accommodation and cafeteria facility. There are such kinds of facilities which Govt. should provide to female staff in Govt. organizations especially in Govt. hospitals in Gilgit city where working woman have not any facility according to their duties.

Women employees also faced some common hindrances in Govt. organizations, e.g. harassment issues, work load, no job security, sectarian problems, stagnant work, and bad environmental issues.

X. Conclusion

In the last few decades visible changes in the Northern Areas have took place, in this regard the contribution of Northern Areas Administration is quite significant.

The participation of women in mainstream at Govt. organizations is increasing day by day. The information from statistical analysis indicates that the developments in the fields of female employment ensure by Govt. organizations. When men and women are able to respect and accept their differences than love has a chance to bloom and in this way female employees get facilities and minimize their problems.

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- Present a background, such as by describing the question that was addressed by creation an exacting study.
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- Do not discuss or infer your outcome, report surroundings information, or try to explain anything.
- Not at all, take in raw data or intermediate calculations in a research manuscript.

- Do not present the similar data more than once.
- Manuscript should complement any figures or tables, not duplicate the identical information.
- Never confuse figures with tables - there is a difference.

Approach

- As forever, use past tense when you submit to your results, and put the whole thing in a reasonable order.
- Put figures and tables, appropriately numbered, in order at the end of the report
- If you desire, you may place your figures and tables properly within the text of your results part.

Figures and tables

- If you put figures and tables at the end of the details, make certain that they are visibly distinguished from any attach appendix materials, such as raw facts
- Despite of position, each figure must be numbered one after the other and complete with subtitle
- In spite of position, each table must be titled, numbered one after the other and complete with heading
- All figure and table must be adequately complete that it could situate on its own, divide from text

Discussion:

The Discussion is expected the trickiest segment to write and describe. A lot of papers submitted for journal are discarded based on problems with the Discussion. There is no head of state for how long a argument should be. Position your understanding of the outcome visibly to lead the reviewer through your conclusions, and then finish the paper with a summing up of the implication of the study. The purpose here is to offer an understanding of your results and hold up for all of your conclusions, using facts from your research and generally accepted information, if suitable. The implication of result should be visibly described. Infer your data in the conversation in suitable depth. This means that when you clarify an observable fact you must explain mechanisms that may account for the observation. If your results vary from your prospect, make clear why that may have happened. If your results agree, then explain the theory that the proof supported. It is never suitable to just state that the data approved with prospect, and let it drop at that.

- Make a decision if each premise is supported, discarded, or if you cannot make a conclusion with assurance. Do not just dismiss a study or part of a study as "uncertain."
- Research papers are not acknowledged if the work is imperfect. Draw what conclusions you can based upon the results that you have, and take care of the study as a finished work
- You may propose future guidelines, such as how the experiment might be personalized to accomplish a new idea.
- Give details all of your remarks as much as possible, focus on mechanisms.
- Make a decision if the tentative design sufficiently addressed the theory, and whether or not it was correctly restricted.
- Try to present substitute explanations if sensible alternatives be present.
- One research will not counter an overall question, so maintain the large picture in mind, where do you go next? The best studies unlock new avenues of study. What questions remain?
- Recommendations for detailed papers will offer supplementary suggestions.

Approach:

- When you refer to information, differentiate data generated by your own studies from available information
- Submit to work done by specific persons (including you) in past tense.
- Submit to generally acknowledged facts and main beliefs in present tense.

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Introduction	Containing all background details with clear goal and appropriate details, flow specification, no grammar and spelling mistake, well organized sentence and paragraph, reference cited	Unclear and confusing data, appropriate format, grammar and spelling errors with unorganized matter	Out of place depth and content, hazy format
Methods and Procedures	Clear and to the point with well arranged paragraph, precision and accuracy of facts and figures, well organized subheads	Difficult to comprehend with embarrassed text, too much explanation but completed	Incorrect and unorganized structure with hazy meaning
Result	Well organized, Clear and specific, Correct units with precision, correct data, well structuring of paragraph, no grammar and spelling mistake	Complete and embarrassed text, difficult to comprehend	Irregular format with wrong facts and figures
Discussion	Well organized, meaningful specification, sound conclusion, logical and concise explanation, highly structured paragraph reference cited	Wordy, unclear conclusion, spurious	Conclusion is not cited, unorganized, difficult to comprehend
References	Complete and correct format, well organized	Beside the point, Incomplete	Wrong format and structuring

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