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Elaboration of the Competence Profile of the Residential Child/Youth Care Worker

By Dr. J. M. Fernández Millán, M. Fernández Navas, P. Arrufat Mingorance
& A. Domínguez Escribano

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Abstract- This paper describes the steps used to develop a professional competence profile which allows a residential child/youth care worker to perform his or her tasks in an efficient, effective and confident way. Among the strategic and specific competencies, 11 were selected which explain a high percentage of performance (empathy, planning, resistance to stress, responsibility, problem solving, flexibility, collaboration, teamwork, commitment, expertise and communication skills). Once the list of competencies has been established, the behaviors that reflect them are determined and a questionnaire to evaluate the candidates for the position is elaborated.

Keywords: *competencies, work behaviours, professional profile, child care worker, youth care worker.*

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Elaboration of the Competence Profile of the Residential Child/Youth Care Worker

Dr. J. M. Fernández Millán ^α, M. Fernández Navas ^σ, P. Arrufat Mingorance ^ρ & A. Domínguez Escribano ^ω

Abstract- This paper describes the steps used to develop a professional competence profile which allows a residential child/youth care worker to perform his or her tasks in an efficient, effective and confident way. Among the strategic and specific competencies, 11 were selected which explain a high percentage of performance (empathy, planning, resistance to stress, responsibility, problem solving, flexibility, collaboration, teamwork, commitment, expertise and communication skills). Once the list of competencies has been established, the behaviors that reflect them are determined and a questionnaire to evaluate the candidates for the position is elaborated.

Keywords: *competencies, work behaviours, professional profile, child care worker, youth care worker.*

I. INTRODUCTION

The job exigencies profile or professional profile has been established as a resource or essential and basic tool for the management of human resources as its specifications must generate the decisions to be taken in the selection process, performance evaluation, training, promotion and / or layoff policies.

Competencies are defined "as a set of observable behaviours that are causally related to a good or excellent performance in a particular job and in a particular organization" (Flanagan, 1954). In this definition, observable behaviors become important, by which the task or job becomes successful, and they are grouped by similarity in the construct called competence. That is to say, it is not competence by itself - the name-, but the behaviours that constitute it. (Pereda and Berrocal Sanz, 2003). Another important aspect of this definition is that each organization is unique and each work different (Pereda et al., 2003), as the competences and behaviours associated with them will be different in each case. This involves a difficulty because generic profiles or standardized instruments cannot be used.

While, for the profiles requirement of posts until relatively recently (and even today), the approach used was based on the traits (psychometric profile), today this scheme has been surpassed, being the competence profile the one used due to its operativity and effectiveness. "Nevertheless, its implementation has not been without controversy. Facing the enthusiasm of

its advocates, are placed those who question its empirical support, positive results, advantages and even its conceptual bases" (García- Saiz, 2011, p.473). Basoredo (2011) states in his research that competence is a much debated topic and it has led to countless interpretations for over 30 years.

The benefits of this methodology and its widespread application in the field of human resources are explained by the competence approach that establishes a set of observable behaviours that enable effective and efficient performance and are always tied down to a structure, a strategy and an organizational culture in a particular post. This facilitates the orientation of behaviours that seek efficiency, effectiveness and confidence of the people within the organization (Pereda, Berrocal and Lopez - Quero, 2002).

Meanwhile, in the trait approach, it starts from the idea that people have fixed underlying characteristics (traits) that can hardly be changed. (...). There are researches, such as McClelland (1973), concluding that the traditional aptitude or personality tests, as well as titles and academic merits, are not the best predictors of job performance or success in life (Pereda et al., 2002, p.46). This difference can be observed by comparing the "behavioral iceberg" of one or another approach (see Figure 1).

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Figure 1 : The “behavioral iceberg” defines the competencies as observable behaviours. Pereda and Berrocal (1999). (Picture retrieved from http://www.atrío.org/wp-content/uploads/iceberg_clevenger_grande.jpg).

In order to delimit the concept that designates the professional of the social education (subject to analysis of our study), it is appropriate to highlight the fact that there are many and varied names for the same in Europe. While in the countries of Latin tradition the literal translation would be *Social Educator*, in Ireland, for example, the term used is the *Social Care Worker*. In the UK, meanwhile, it such a profession does not exist, including these workers in the area called Social Work and usually associated with terms such as *youth worker*, *residential care worker*, *community worker* and so on (Calderón, 2013). In the present study, the term used will be that of the *social educator* or *social care worker*, to refer to professional in general, and the *residential care worker* or *youth worker*, to refer to the social educator working with adolescents and children in care or juvenile facilities.

The reason to choose the social educator or social care worker as the subject for the elaboration of the competence profile is justified by its recent introduction as higher education in Spain. This issue requires research to specify training needs appropriated to the tasks and functions of the Social Care Worker as a professional in their different fields of application (Ortega, et al. 2006). In addition to this, the importance of this profession is growing in most of the European

Union states where the situation has been regulated or is in the process of being (Calderón, 2013).

Other authors have conducted researches in accordance with our line of work. One example is Muñoz-Galiano's survey (2008), which seeks to identify the competences necessary for excellent performance of social educator working in residencies for the elderly. Meanwhile, Ortega et al. (2006) performed a research in the community of Castilla y León (Spain) in order to develop a coherent plan of studies with the real demands of the professional profile.

Considering the above, the aim of this research has been to implement a competency profile of the social care worker of juvenile facilities in the Centro Asistencial de Melilla (Care Center of Melilla, Spain), given its long history (almost 100 years old) and the fact that it includes 3 areas of work (adolescents, children and infants) with a large staff.

The procedure reported by Pereda, Berrocal and Alonso (2001) has been followed to develop the profile. Most critical steps, along the statistical treatment of results, have been the collecting data on strategic competencies and specific competencies of the job. (See Figure 2)

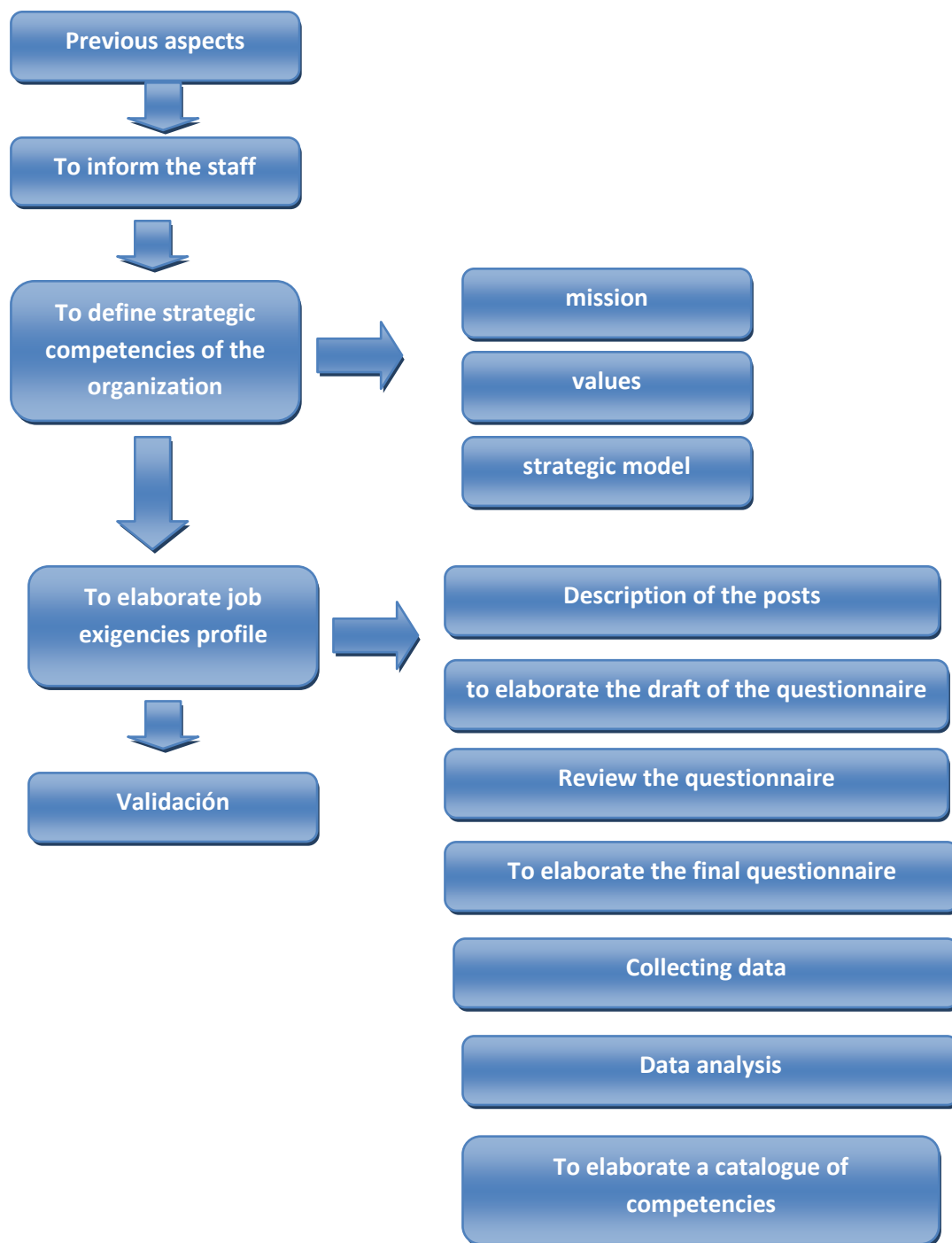


Figure 2 : Procedure of elaboration of competence profile by Pereda et al. (2001)

II. METHOD

a) Participants

Data collection was attended by 4 members of the Strategic Management (manager, head of economic resources, director of one of the juvenile facilities and union representative) and 10 social educators (62.5% of the staff from the building of welcomed adolescents).

b) Procedure

Individual meetings took place with the manager, the head of economic resources, one of the

directors of one of the juvenile facilities and an union representative, as well as educators, who were asked to choose a number of competencies from a list with their definitions which, in its discretion, were the most important (for the values of the company, in the case of strategic competencies, or to carry out their work, in specific ones). Subsequently, they were asked to rank their chosen ones according to the importance.

Once the selection and ranking of competencies was finished, a new task was to choose and order, using another questionnaire, the behaviours

they thought best reflected each one of the selected competencies. After collection, this data became analyzed using the method proposed by Pereda et al. (2001).

III. RESULTS

a) *Selected Strategic competencies*

From the data provided by the members of the strategic direction and following the statistical

processing proposed by Pereda et al. (2001), the results shown in Table 1 are obtained. Since the first 9 competencies explain a high percentage of performance (87.71%), these will be taken as relevant and the rest as important or recommended.

Table 1 : Order and accumulated value of the competencies selected by the strategic management.

Competencies	Order	Value (%)	Accumulated Value (%)
Teamwork	1	27,05	27.05
Commitment	2	14,75	41.8
Responsibility	3	13,11	54.91
Expertise	4	9,84	64.75
Planning / organization	4	9,84	74.59
Communication	5	6,56	81.15
Collaboration	5	6,56	87.71
Resistance to stress	6	4,10	91.81
Customer orientation	6	4,10	95.91
Loyalty	7	3,28	99.19
Learning	8	0,82	100.01

b) *Selected Specific competencies*

In a process similar to the above, educators (10) chose the specific competencies to perform their job effectively, efficiency, with confidence and

satisfaction. From the data provided on the 10 questionnaires, the results of Table 2 are released. In this case, the first 9 competencies are selected, as they explain a high percentage of performance (91.37%).

Table 2 : Order and accumulated value of competencies chosen by workers dealing with the profile to be develop.

Competencies	Order	Value (%)	Accumulated Value (%)
Empathy	1	28,426	28.42
Planning	2	16,920	45.34
Resistance to stress	3	10,998	56.34
Responsibility	4	7,614	63.95
Problem solving	5	6,091	70.05
Flexibility	6	5,415	75.46
Collaboration	6	5,415	80.88
Teamwork	6	5,415	86.29
Commitment	7	5,076	91.37
Excellence	8	3,046	94.41
Decision	9	1,692	96.10
Influence	10	0,846	96.95
Communication	10	0,846	97.80
Development of people	10	0,846	98.64
Leadership	11	0,508	99.15
Continuous improvement	11	0,508	99.66
Expertise	12	0,169	99.83
Negotiation	12	0,169	100.00

c) *Selection of the behaviours associated to competencies.*

The following step was to select the behaviours associated with the chosen strategic and specific skills (11). The selection was made taking into account the

data provided by the strategic direction and/or the educators (according to the data of the second questionnaires). The following behaviours were selected (Table 3).

Table 3 : Order and accumulated value of behaviors associated with the selected competencies.

	Order	Accumulated Value (%)
Empathy		
To listen carefully to others when they come to him or her.	1	43,09
To understand the feelings of a person at a given time.	2	73,48
To perceive the moods of others.	3	98,34
Planning		
To identify and develop appropriate methods for achieving team department and company goals.	1	52,17
To foresee resources (technical, human and financial) necessary to achieve the objectives within the time limits.	2	65,21
To identify internal and external factors that can affect the achievement of objectives.	3	73,91
To set ambitious but realistic goals for his/her team or department.	4	80,86
Resistance To Stress		
To maintain a logical and controlled approach in conflict and difficult situations that require fast and precise action.	1	37,61
To keep a criterion or a decision, despite the pressures, unless there are reasons for the change.	2	54,70
To remain friendly and quiet when others express disagreement or opposition to their own ideas or opinions.	3	68,38
Not to get emotionally involved in conflictive situations.	4	78,63
To face setbacks, maintaining a high level of effectiveness in the development of its functions and activities.	5	87,18
Responsibility		
To define clearly the primacy of the collective good over individual interests.	1	34,78
Responsibility for the work, undertaking the functions of your area without requiring a continuous direct supervision.	2	65,21
To meet commitments.	3	82,60
Problem Solving		
To determine the objective causes of problems.	1	66,66
To simplify the information to explain what happened.	2	74,07
To provide various options and alternatives to a problem.	2	81,48
To take into account any factors that may lead to future problems, before adopting a solution for the current one.	2	88,88
Flexibility		
To control situations where different people require different things simultaneously.	1	36,84
To remain effective when activities and priorities change quickly.	2	68,42
To easily adapt to changing activities and responsibilities.	3	82,45
To be functionally versatile.	4	92,98
Collaboration		
To insist on the need for cooperation between all partners.	1	49,29
To help resolve conflicts and disagreements exploring differences and identifying common ground.	2	80,98
To show appreciation and value the opinions and ideas of others.	3	89,43
Teamwork		
To insist on the need for employees to work together and collaborate to solve the difficulties of working.	1	68,00
To try to reach agreements on issues of work.	2	81,71
To emphasize the need to maintain a team attitude to problems.	3	88,57
Commitment		
To performs its activities by investing the time and energy required to achieve the objectives of the organization.	1	40,32
To respect rules and procedures in place correctly and objectively.	2	69,35
To support taken decisions though he/she does not fully agree.	3	85,48
To behave in accordance with the values and expectations of the organization.	4	95,16

Expertise		
To know in detail the most appropriate techniques in their work.	1	66,70
To experience in the use of the most appropriate techniques in their work.	2	77,80
To understand how to carry out work processes.	3	88,90
Communication		
To compare and verify information gathered.	1	50
To talk with peers to receive and / or give them information and instructions.	2	68,8
To talk to superiors to receive and / or provide information	3	81,3
To check that the interlocutor understands what one says and the consequences of the message.	4	93,8

IV. DISCUSSION AND CONCLUSIONS

The procedure was used to develop a list of behaviours that reflect the skills that both management and the workers themselves consider essential to carry out its work with effectiveness, efficiency, confidence and satisfaction. These behaviours are basic to human resource management and decision-making such as selection, performance appraisal, training planning or development of professional careers. They must be carried out based on the evaluation of the degree of acquisition of these behaviors or competencies. This way, the elaborated professional profile can be the basis for the preparation of questionnaires or as a guide to interviews of competencies.

In this paper a phenomenon has appeared that is not uncommon in organizational practice. This is a partial mismatch between the strategic and specific competencies (only 54.54 % of the strategic competencies are among the specific ones), which means that the worker does not know or endorse the corporate values.

One of the issues of importance in any company is that competencies rated as essential by the entity, i.e., strategic competencies, those that reflect the

goals and values of the organization, will be assimilated by workers finally performing the various tasks. It is therefore essential that the downward vertical communication is effective enough to convey these values from the top to the base (see Figure 3), as well as the values that the organization and its representatives want to convey are not merely theoretical ideas that do not match, or even contradict, with the actions taken and the rules set. This was the case of ENRON company and its chairman Ken Lay, in which there was a lack of consistency between the values and the objectives that the company had as corporate values (respect, integrity, communication, excellence...) and actual (benefit) (Carol and Plans, 2012).

In the absence of agreement between the strategic and specific values found, it is proposed, as an improvement measure, a survey and change in the transmission of these values so that the workers know and endorse them observing that the values said to be essential are implemented, valued and enforced.

A second measure would be the inclusion of these strategic competencies among the requirements in the selection of staff, as well as appropriate training to acquire those which the staff lack.

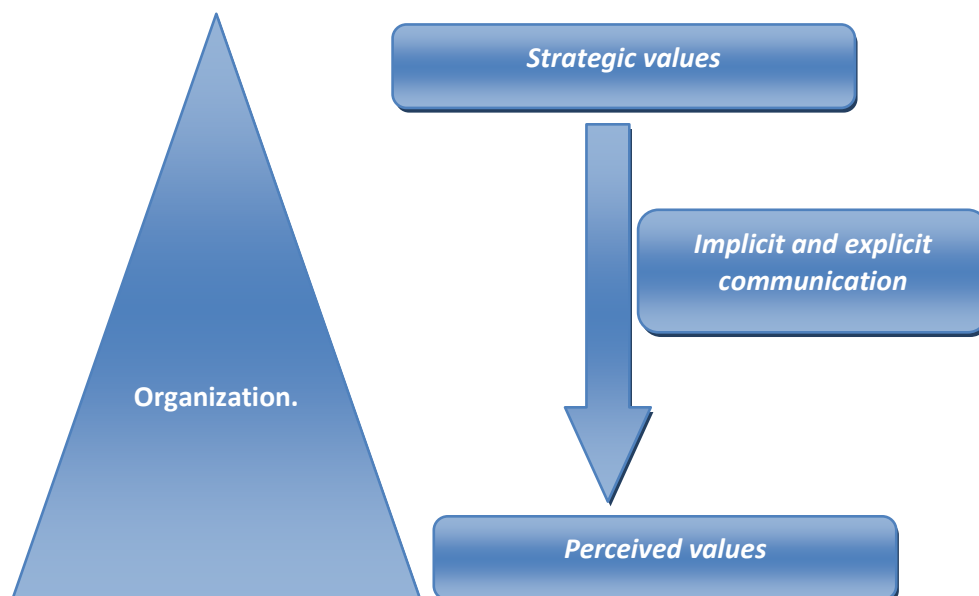


Figure 3 : Downward vertical communication of the strategic values.

The results of this study show data similar to those reflected in other research, such as the work of Muñoz Galiano (2008) who in his thesis, based on the opinion of those who live in residencies of the elderly, finds as most significant competencies to perform the practice of the social care worker: the ability to develop relationships, communicate and actively listen and discover the human, social and cultural potential (ordered by frequency). Regarding the data of our study, some of the significant competencies included within the profile of the residential care worker in the Care Center Melilla are: collaboration, teamwork, empathy and communication and they may be included in the categories of interpersonal relationships and communication and active listening. The appearance in our work of other additional competencies to those found by Muñoz-Galiano may be due to two differences between the studies. The first one is the difference in the scope of work of educators (the elderly/children). The second one is the different sources of selection competencies (in our case, the company and the professional and, in the case of Muñoz-Galiano, the customers).

Other studies, such as Ortega et al (2006), consider the following skills needed to perform the work of the social educator: problem solving, interpersonal skills, teamwork, knowledge of the main types of maladjustment and lines of action on them, and knowledge of the design and use of resources and educational intervention strategies, among others. All these skills match, although some of them are collected with different names, those included in our profile.

Considering the selection of strategic and specific competencies and supported by similar results found in previous studies, a questionnaire has been developed with the behaviours that should be included as a professional profile of this job (see Appendix).

From the results obtained in this study we can conclude that it provides a methodological tool with sufficient guarantees to serve as a guide for assessing the suitability of candidates for the post of social care worker in the field studied.

Finally, it should be noted the need of future similar researches to provide instruments scientifically developed to carry out an eminently practical and necessary task as it is the preparation of professional profiles.

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APPENDIX

Cuestionario de comportamientos del perfil profesional del educador social en centros de acogida.

Trabajo En Equipo	SI/NO
Insistir en la necesidad de que los empleados trabajen juntos y colaboren para solucionar las dificultades del trabajo	
Intentar llegar a acuerdos en los temas de trabajo	
Acentuar la necesidad de mantener una actitud de equipo ante los problemas	
Compromiso	
Desempeña sus actividades invirtiendo el tiempo y la energía necesarios para conseguir los objetivos de la organización.	
Respetar reglas y procedimientos vigentes de manera correcta y objetiva.	
Defiende las decisiones tomadas aunque personalmente no las suscriba completamente.	
Se comporta de acuerdo con los valores y expectativas de la organización.	
Responsabilidad	
Definir claramente la primacía del bien colectivo sobre los intereses particulares.	
Responsabilizarse del trabajo, comprometiéndose con las funciones de su área de actividad sin necesitar una supervisión directa continua.	
Cumplir los compromisos adquiridos.	
Conocimientos Técnicos	
Conocer detalladamente las técnicas más adecuadas en su trabajo.	
Tener experiencia en el uso de las técnicas más adecuadas en su trabajo.	
Entender cómo se llevan a cabo los procesos de trabajo.	
Planificación	
Identificar y desarrollar los métodos adecuados para la consecución de los objetivos del equipo o del departamento y los de la empresa	
Prever los recursos (técnicos, humanos y económicos) necesarios para alcanzar los objetivos en los plazos fijados	
Identificar los factores internos y externos, que puedes afectar a la consecución de objetivos	
Establecer objetivos ambiciosos, pero realistas, para su equipo o departamento	
Comunicación	
Contrastar y verificar las informaciones recogidas.	
Hablar con compañeros para recibir y/o darles información e instrucciones.	
Hablar con superiores para recibir y/o proporcionarles información.	
Comprobar que el interlocutor ha comprendido lo que dice y las consecuencias del mensaje.	
Colaboración	
Insistir en la necesidad de cooperación entre todos los compañeros.	
Ayudar a resolver conflictos y desacuerdos explorando las diferencias e identificando los puntos comunes.	
Mostrar reconocimiento y valorar las opiniones e ideas de otros.	
Empatía	
Escucha atentamente a los demás cuando acuden a él o a ella	
Comprende los sentimientos de una persona en un momento dado	
Percibe los estados de ánimo de los demás	
Resistencia A La Tensión	
Mantener un enfoque lógico y controlado en situaciones problemáticas conflictivas que exigen una acción rápida y precisa.	
Mantener un criterio, o una decisión, a pesar de las presiones existentes, a no ser que existan razones que justifiquen el cambio.	
Permanecer amable y tranquilo cuando los demás expresan desacuerdo u oposición ante las propias ideas u opiniones.	
No implicarse emocionalmente en situaciones conflictivas.	
Afrontar las contrariedades, manteniendo un nivel elevado de efectividad en el desarrollo de sus funciones y actividades.	
Solución De Problemas	

Determinar las causas objetivas de un problemas	
Simplificar las informaciones para explicar lo sucedido	
Ofrecer diversas opciones y alternativas a un problema	
Tener en cuenta cualquier factor que pueda dar lugar a futuros problemas, antes de adoptar una solución para el actual	
Flexibilidad	
Controlar situaciones en las que diversas personas exigen cosas diferentes simultáneamente	
Continuar siendo efectivo cuando las actividades y prioridades cambian con rapidez.	
Adaptarse fácilmente a actividades y responsabilidades cambiantes.	
Ser funcionalmente polivalente.	



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Enhancing Disaster Preparedness using Murphy's Law

By Joy R.A Otoló & Dr. S.S. China

Masinde Muliro University of Science and Technology, Kenya

Abstract- Murphy's Law is commonly expressed that 'if anything can go wrong it will' and is believed to have been founded between 1940 and 1950. This law has been associated with many problems and failures. Murphy's Law can at times be seen as a threat of impending dangers and disasters since disasters can strike anytime and anywhere. Disasters can include workplace violence, fires, arson, and flooding, drought, terrorist acts, hazardous material spills e.t.c. Murphy's Law can be a reminder for a holistic and integrated approach to disaster preparedness and mitigation so that communities participate in the process using local materials and being part of the process. This makes the communities resilient. At work place, implementing a continuous programme of testing and role-playing, safety and security professionals involved in contingency planning can dramatically improve their organizations chances of cutting loss when a disaster strikes. Strategic planning and contingency plans have come about so that Murphy's Law does not prevail. However, Murphy's Law can prevail if there is no disaster preparedness, mitigation and when contingency plans are filed away in cabinets and forgotten.

Keywords: *murphy's law, disasters, holistic, integrated approach, disaster preparedness, mitigation, contingency plans, strategic planning.*

GJHSS-A Classification : FOR Code : 920407



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Enhancing Disaster Preparedness using Murphy's Law

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Objectives

- To define Murphy's law
- To explain the origin of Murphy's Law
- To relate Murphy's Law to Disasters
- To explain the importance of contingency planning and Murphy's law

I. INTRODUCTION

Murphy's Law was founded between 1949 and 1950. All disasters, calamities and failures are attributed to this law. In this essay the origin of Murphy's Law and its definition will be explained. Then its relationship to disasters will be examined showing whether it is true in today's technology and disaster risk reduction and contingency planning or not. Contingency planning is important with Murphy's Law since strategic planning if well implemented can make Murphy's Law not to prevail.

II. DEFINITION

Murphy's law is commonly expressed as, "if anything can go wrong it will" or "Everything that can go

wrong, will go wrong". Many problems, failures, and annoyances are attributed to Murphy's Law (Harris, 2011, Smith, 2011). In relation to disaster occurrences then Murphy's Law would imply that disasters cannot be stopped. That is, if disasters are to occur then they will happen.

III. ORIGIN OF MURPHY'S LAW

Most people do not know the origin of Murphy's law (Harris, 2011). Murphy's Law is usually thought to be named after Captain Edward Murphy, a development engineer with the United States Air Force who was working with acceleration and deceleration experiments at Edwards Air Force Base in the 1940's and the 1950's. It is believed Murphy's Law most likely originated during his projects with Dr. John Paul Stapp who designed experiments around gravity forces (Harris, 2011). Aerospace manufacturers picked up Murphy's Law and used it widely in their advertisement during the next few months, and soon it was being quoted in many news and magazine articles. At that point Murphy's Law was born (Smith, 2011).

IV. MURPHY'S LAW AND DISASTERS

Everything that can go wrong will go wrong is what Murphy's Law states. This may at times be seen as a threat that something will go wrong and it cannot be stopped. It is important to believe and accept that the threat is real, since this can make citizens take action. Denial is a common thread among most of the law breakers and can make one be in denial throughout. It is one thing to be ignorant and innocent of the dangers that might be caused by disasters and another to be aware of them. It is good to be aware of a potential impediment so that it can be mitigated for the success of a project and saving of life and assets. However, to consciously ignore borders on the criminal since when the calamity/disaster occurs, it causes a lot of damage.

Murphy's Law may not prevail in all cases and can be handled through the process of Disaster Risk Reduction. The risk reduction process starts with risk identification followed by risk assessment and then risk mitigation. The potential of risks is identified then the potential of the occurrence of the risk event and its impact is identified should the event occur. Without mitigation, the project may be vulnerable and fail. Risk mitigation involves identifying actions that can be taken

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to lessen the deleterious effect of risk events or alternatives to avoid or lessen the risk mitigation. Planning often involves some upfront costs to lessen the effect of costs if the unmitigated event occurs. Risk can be diffused by implementing a structured risk management process and in such a case Murphy's Law may not prevail.

Also, in relation to hazards some hazards can be prevented depending as to whether they are geological, natural, hydrological, meteorological or manmade. For example a manmade hazard that may course an accident can be prevented by careful driving, observing of the traffic rules and the traffic police being vigilant. Other disasters can be mitigated by training the community members, equipping the disaster managers, having accurate early warning systems, active emergency systems that can be alert and ready in an event of a disaster. Some hazards like earthquakes and cyclones which are natural may happen but still the impact can be reduced.

Murphy's Law states that if anything can go wrong it will. However, in occurrence of hazards that may lead to disasters, this law may not prevail. This is because there is disaster risk reduction and management. In natural hazards which may be as a result of increase in natural disaster due to uncontrolled development, unregulated land use practices such as deforestation and slop mining on the hill above the land can create a hazardous situation that can be avoided since people and their resources can be protected against these disasters by anticipating potential catastrophes.

Also low lying countries in Northern Europe for example the Netherlands are famous for constructing an extensive system of sea dykes that have both reclaimed land and protected inhabitants from flooding since the 18th century (UNISDR, 2004) this then means that Murphy's law has not prevailed in this instance and what will happen does not happen. Also embankments in Shanghai, China, Singapore have protected lucrative commercial and port activities since the middle of the 19th century thus making Murphy's Law none prevailing.

UNISDR (2004) further observes that in Vietnam, Villagers have been obliged over the centuries to clean, repair and strengthen their crucial irrigation channels and sea dykes prior to the start of every annual cyclone season. This has been recognized as a necessary precaution to ensure the continued cultivation of rice, on which the society has always depended.

The development of science and technology can save lives and assets when they are linked to effective early warning systems and evacuation procedures. For example scientific monitoring showed an immediate threat posed by the possibility of Mount Pinatubo's Crater Lake breaking its walls and disastrously flooding villages on the flanks of the volcano. This early warning allowed Philippine officials to

drain the lake safely in a controlled manner, with full public awareness and preparations for evacuation had it been necessary (UNISDR, 2004). Thus early warnings of impending disasters and their effective dissemination are key factors to successful disaster prevention and preparedness.

Currently there is more emphasis on the identification and management of risks as part of development planning. Additional human and material resources are slowly being allocated to risk reduction activities from sources other than emergency contingency funds. There is also implementation of disaster reduction policies and measures to enable societies to be resilient to natural hazards and ensure that development efforts do not increase vulnerability to those hazards.

In the recent passed there is working at building a culture of prevention of disasters. While natural phenomena causing disasters are in most cases beyond human control, vulnerability is generally a result of human activity. Therefore society must recognize and strengthen traditional methods and explore new ways to live with such risks, and take urgent actions to prevent as well as to reduce the effects of such disasters by the available capacities. These preventive measures are most effective when they involve participation at all levels from the local community through the national government to regional and international level (UNISDR, 2004).

Vulnerability can be reduced by the application of proper design and patterns of development focussed on target groups by appropriate education and training of the whole community. Environmental protection as a component of sustainable development consistent with poverty alleviation is imperative in the prevention and mitigation of natural disasters. Also knowledge development and research are contributing to disaster risk reduction.

V. CONTINGENCY PLANNING AND MURPHY'S LAW

Disaster planning is about anticipating the types of disaster that may occur and the effect on communities. Disaster management planning is a collective responsibility by the government, private sector and the community (UNISDR, 2004). They need to work together so that knowledge, resources and effort are used to minimize effects of disaster on communities, the economy and the environment. This then calls for contingency planning in disaster management.

Disasters can strike anytime, and anywhere. Implementing a continuous programme of testing and role-playing, safety and security professionals involved in contingency planning can dramatically improve the organizations' chances of cutting loss when a disaster strikes (UNISDR, 2004). Many government departments,

organizations and businesses understand that contingency planning is vital, and more often than not they already have established such plans. Policies, procedures have been created; estimates on duration and cost of potential incidents have been worked out; and contact lists, protocol, and procedures for obtaining outside resources have been put in place. The final draft of the plan has been approved, printed, and returned for distribution; copies have been circulated, and everyone feels confident that the organization will be prepared to cope with any emergency.

However, more often than not this is the end of the process since the contingency plan ends up being filed in a cabinet behind other documents and it is eventually forgotten until the disaster actually occurs. It is when a functioning plan is most needed, that Murphy's Law will prevail: "Everything that can go wrong will go wrong."

At this point when the contingency plans are not implemented Murphy's Law prevails and NOT to be said to be true. However, it prevails when the structures are not in place and the policies are not implemented.

Contingency planning in Kenya has been an issue and many disasters that can be prevented have caused havoc. Examples are the frequent floods in budalangi, Nyando flood plains, and along river Tana. The fires in the Nairobi slums for example deep sea, Kibera, Mathare and the destructive fires in the Aberdare forests are a result of lack of disaster preparedness and management. There have been several collapsed buildings that have not been structurally designed and poor land use that has led to landslides, soil erosion and floods. The perennial droughts in Turkana, Pokot and North Eastern parts of Kenya have made the communities vulnerable and to rely on relief food instead of working on disaster prevention and mitigation programmes are partly as a result of not implementing strategic plans or having none.

The terrorist attacks at Westgate, bus terminals, churches and other parts of the county are examples of disasters that have struck leading to loss of lives due to lack of early warnings by the intelligence service units, poor coordination by the rescue units and other disaster management mechanisms. This has caused insecurity and led to injuries, loss of life, property and assets valued at millions of shillings not forgetting the trauma and psychological effect on the victims as a result of the disasters.

VI. CONCLUSION

Murphy's Law says that, "Everything that can go wrong, will go wrong" was mostly relevant and applicable in the 1940's. However, now Murphy's Law can prevail if structures are not put in place and implemented. It is important to believe and accept that the threat is real since this can make citizens take action such that Murphy's law does not prevail.

VII. RECOMMENDATIONS

Putting strategic plans in place and implementing them can contribute to the non-prevailing of Murphy's Law. In the 21st century with the development of technology, the building of capacities of citizens, research in the field of disaster and its management, and implementation of policies is crucial so that Murphy's law may not prevail at all times. Hazards can be mitigated and they can only cause disasters when they find a vulnerable situation. Vulnerability can be reduced by drawing policies, implementing them, building capacities and by the application of proper designs and patterns of development focussed on target groups. Therefore provision of appropriate education and training of the whole community is crucial in disaster prevention.

The governments can use public investments to improve their countries infrastructure and to promote physical environment where a disaster is less likely to occur. All these efforts are aimed at making sure that Murphy's Law does not prevail.

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"The Image of the Opera in the History of Painting: Delacroix and Rossini 'S Otello"

By José Salvador Blasco Magraner & Francisco Carlos Bueno Camejo

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Abstract- Eugène Delacroix was always a lover of opera and theater. One of his most admired opera composers was Gioacchino Rossini. This article delves into the operatic and theatrical iconography of Delacroix, about "Othello", based on the original work of Shakespeare and the eponymous opera by Rossini and his librettist, Berio. We have also consulted the "Diaries", as they were the original documents of the French painter. The analyzed pictures are "Desdemona cursed by her father" and "Otello and Desdemona." Finally, we have risked venturing into a general view of both Delacroix's oils on canvas.

Keywords: *delacroix, rossini, shakespeare, othello, desdemona, opera, theater, iconography.*

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"The Image of the Opera in the History of Painting: Delacroix and Rossini's Otello"

José Salvador Blasco Magraner ^α & Francisco Carlos Bueno Camejo ^σ

Abstract- Eugène Delacroix was always a lover of opera and theater. One of his most admired opera composers was Gioacchino Rossini. This article delves into the operatic and theatrical iconography of Delacroix, about "Othello", based on the original work of Shakespeare and the eponymous opera by Rossini and his librettist, Berio. We have also consulted the "Diaries", as they were the original documents of the French painter. The analyzed pictures are "Desdemona cursed by her father" and "Otello and Desdemona." Finally, we have risked venturing into a general view of both Delacroix's oils on canvas.

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I. STATE OF THE MATTER

The oil paintings devoted to Rossini's "Otello" by Eugène Delacroix - that is to say, "Desdemona cursed by her father" and "Otello and Desdemona" - have been contemplated on both sides of the Atlantic. Among other issues, we have tried to clarify whether the iconographic sources on which the French painter relied upon come from Shakespeare's "Othello", Rossini's "Otello" or it is rather a *mélange* between the two versions.

The purpose of this article is to make a modest contribution to the operatic iconography of Delacroix and to approach its meaning.¹ Having this in mind we have considered Delacroix's own statements on the matter, expressed in his "Diaries"- and while the French painter does not explain at all the iconographic content of both paintings, he does manifest on his operatic and theatrical preferences. We believe that these could be a valuable source to unravel the origins and the message of the *Otellian* images.

As far as literature is concerned, although there are published references in English, French and Italian, the most interesting are perhaps the latter.

This is the case of the Trentino monograph, published in 2010 by the *Museo di Arte Moderna e Contemporanea di Trento e Rovereto*, where Guy Cogeval and Beatrice Avanzi have coordinated a

splendid book entitled *Dalla scena al dipinto*. The book runs through the theatrical painting from David to Delacroix and from Füssli to Degas. By examining Delacroix, Katharine Lochnan chapter opens precisely with the photographic reproduction of the painting "Desdemona cursed by her father." This Canadian author focuses her research on the influence that Shakespeare had on Delacroix. The corollary-phrase that sums up her dissertation is:

*Il giovane Delacroix, immerso nella sua malinconia romantica, si identificava con molte figure tragiche delle opere di Shakespeare e dei romanzi di Sir Walter Scott.*²

Lochnan does not describe the impact of Rossini's operas in the young Delacroix, as the painter himself acknowledges in his "Diaries".

Other authors, however, are inclined to recognize the combined influence of Shakespeare and Rossini.

II. DELACROIX AND ROSSINI. "OTELLO"

a) Premiere of "Otello".

The premiere of the opera "Otello" by Rossini took place in Paris in 1821 and according to Celsa Alonso, professor at the University of Oviedo it was *anthological*. Together with the famous Giuditta Pasta, it also intervened the famous Spanish singer and composer Manuel del Pópulo Vicente García.³ Eugène Delacroix recognizes the theatrical skills of Manuel García to his son, Manuel Patricio Rodríguez García, in his "Journal" of 1847, as follows:

January 27, 1847. (...)

*I tell him that García, his father, was a great comedian, he himself constantly in all his theatrical roles, despite his apparent inspiration.*⁴

Meanwhile, "Otello" is a Lyric Tragedy in 3 Acts written by an amateur playwright, the Marquis Francesco Maria Berio di Salsa, who was, however, a

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¹ This article is a continuation of a previous one, published in the journal "Itamar". We now have provided documentation extracted from the "Diaries" of Delacroix, and a neater bibliography consultation and analysis, we believe, more complete. For a view of the primeval article (Cf: BUENO CAMEJO, F: *Las operas y los pintores: Rossini y Delacroix: "Otello"* Itamar, No. 3, 2010, pp 139-147.).

² LOCHNAN, KATHARINE: "Delacroix in scena".In: AA. VV. (GUY COGEVAL and BEATRICE AVANZI, coord.): *Dalla scena al dipinto. La magia del teatro nella pittura dell'Ottocento. Da David a Delacroix, da Füssli a Degas*. Museo di Arte Moderna e Contemporanea di Trento e Rovereto. Skira, Milan, 2010, p. 179 et seq.

³ ALONSO, CELSA: *Manuel García, 1775-1832 In "Semblanzas de compositores españoles"*nº.13, p. 4 <http://www.march.es/publicaciones/semblanzas/pdf/garcia.pdf> (Accessed in August 2010).

⁴ Delacroix, Eugene (Introduction and notes by Guillermo Solana Díez): *Antología de los Diarios*. Madrid, Tecnos, 1987, p. 7.

man of great culture, fine wit and exquisite courtesy, if we stick to Stendhal's attempted version on him. Five years before the anthological premiere in Paris "Otello" was born in Naples in the Teatro del Fondo,⁵ in late 1816. The sculptor Antonio Canova became a thoughtful witness of the brilliant success of Rossini, who, with this opera reached the summit as a consummate composer of opera seria.⁶ "Otello" was written by Rossini for the Spaniard Isabella Colbran, the best mezzo and dramatic soprano with a great mastery of the *coloratura* of her time. This Spanish singer played "Desdemona" in the premiere in Naples.⁷

b) delacroix's admiration for rossini

The admiration felt by Delacroix for Rossini is a fact highlighted by the artist himself in his "Diaries"⁸ and reproduced even in informative manuals.⁹

Although we must recognize that Delacroix's favorite opera was undoubtedly "Il Matrimonio segreto" an opera *buffa*, Domenico Cimarosa's authentic *capolavoro*. This was a confession he made in his "Journal" during the three years in which he painted the Rossinian oil paintings:

*Sunday, February 24, 1850. (...) In the afternoon, to the divine Il Matrimonio Segreto, with Mme. de Forget. That perfection is found in very few human works.*¹⁰

After "Il Matrimonio segreto", Mozart and Rossini become his favorite opera composers. In Mozart, he greatly praises "Don Giovanni". Rossini is considered a follower of Mozart. And, in a sense, he is. Three years earlier, in 1847,- only 1 year before the implementation of the oil "Othello and Desdemona" - we must observe the fineness with which Delacroix dissects the Gallery of Mozartian characters, while he openly expresses his admiration for Mozart, first, and then for Rossini:

February 14, 1847. Lo Bello is certainly the conjunction of all conveniences. Developing this, remembering the Don Giovanni I saw yesterday.

*What an admirable fusion of elegance, expression, bufo, how terrible, how tender, how ironic, each in its measure. Cuncta fecit in pondere, numero et mensura.*¹¹ *In Rossini, the Italian aspect prevails, ie ornament dominates the expression. In many of Mozart's*

operas it is not otherwise as it is always ornate and elegant, but the expression of the delicate feelings takes a melancholy tone that does not suit all subjects. In the Don Giovanni he does not fall into this problem. The issue, moreover, was wonderfully well chosen, due to the variety of characters. D. Anna, Ottavio, Elvira, are serious characters, especially the first two, in Elvira one can guess a brighter hue and Don Giovanni, alternatively bufo, insolent, insinuating, even tender,. There exists an inimitable coquetry in the Peasant; Leporello, perfect from beginning to end.

*Rossini does not really change both characters.*¹²

The year after having painted "Desdemona cursed by her father," Delacroix keeps renewing his vows of admiration for both composers:

*Friday, April 15, 1853. (...) Oh Rossini! Oh Mozart! Oh geniuses inspired by all the arts, who take from things only what the spirit needs to be shown.*¹³

After the death of Isabella Colbran in 1845, Gioacchino Rossini married Olympe Pélissier. In the Chaussée-d'Antin in Paris in 1860 Rossini often receives Delacroix at home.¹⁴ In April 12, 1860, the French painter emits a late judgment on Rossini, which raises the composer to the *genius* category, *inexhaustible*, although somewhat neglected and *mannerist*, formulaic:

*April 12, 1860. (...) With the same human element he adds or removes, modifies his stuff and makes men of his invention, which, however, are true ... This is one of the strongest traits of the genius. This also happens with Molière, and Cervantes, and so it happens with Rossini, with its amalgam. A sloppy execution is the only difference with these men. By a uniqueness that is not often found in men of genius, he is lazy, he has formulas, other added customary particularities that prolong his method, which are always a part of his style, but are not marked by a stamp of strength and truth. His fertility is inexhaustible, and he is real and ideal at a time wherever he decides to be.*¹⁵

III. DELACROIX'S ICONOGRAPHIES

a) "Desdemona Cursed by Her Father."

i. Iconography

In the canvas painted in 1852 by Eugène Delacroix, with the full title of <Desdemona at the feet of her father, who curses her for having secretly married Otelo>, preserved in the Musée des Beaux Arts de Reims (Fig. 1), the painter used a *mélange* between William Shakespeare's drama in five acts, and an amended argument by librettist Francesco Maria Berio di Salsa for Rossini's lyrical tragedy in three acts.

⁵ The famous Teatro San Carlo had suffered a fire shortly before.

⁶ VITOUX, FRÉDÉRIC: *Rossini*. Alianza Música, Madrid, 1989, pp. 119-120.

⁷ A year earlier, in 1815, Isabella Colbran was romantically attached to Rossini.

⁸ We have consulted the anthology selected by Guillermo Solana. Cf: DELACROIX, EUGÈNE: *The Bridge of vision. Anthology of the Diaries*. (Introduction and notes by Guillermo Solana Díez). Tecnos, Madrid, 1987.

⁹ PELLEGRINO, FRANCESCA AND POLETTI, FEDERICO: *Episodes and characters in literature* Barcelona, Electa, col.. "The dictionary of art," 2004, p. 163: <Delacroix manifested himself very impressed by the lyrical work of Rossini>.

¹⁰ DELACROIX, EUGÈNE: *The Bridge of vision ...* Cit., p. 20.

¹¹ <Everything he did, he did in weight, number and measure>.

¹² DELACROIX, EUGÈNE: *The Bridge of vision ...* Cit., p. 9.

¹³ Ibid, p. 37.

¹⁴ VITOUX, FRÉDÉRIC: *Rossini Op.* Cit., pp. 39-40.

¹⁵ DELACROIX, EUGÈNE: *The Bridge of vision ...* Cit., p. 126.

In the interpretation made by the museum of Reims,¹⁶ it states that the scene *is* <not found in Shakespeare>, but it acknowledges that Othello contemplates that terrible moment.¹⁷

Desdemona's father, Brabantio, -in Shakespeare's original work- receives the news of the secret marriage of his daughter in Scene 3, Act I, in the original drama of the English writer.¹⁸ Some interpretations locate the scene of the picture here, in this precise moment of the plot in Shakespeare's work.¹⁹ Othello is present in it, next to the Dux of the *Serenissima Repubblica di Venezia*, and other characters.

In contrast, in Rossini's "Otello", Berio places the fateful event as *Finale II* (number 9 in the structure of the opera) Act II, which serves as the culmination and climax of the plot, with the curtain fall at the end of it. Elmiro-name given to Desdemona's father in the work of Rossini and Berio-appears furiously on the scene, in the presence of Desdemona, Emilia, Desdemona's confidant-and choir. But Othello has already left the scene with Rodrigo, just before the opening of the *Finale II*, with Emilia's *recitative*. And this is clearly specified in the script.²⁰

What do we think it has really happened?. Delacroix, indeed, composed the painting's main scene locating it in Rossini's opera, the Act II *Finale II*. However, the characters in the background have been taken up from the aforementioned scene in Shakespeare's "Othello", Scene 3 Act I. Very little has been written about these three men, who remain at a distance in the shadows, while enjoying the main scene. Only Othello has been identified as such, but without specifying his clothing. The Moor is wearing a *hijab* and a long *scarf* wrapped around his head, both white in color. There is a male figure located behind him, wearing a similar dress, without the turban and it seems logical to assume that he is a member of his army. Even more interest has the man on the left of the door; dressed in black, the

character blends with the brown, blackish color ranges of the environment. It is just as hard to see his disturbing face and his hat, a luxurious black *taqiya* with beads. It could portray Iago, a villain, yes, Othello's male opponent in the shade, but whose role is to be the servant and confidant of the glorious and jealous Moor of Venice. In sum an officer under General Othello. Iago is a main character in the plot, a member of the quartet of stellar figures: first, Othello and Desdemona, second, the *contrafiguras* Iago and Rodrigo. It seems plausible to assume that Delacroix endorses his plot relevance incorporating him as an eyewitness at the time that Desdemona is disowned by her father. If so, Iago is not present in the *II Finale* of Act II of Rossini's "Otello", but he does participate in the 3rd scene of Act I of "Othello" by Shakespeare. And in the above-mentioned *Shakespearean scene*, Iago makes an appearance on the stage next to Desdemona and servants to listen to Brabantio's parliament, Desdemona's father, in the presence of the Dux, Othello and the Venetian senators.

Delacroix confines the three characters dressed in the Moroccan style under a slightly swollen arc-probably Moroccan too-, communicating with a different room in the scene. This is a clearly theatrical composition, as if the French painter had had *in mente* a scenic design of "Otello," for the door and the wall that support it are arranged transversely to the viewer located in the pit of the theater, fitting with the *legs* of the proscenium wings. The door defines the *elements from the Maghreb*, ie, the Moor Othello and his companions. The painter would probably unfold his imagination here, relying on the trip he made from 1832 by the Maghreb, especially Morocco, with his Tangerine stay to accompany the Count of Mornay on a diplomatic mission, and that allowed him to take plenty of notes and paint a different number of watercolors.²¹

b) "Otello and Desdemona"

i. Iconography

This oil painting, which can be seen in the National Gallery of Canada, was painted by Eugène Delacroix in 1849, ie, three years earlier than the last one. Nevertheless, it narrates the outcome of the plot; therefore, and from the point of view of the argument, it comes after the painting we have just analyzed, in the Musée des Beaux Arts de Reims. The size of the canvas is slightly higher: 0.50 x 0.62 meters. (Picture 2)

The iconographical interpretation often used in this painting is that Delacroix based on two sources: Shakespeare and Rossini. It is a *mélange* between both versions, the dramatic art and the operatic art. See, for example, Meg Nola's dissertation. Published on December 1, 2009, it acknowledges, in turn, the predilection that Delacroix had for Rossini's "Otello":

¹⁶http://www.crdp-reims.fr/artsculture/dossiers_peda/delacroix_desdemone.pdf (Accessed in August 2010).

¹⁷ We enclose the original French text: <La scène peinte par Delacroix, introuvable dans l'oeuvre de Shakespeare, représente la colère du père de Desdémone, sénateur de Venise, qui lui reproche d'avoir secrètement Otello. Ce dernier surgit à l'arrière-plan assiste à la malédiction...>

¹⁸<Lord and my father (...) Look here my husband> (cf. SHAKESPEARE, WILLIAM: *Othello*). (We used the edition of *Othello* by the Shakespeare Institute, directed by Manuel Ángel Conejero Dionis-Bayer. Edit. Cátedra, col. Letras Universales, Eleventh Edition, Madrid, 2009, p. 99).

¹⁹<http://www.kunst-fuer-alle.de/english/art/artist/image/eugene-delacroix/2511/16/64529/act-i,-scene-3-desdemona-kneeling-at-her-father%27s-feet,-1852/index.htm>

²⁰ The version of the libretto by Francesco Maria Berio we consulted is attached to a small inlay folder edition of "Otello" by Rossini for the Philips label. (Cf. ROSSINI, GIOACCHINO: José Carreras *Otello* (Otello), Frederica Von Stade (Desdemona), Salvatore Fisichella (Rodrigo), Gianfranco Pastine (Iago), Samuel Ramey (Elmiro) Condò Nucci (Emilia) Jesus Lopez Cobos (Director). Philharmonia Orchestra. Ambrosian Opera Chorus. Philips. 1978. 2CDs. 432 456-2).

²¹ On this trip he also made a break for Western Andalusia, visiting Seville and Cadiz, the *silver cup*.

Delacroix created his painting with Shakespeare in mind as well as Gioacchino Rossini's opera Otello, which Delacroix enjoyed very much and which was of course inspired by the original play. ²²

In our opinion, however, we think that only on this occasion the French painter was based on the opera source: Act III of "Otello" by Rossini. Therefore, we do not share the hypothesis that suggests that Delacroix was also inspired in Act IV, Scene II, of Shakespeare's original drama. ²³ Indeed, in this last scene written by the English author, Othello mistrusts Desdemona. But Emilia, Desdemona's confidant, has an important role in the dialogue between the spouses, defending the honor of Desdemona in the presence of the jealous husband. As the scene goes by, Shakespeare focuses on the two *contrafiguras*, Iago and Rodrigo. Iago tries to convince Rodrigo to murder Cassio, an honest Othello's lieutenant. Therefore the stabbing of Desdemona by Othello does not take place in this scene.

In the iconography shaped by Delacroix in this painting, there are two objects that unambiguously refer to Act III in Rossini's *opera*: the harp and the lighted oil lamp.

The harp is certainly the most important iconographic element. At the beginning of Act III, and at the end of it with Emilia's *recitative*, Desdemona shares her sorrow with the harp, specified as follows by Rossini and Berio:

*Oh tu del mio dolor dolce strumento!
Io ti riprendo ancora;
E unisco al mesto canto
I sospiri d'Isaura, ed il mio pianto.
(Prende la sua arpa)* ²⁴

Without a solution of continuity, the soprano plays the cavatina *Assisa a' pie d'un salice*, preceded by an extensive *ritornello* from the harp. The harp will also accompany Desdemona throughout the piece. It is the most beautiful moment of Act III from a melodic point of view. Although the composer labels it as a "*canzone*" it is not an aria or ²⁵ even a song *sensu stricto*,²⁶ but a *cavatina* in three stanzas (A-A'-A"). Its structure follows the various verses of the literary text, delimited by punctuation. The music remains the same, although, like the *bel canto*, each subsequent stanza is richly

ornamented. After the last of the stanzas, a gust of wind breaks some windowpanes: a foretaste of the subsequent storm that pleases Rossini so much.

In the text of the cavatina, Desdemona recalls her friend, Isaura who died and was the victim of a cruel love. The soprano foreshadows in this way her dramatic final. The harp is therefore the instrument that symbolizes her pain and her tragic fate.

As for the lighted oil lamp that Otello is carrying in his left hand, it is specified in the script as follows:

(Otello s' introduce nella stanza di Desdemona, per una segreta porta, tenendo in mano una lucerna.) ²⁷

IV. WHO DOES INCARNATE OTELLO AND DESDEMONA IN EUGÈNE DELACROIX'S PAINTINGS? A HYPOTHETICAL APPROACH

If we consider that between 1821 and 1827- this last date he departed to Mexico only to return three years later to France- Manuel García (father) was the principal performer of the opera *Otello*, and that from the following year, 1828, his daughter Maria Malibrán made her debut triumphantly in Paris- she earned the huge amount of 8000 francs per function- and it was the beginning of his meteoric career in Europe and the United States, then it may not be safe to assume that both father and daughter embody a couple of lovers in the imaginary Delacroix's oil paintings. These are the years in which the passion for *the Swan of Pesaro* awakes in Delacroix. But nevertheless we insist that all this is reduced to a mere hypothesis.

It is also possible that Giuditta Pasta, -the other great star of Italian *bel canto* - is behind the character of *Desdemona*, of which she was also a celebrated performer, although the soprano from Saronno had a more ephemeral trajectory: her voice lasted for a period of just over 16 years. In 1837 her decline was evident.

Delacroix recognizes Maria Malibrán's reputation (Fig. 4), although her talent is one of a *bourgeois with no ideals*. The artist prefers Pasta, a performer he levels with Raphael and Rubens, the artists he considered to make copies in the Louvre as he learned in the workshop of Neoclassical painter Pierre-Narcisse Guérin, between 1815 and 1818:

January 27, 1847. (...)

In the afternoon I went to see Labbé, then Leblond. García (son) was there. We have talked about Diderot's opinion about the comedian. He claims that the comedian should be, while self-possessed, passionate. I tell him that everything happens in the imagination. (...)

García, defending the party of sensitivity and passion, thinks of his sister Malibrán. He told us as proof of her talent as a comedian that she never knew how her performance would turn out. (...) So she could be very

²² NOLA, MEG (2009): In *Shakespearean scenes in art*. http://modernarthistory.suite101.com/article.cfm/shakespearean_scenes_in_art (Accessed in August 2010).

²³ Cfr. http://cybermuseum.gallery.ca/cybermuseum/search/artwork_e.jsp?mkey=7660 (Accessed in August 2010).

²⁴ Booklet by FRANCESCO MARIA BERIO DI SALSA. p. 140

²⁵ DOMINGUEZ LUQUE, ANTONIO (2005): *An approach to the only Shakespearean play by Rossini: Otello, ossia il Moro di Venezia* Filomusica, No. 68.. In: <http://www.filomusica.com/filo68/otello.html>

²⁶ ALIER, ROGER (2000): *Universal Guide to Opera Vol. Two*. Barcelona, Ma non troppo, p. 707. (Actually Alier does not really intend here to analyze the piece. He alludes to it by its popular name,. Since, for publicity reasons he directs it to an average reader).

²⁷ Booklet by FRANCESCO MARIA BERIO DI SALSA, Op Cit., p. 144.

energetic and seem very authentic, but it also happened to be exaggerated and misplaced, therefore unbearable. I do not remember having ever seen her nobly. When she approached the sublime, it was never more than a bourgeois can achieve; In short, she completely lacked ideal. She was as young people with talent, but to whom the ardor of age and inexperience always persuade that they will never make enough. It seemed as if she was endlessly searching for new effects in a situation. If one undertakes this journey, one never ends: it is never the way to consummate talent; this, once has studied and has come to the point, does not depart from it. This was the proper thing for Pasta's talent. So did Rubens, Raphael, all the great composers. With the other method, not only the spirit is in perpetual uncertainty, but life would pass in essays on a single topic. When Malibrán ended her performance she was worn-out and the moral fatigue linked to her physical exhaustion, and her brother admits she could not have lived much longer like this. (...)

Posterity knows only the reputation of an actor that his contemporaries contemplated for him; and for our posterity, Malibrán will be placed at the same level as Pasta, and perhaps she'll be preferred when taking into account the exaggerated praise of his contemporaries.²⁸

Delacroix, though, echoes the famous melancholy with which Malibrán gave relevance to the role of *Desdemona*. It was a very studied interpretative feature, as the painter points out as a result of the conversation with her brother, Manuel Patricio Rodríguez García.

García told us that Malibrán, undecided about the effect that she should get for the moment when the unexpected arrival of his father holds the exultation, when she just discovered that Othello is alive after his fight with Rodrigo, consulted Mme. Naldi about it. (...) This woman had been an excellent actress.²⁹

V. CONCLUSION: DELACROIX'S WORLDVIEW. THEATRICALITY

We believe that the *worldview* that underlies both pictures is different from those oil paintings that in 1831 took part in various painting competitions about the French Revolution. It is not a question of classical Venus now, wearing a Phrygian cap, which embodies the freedom, with the utopian socialist ideal of the union of classes compared to an *ultra* decrepit restored Louis XVIII's monarchy and especially the monarchy of his younger brother, Charles X, as it is the case of "*Liberty Leading the People*" ("*The Barricade*") because Delacroix, from Luis Felipe de Orleans *monarchie*

citoyenne, lost interest in historical themes of the nineteenth century.³⁰

Through *Rossini / Shakespearean oils*, Delacroix is still worshiping the woman, as did in its time the early Romantic opera, especially the one developed in France by Italian composers.³¹ Desdemona is a heroine who embodies freedom of choice across racial and cultural conditions, and who is cruelly rejected by her father, who represents the European, social conventionalism which is waterproof to the *different*. The French painter could have sought other much more dramatic scenes in Rossini's opera: the *Finale Act I* (*L'ingrata, ahimè, che miro*), where Othello and Rodrigo threaten one to the other with sword in hand while Desdemona is separated from her beloved; or the duel between Rodrigo and Othello, Desdemona futilely trying to separate them, in Act II (*Terceto: Ahimè! Fermate!*). Having traveled the Maghreb, admiring the Islamic civilization-the harem he visited seemed to him the stronghold of a beautiful Mediterranean world from the time of Homer-³² the election of the theme of Desdemona's paternal curse is not trivial because it is the reaction of contempt for the marriage of his daughter with a Moor. The picture thus becomes a document denouncing intolerance, although within a proscenium.

Furthermore, Desdemona is a woman with a tragic fate. In this sense, Delacroix understood the Shakespeare and Berio / Rossini's thematical for what it is: a lyrical theatrical drama. Both paintings seek theatricality. The second, "*Othello and Desdemona*" is the expression of pure romantic drama. Surely the tragic sense of Delacroix expressed here is also, *pace* Shakespeare, the one which the operas of his time represented in France aroused, now the *tragédie lyrique*, now the opera seria, the Italian *bel canto melodrama* and of course, the *Grand Opéra*, whose captain was always the great Meyerbeer.³³

And all this seasoned with its own theatrical stage movement of the nineteenth-century operas, but for which the painter may also add a bit of Baroque monumentality. Friedlaender's idea will perhaps come true in this case.³⁴

³⁰ ROSENBLUM, R. AND JANSON, HW: *The art of the nineteenth century* Madrid, Akal, col. Art and Aesthetic No 28, 1992, p. 159.

³¹ Since the model *rescue operas*, genuinely French, then cultivated by Beethoven in "*Fidelio*" to the predecessor Italian composers of the French *Grand Opéra* as Luigi Cherubini ("*Medea*"), and, of course, the *bel canto* composers exercising their work in France as Vincenzo Bellini ("*Norma*").

³² ROSENBLUM, R. AND JANSON, HW: *The art of the nineteenth century* Ibid.

³³ Excuse me Wagnerians by my praise to the German composer Yaakob Liebmman Beer.

³⁴ FRIEDLAENDER WALTER: *From David to Delacroix* Madrid, Form Alliance, 1989, p. 121.

²⁸ DELACROIX, EUGÈNE: *The Bridge of vision*. Op. Cit., pp. 6-8.

²⁹ Ditto.



Image 1: "Desdemona cursed by her father"



Image 2 : "Otello and Desdemona"



Image 3 : The Spanish singer Manuel del Pópulo Vicente García, characterized as "Othello" in the eponymous opera by Rossini



Image 4 : Spanish soprano Maria Malibrán (Maria Felicia Garcia Siches), painted by François Buchot (Louvre).



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A Preliminary Study on Axiology in the Malaysian Islamic Visual Art

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Abstract- The visual art should aim at the good (ma'aruf) things, lawful and moral. The soul of art must be lean towards the nature of human beings. This is because the freedom of soul in designing the art is very much related with the purity of its nature awarded by the Almighty, Allah S.W.T. Basically, art and intelligent in terms of its function are quite similar, in which the inclination is in the acknowledge and the relation with the universe, Godhead, spiritual as well as the physical world. Thus, the realization of the greatness of God and the uniqueness of His creation. Despite the pressures of modernization, this study refers to the fact that Islam is synonymous regardless of place and time, which indirectly strengthen the facts that every Muslim art should be view as an Islamic way of life.

Keywords: *malaysian, islamic, visual art, way of life.*

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A Preliminary Study on Axiology in the Malaysian Islamic Visual Art

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Abstract- The visual art should aim at the good (ma'aruf) things, lawful and moral. The soul of art must be lean towards the nature of human beings. This is because the freedom of soul in designing the art is very much related with the purity of its nature awarded by the Almighty, Allah S.W.T. Basically, art and intelligent in terms of its function are quite similar, in which the inclination is in the acknowledge and the relation with the universe, Godhead, spiritual as well as the physical world. Thus, the realization of the greatness of God and the uniqueness of His creation. Despite the pressures of modernization, this study refers to the fact that Islam is synonymous regardless of place and time, which indirectly strengthen the facts that every Muslim art should be view as an Islamic way of life.

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I. INTRODUCTION

Art is the power to feel, realize and virtually live the supernatural experiences. It is also beautiful in its natural way and to express the unexplained complex feeling but lively phenomena like love, agony, loneliness, pain and life itself.

In the book by Qardhawi (1995)¹ entitled 'The Lawful and the Prohibited in Islam: Al-Halal Wal Haram Fillslam' which discussed the concept of *Halal* (legitimacy) and *Haram* (prohibition) in Islam, the Prophet Muhammad said (as narrated by Muslim),

The most severely punished among people (on the Day of Resurrection) will be those who try to create something similar to what Allah has created.

In Qardhawi's summary, Imam Thabari stated in the Hadith that people who creates something to be worship besides Allah and he or she realizes it but still does it intentionally; he or she is considered *kufr* (denial). However, if it is done accidentally, then it is sinful.

Islam literally means submission, purity, obedience and peace. While technically Islam means a way or rules of life which designed the human life who believe in five pillars of Islam (*Rukun Islam*) which proclaim that there is no God except Allah and

Muhammad (PBUH) is God's Messenger, perform ritual prayer five times a day, fasting during the blessed month of *Ramadhan*, to pay *Zakat* which means giving alms to the poor and needy and lastly to perform pilgrimage (Hajj) to Makkah at least once in a lifetime if he/she has all the ability to do so.

In Islam there are three basic elements, which are Belief (*Aqidah*), Rules (*Syariah*) and Ethics (*Adab*) in which the meaning and interpretation are based on the *Al Quran* and *Al Hadith*.

By this, any form of art can be view as Islamic art as long as its content is align to the thoughts and teachings of Islam. These artworks must be produce by Muslims. A Muslim artist should base and refer to both *Al-Quran* and *Al-Hadith* in the effort to develop artwork.

II. BRIEF LITERATURE REVIEW

Art is considers as the product of creative human activity in which materials are shaped or selected to convey an idea, emotion or visually interesting form. Art itself refers to the use of creative skill and imagination to produce beautiful, work such as painting or sculptures produced by the skill.²

In the art making process (1998)³, subject, form and content are the ingredients in producing a work of art. Subjects concern persons, objects or themes. A subject also refers to a particular agreement of the art elements. Form, is commonly understood as the use of the elements in constructing an artwork. Meanwhile, contents can be referring to as a statement, expression or mood, read into the emotional or intellectual message of an artwork. It also refers to the sensory, subjective, psychological or emotional properties felt in a piece of art.

In understanding an artwork, we have to realize the existence of two major aspects that are "formalistic" and "iconography", or in the other words, "form" and "content". The characteristics of formalistic aspect include the elements like color, tone, lines, shapes, forms, levels, space, rhythms, and movements and so on. The ability in analyzing these characteristic of formalistic aspect will make us look closer with the question of iconography in the particular artwork.

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¹ Yusuf Al-Qardhawi. Translated by: Kamal El-Helbawy, M. Moinuddin Siddiqui and Syed Shukry. 1995. The Lawful and The Prohibited in Islam (Al-Halal wal Haram fil Islam). Islamic Book Trust: Kuala Lumpur. pg 109

² Robert Allent & Andrew Delahunty. 2002. Oxford Students Dictionary (Eds). pg 52.

³ Ocvirk, Otto G., Stinson, Robert E., Wingg, Philip R., Bone, Robert O., Cayton, David L.. 1998. Art Fundamental. p. 9-16.

Normally, iconography involves questions regarding literature, sociology, psychology, history, belief and others.

Tolstoy (1896)⁴ stated that art as a method of communication, which transfers the emotional sense of an artist. In addition, Read (1959)⁵ defines art as an attempt to create pleasant forms. The pleasant form shall be seen as a form of that captures and frames beauty.

Art is a discipline, which combine studies on of philosophy, aesthetic, cultural science, sociology, psychology, dissemination, anthropology, comparative study and history of art. From the aspect of element of art, the art origin, art development, art creation, art appreciation, art propaganda, all formulates that art is an idea for the future trends in which it engenders changes and development in human art.⁶

In the context of Contemporary Malaysian art, the deficiency in the development of art has always been related to the religions and cultural background. T.K. Sabapathy in the opinion that:

The absence of tradition in visual and 3-D art before the 20th century can be considered because of its Islamic background and due to its strong bonding with its tradition of craft culture. Islamic tradition that rejects the depiction of iconography has validates the common historical practice that is the depiction of symbols in craft tradition. Even though this situation has guaranteed and maintained the existence of sophisticated handicraft culture, it however does not promote a tradition of painting and sculpture.⁷

Ismail R. al-Faruqi and Lois Lamy 'al-Faruqi (1985)⁸ defined Islamic art as a manifestation of suitable aesthetic value because it relate to the knowledge about Islam based from *Al Quran*. In other words, any message in Islamic art must be based on knowledge contains in *Al Quran*.

Robert Irwin (1982)⁹ mentioned that Islamic art as an Islamic cultural art and it is not only art relating to the Islam as a religion. Moreover, Islamic art is not art for any particular age, place, individuals, neither style nor movements.

The suggestion made by Syed Ahmad Jamal and seconded by D'zulHaimi (2001)¹⁰, suggests that Islamic art is form by two words, "Islam" and "Art". He

defined Islamic art as a piece of artwork that reflects the advancements of Islam or an advance art object which accepted by Islam.

Osman Bakar (1995)¹¹ said Islamic art in actual fact refers to Islamic manifestation and therefore whenever we talked about Islamic manifestation in art, we actually refer to Islamic art. Hence, any form of artwork can be seen as Islamic art as long as its contents are in line with the thinking and teaching of Islam. This artworks must be presented by Muslims and the Muslim artist must base and refer to both *Al Quran* and *Al Hadith* in creating and developing artworks.

III. CHALLENGES IN MALAYSIAN VISUAL ART

Historically, the earliest paintings found in Malaysia were in various caves such as Niah Cave in Sarawak; Batu Putih Cave at Kodiang, Kedah; Tambun Cave in Perak and Batu Cincin Cave at Hulu Kelantan. It is believed that all those paintings have been painted by the caveman during the Stone Age. There were many tools used in the paintings, among them were charcoal, hematite and manganese oxide. Most of the motives or subject of the paintings were much related to the their daily life activities and living objects of its time such as hunting scenes, hunted animals likes barking-deer, deer, image of boat, hut and hunting tools.¹²

The development of art in Malaysia can be see through phases, involving such as drawing, painting, printing and sculpture. Malaysian artist used these areas as platform to express their feeling and emotions for the audience.

Generally, there are three main factors, which have influenced the development of the early modern art in Malaysia. First, there is the British colonization. Second, is the immigration of "trade nation" and third, the education status. Painting in Modern art was considered as a different piece of artwork as compared to any other conventional art which are more traditional. They are more individualistic in the sense that it reflecting more about the artist than the manifestation of value as a whole in any society.¹³

The visual art in Malaysia or more accurately in the Malay Peninsula Malaysia began in 1930's with the invention of painting by Yong Mun Seng, Abdullah Ariff and others. Malaysian artists in the earlier years are free from any restriction but in actual they are exposed towards any Western tradition, which came from works of world renowned artists. The exposure was restricted

⁴Tolstoy. 1896. Translated by Aylmer Maude. 1900. What Is Art?. Hackett Pub Co Inc; Reprint of original Am. Edn. edition.

⁵Herbert R. 1959. The Meaning of Art, New York: Pinguin Book. pg. 1.

⁶DzulHaimi Md. Zain. 2001. *Seni Islam* (Ed.4). Kuala Lumpur: Hans Press Sdn. Bhd.

⁷MulyadiMahmod. 2001. *Modern Art Malaysia*. Malaysia. Utusan publication & Distributors SdnBhd

⁸Ismail R., Lois lamy'a'al- Faruqi. 1985. The Cultural Atlas of Islami. New York: Macmillan Publishing.

⁹Robert Irwin. 1982. Islamic Art. London: Laurence King Publishing.

¹⁰DzulHaimi Md. Zain. 2001. *Seni Islam* (Ed.4). Kuala Lumpur: Hans Press Sdn. Bhd.

¹¹Osman Bakar. 1995. "Kesenian Islam" in *Kesenian Islam - Suatu Perspektif Malaysia*, Exhibition catalog. Kuala Lumpur; Balai Seni Lukis Negara.

¹²Mohd Johari Ab. Hamid. 2006. *Asas Seni Visual*. Perak: Universiti Pendidikan Sultan Idris. pg153

¹³MulyadiMahamood. 2001. *Seni Lukis Modern Malaysia - Era Perintis hingga Era Pluralis (1930-1990)*. Kuala Lumpur: Utusan Publications.

only within fellow artists and their own colleague's artworks.¹⁴

The National Art Gallery established in 1958 by Malaysia. It showed a real support from government in the effort to promote local artists and to mark the declaration of independence.¹⁵ There were various style of artworkssince 1950's up to 1960's, from Realist to Impressionistwork, from Expressionist to Abstract Expressionist movement. All these works are from the result of influences and exposure received by the Malaysian artists.¹⁶

These style, weredevelopedby group of artists who tried to identify themselves identity and they are loosely related. Their artworks indirectly show their personality value of the nation from sociological, cultural, and religions believers. Their works can beconsidered as an extended reaction towards the National Culture policyintroduced by the government in the 70s.¹⁷

In producing artworks, the artists tend toget closer to the subjects related to the situation or events occurred in the country. In other words, they try to approach the in subjects that relate to the local myth and legend, per sue the discussion about cosmological identity, culture inheritance, political issues, situation in Islamic context, the extension of calligraphy art, the physical features of substance, current values and traditions, also any other options of interesting subjects.

The writing by RogayahEstar (2010)¹⁸ on the National Cultural Policy explained that the execution of the Policy is tough in terms of accomplishing its objective. Most Malaysian is a quite sensitive of their ethnic group and believers. Furthermore, there are problems due to the rapid development in socio-economic and politic, which resulted from open and free relationswithforeignaffairs. The acceptance of foreign value of an influential systemand system among small groups of people had resulteddispute in the value system and education, whichhinderedthe development of nationalism and Malaysian national identity. Nevertheless, Dr Tan CheeBeng, speech had said thateven though the establishment of National Cultural Policy is not fully accomplishedbut, on the whole the basic aims and objectives of the Policy has shown positiveimpact and success which can be proud of.

The most essential things here, whether traditional or modern art, it should not go against the

fundamental faith and divine character in the respective religion. In fact, it must shine the positive identity of each group of race. The variety of custom, tradition and religions in a multi-racial setting of Malaysia, which existed peacefully since long time,must be well preserved.

IV. THE AXIOLOGY: ISLAMIC AND MALAYSIAN

Axiology derived from the word *axios* which comes from Yunani language means value and *logos* which means theory. Therefore, axiology is a theory about value.¹⁹

According to Sun Myung Moon (2003)²⁰ Axiology is the theory that generally deals with the values of trueness, beauty and goodness and serves as a basis for the three particular theories of education, art, and ethics. In conclusion, to make possible a future society based on a culture of Heart (realizing the values of trueness, beauty, and goodness centering on Heart), a unified culture with a new view of values is a real necessity.

Tefko Saracevic and Paul. B. Kantor (1997)²¹, the theory of value, or axiology, is the branch of philosophy that deals with the nature of value and valuation. Philosophers consider value as the worth of something, and the process of valuation as an estimate, appraisal, or measurement of its worth. In their works, worth seems to be an undefined primitive term. They consider that value is related to, but not synonymous with, "good," "desirable," or "worthwhile," and that it can be positive or negative.

According to Md. Nasir (2013)²², Axiology is one of philosophical branch, which refers to the value about good and bad, right or wrong, beautiful and ugly. Among the axiology branch is an ethic, which emphasized on reasonable and relevant matters that one should do. Ethic is also focusing on quality of moral and human attitude covering individual, society and life.

Axiology means a theory of value relating to the use of gained knowledge²³. According to Bramel in AmsalBakhtiar²⁴, axiology divided into three categories.

¹⁴Ahmad SuhaimiMohd Noor. 2011. *SejarahKesedaran Visual Di Malaysia*.Perak: UniversitiPendidikan Sultan Idris.pg 7-9

¹⁵Ahmad SuhaimiMohd Noor. 2011. *SejarahKesedaran Visual Di Malaysia*.Perak: UniversitiPendidikan Sultan Idris.pg 176-182

¹⁶Rasdan Ahmad. Article *PerjalananSeniLukis Malaysia*.Utusan Online 30/12/2012.

¹⁷Ahmadrashidi Hassan. 2012. Contemporary Islamic Painting in Malaysia 1980 to 2000. UiTM: UiTM Press.

¹⁸Yusof Ismail. 2010. *Dasar-dasar Utama Kerajaan Malaysia*. Malaysia: UIA. pg40

¹⁹AmsalBakhtiar. 2004. *FilsafatIlmu*. Jakarta: Raja GrafindoPersada.pg 162.

²⁰Translation from the Korean original: Claude Perrotet.2003. *An Introduction to the Thought of Sun Myung Moon: Unification Thought and V.O.C. Theory*. An Abridged Edition.HSA Publications: New York.

²¹TefkoSaracevic and Paul. B. Kantor.1997. Studying the Value of Library and Information Services. Part I. Establishing a Theoretical Framework.Journal of the American Society For Information Science. 48(6):527 – 542.

²²Md. Nasir Bin Ibrahim.2013. *FalsafahdanTeoridalamPendidikanSeni Visual*.UPSI:FakultiSeni, KomputerandanIndustriKreatif. Pg.4.

²³Jujun S. Suriasumantri, 2000. *FilsafatIlmu, SebuahPengantarPopuler*. Jakarta: PustakaSinarHarapan.pg 105

²⁴ Amsal, Bakhtiar. 2004. *FilsafatIlmu*. Jakarta: Raja Grafindo Persada. pg 163

First, moral conduct, which means the act of moral that, produces ethic. Second is aesthetic expression, which refers to beautifulness of expression. Third or final category is socio-political life that produces philosophy in socio-politics.

As soon as Malaysia gained its independence on 31 August 1957, the Federal Constitution of Malaysia has declared Islam as the official religion in Malaysia. However, according to Ahmadrashidi Hassan (2012)²⁵ most of the art exhibition, which themed based on Islamic Art, only began in 1980s and 1990s.

Islamic art is a part of Islamic culture. The differences between Islamic and non-Islamic arts are its intention, aim and ethical value. The main objection in Islamic art is for the sake of Allah (swt). Unfortunately, Aminah Syed Muhammed (1995)²⁶ identified some of the basic value taken from the West such as egoistic has been practice by fine art artist that really contradict with the Islamic value. With the egoistics value, the artist is creating works to fulfill himself. In addition, that the fine art artist is a revered being superior to others, allow to be very selfish, even thoroughly antisocial in his behavior and actions, simply because he is an artist.

The multi-racial and multi-cultural elements in Malaysia have influenced the artist in producing their artworks. Sulaiman Esa's²⁷ painting, *Waiting for Godot* (1977) has created a controversy because of his insensitivity act by putting Al-Quranic verse together with image of naked women. The painting represented himself, which is not only shows the crisis of art identity in himself but also depicted the crisis of culture in the country in the year of 1970s especially among the Malay people who are Muslims towards the Western influence.

Islam begin as soon as a Muslim artist recites his creed *La ilaha illa Allah* (No God Except Allah), and accept the meaning of the Oneness of God (tawhid) that Allah is the "One" (wahid). Tawhid is a comprehensive concept which not only as a statement by a Muslim about God, but also his/her view on the universe and his/her role in life either as individual or a member of society. Once one recited the creed or Syahadah, one will automatically be responsible to manifest the creed he/she has recited with the fulfillment of knowledge about the vital of life in this world.²⁸

Sayyid Qutb (1979)²⁹ in his view mentioned, the art activity comprehensively is about decorating humanly about the concept and the reaction of the man

himself/herself. It also concerns on the concept of existence and life which flourishing in the man's soul.

Meanwhile, Ismail R. Faruqi (1980)³⁰ in his opinion stated that unlike other cultures which associates the beautifulness as a luxurious, intrinsic value to gain or satisfy one's self-interest, in contrast Islamic art associates the beautifulness as a value, which entirely depends on the truth of Islam itself.

The value is not only base on the belief solely. The value also has other dimension, which is emotion. The value shows the influential commitment on emotion, which is how one is demonstrating his /her feeling whether love, or hate towards something.

Islam is a religion that rules the relations of man and God, between man and universe based on *Al Quran* and *As Sunnah*. Islam supports every artwork that in line with its teaching, but ban, which goes against. Those artworks is the statement of worldview of life specifically which relevant and coherent with the Islamic values and perspective.

V. CONCLUSION

Prophet Muhammad (saw) has conveyed Muslim clearly. One of them is *Aqidah* or faith. *Aqidah* has become the main principle in Islamic development.

Art is use as a tool to spread religion and to strengthen assistances and goodness among the society (*ummah*). Through artistic talents, Muslim artists can use various techniques and artworks as the thorough force to remember and praise the greatness of Allah S.W.T. Therefore, it is the responsibility of the artists to translate Islamic ideas into artistic language. According to Islamic perspective, artistic creativity is the urge or force given by Allah S.W.T., which highlights the importance of Allah S.W.T. In addition, art also enhances union or unity. Islamic art does not revolve around individual human but it contains social orientation based on the needs of fellow human beings.

VI. ACKNOWLEDGMENT

In the name of Allah, The Most Gracious, The Most Merciful, All the praises and thanks be to Allah. Peace and blessings to the beloved prophet Muhammad PBUH as well as his family, friends, and the rest of followers.

We would like to record our accreditation to all parties involved, either directly or indirectly during the information gathering process. All the information and assistance that have been obtained from all involved parties will be remembered always. Finally, we hope that we will gain blessings from God Almighty and continue to obtain happiness in this world and hereafter, Insha'Allah.

²⁵ Ahmadrashidi Hassan. 2012. Contemporary Islamic Painting in Malaysia 1980 to 2000. UiTM: UiTM Press.

²⁶ Aminah Sayyid Muhammed. (2ed) 1995. Islamization of the Visual Arts. Toward Islamization of Disciplines. pg 483-493.

²⁷ Galeri Petronas. 2001. *Insyirah*. K.L.: Galeri Petronas.

²⁸ DzulHaimi bin MdZain. 2013. "Ta'birandan Penghayatan Seni Islam", in *Taman Nurani, Islamic Impressions in Malaysia Contemporary Art*. Exhibition Catalog. K.L., Galeri Petronas.

²⁹ Sayyid Qutb. 1979. *Petunjuk Sepanjang Jalan*. Kuala Lumpur: El/Ikhwan Enterprise. pg 129.

³⁰ Ismail R. Faruqi. 1980. *Islam and Culture*. Kuala Lumpur: Angkatan Belia Islam Malaysia.



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Psychological Variables Underlying Cooperative Behavior for Local Communities: The Case of “Regional *Charismas*” in Japan

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Abstract- Many empirical findings have shown that local communities can be improved if at least one altruistic person engages in cooperative behavior for the benefit of the community, as in the case of “The 100 charisma ambassadors of tourism” in Japan. This paper conducted a multilevel analysis to elucidate the psychological variables underlying such cooperative behavior (CB). A questionnaire survey was conducted using items previously proposed for measuring determinant factors of CB. The respondents were: “the 100 charisma ambassadors of tourism” (n = 95), residents living in the same region as the charismas (n = 400), and residents living in other regions (n = 500). By comparing different groups, personality and environmental factors promoting CB were examined. The results indicate that Schwartz’s norm-activation factors contribute to the personality characteristics of the charismas, and that feelings of sympathy among residents contribute to the environmental characteristics of the locality of the charismas.

Keywords: *altruistic motivation, cooperative behavior, charisma ambassadors of tourism, volunteer’s dilemma.*

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Tsuyoshi Hatori ^α & Satoshi Fujii ^ο

Abstract- Many empirical findings have shown that local communities can be improved if at least one altruistic person engages in cooperative behavior for the benefit of the community, as in the case of “The 100 charisma ambassadors of tourism” in Japan. This paper conducted a multilevel analysis to elucidate the psychological variables underlying such cooperative behavior (CB). A questionnaire survey was conducted using items previously proposed for measuring determinant factors of CB. The respondents were: “the 100 charisma ambassadors of tourism” (n = 95), residents living in the same region as the charismas (n = 400), and residents living in other regions (n = 500). By comparing different groups, personality and environmental factors promoting CB were examined. The results indicate that Schwartz’s norm-activation factors contribute to the personality characteristics of the charismas, and that feelings of sympathy among residents contribute to the environmental characteristics of the locality of the charismas.

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1. INTRODUCTION

Local communities can be improved through voluntary contributions from local residents. The degree of their efforts to contribute to local communities, however, is likely to differ from person to person. Thus, it is often the case that some people work hard for the local community, while others do not share such concerns. In this situation, the presence of a few people or even one person volunteering to contribute to the local community may be key to enhancing the sustainability of the community (e.g., Hatori & Fujii, 2008).

Such a situation, in which the payoff for all of the people in a group (in the present study, the social welfare of the local community) is promoted if and only if at least one person acts in the interest of the group, is generally called the volunteer’s dilemma (VD, Diekmann, 1985). In the VD, the group payoff depends strongly on whether at least one person volunteers to act cooperatively. However, each volunteer has to undertake a personal cost that cannot be shared by the others. Accordingly, people who care only for their own

self-interest have no motivation to cooperate and, in the worst case, this may mean that nobody cooperates, causing low or no group payoff.

Fortunately, there are many real-world examples indicating that the voluntary contributions of one or a few people have triggered the revitalization of local communities. For example, a selection committee established by the Ministry of Land, Infrastructure, Transport and Tourism in Japan chose 100 people who had contributed to the revitalization of their local communities through tourism and designated them “The 100 charisma ambassadors of tourism” (hereafter, ‘charismas’; Ministry of Land, Infrastructure, Transport and Tourism, 2005). The committee, which included experts and members of organizations concerned with tourism, selected those people through deliberations, which lasted over 2 years (2002–2005), to examine and evaluate their achievements. The committee also published an official report about their efforts and achievements in community revitalization. While those designated as ‘charismas’ include a variety of occupations, such as small business owners, farmers, public employees, leaders of non-profit organizations (NPO), and so on, all of the people were selected because of their dedicated and altruistic contributions to the revitalization of their local communities. They have exerted considerable energy and effort to solve local problems and have contributed greatly to the success of tourism in their area.

For example, one charisma voluntarily organized various regional events intended to encourage people to recognize the history and culture of the area and took the lead in carrying out these events. Furthermore, he gave his own property to build a small museum where historical and cultural assets of the region are shown to the public for free. He was selected as a charisma because his efforts contributed to the enhancement of residents’ respect for the history and culture of the region as well as its prestige as a historical area.

As suggested from this example, the presence of such cooperative persons may be an essential factor for the improvement of a local community. Of course, it seems hard to imagine a situation where a local community can be revitalized and improved by one charisma alone. In many cases, the community

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improvement could not be realized without support from other local members. However, it should be also acknowledged that considerable energy and effort are usually required for one or several persons, such as this charisma, who initiate and take the lead in activities for revitalizing the community. In this sense, the presence of one or several altruistic persons can be still regarded as an essential key to the improvement of local communities.

However, the motives or psychological processes that have driven charismas to act cooperatively on behalf of their communities have not been sufficiently explored. Exploring the psychological variables underlying cooperative behavior (CB) might provide those engaged in regional policies with important insights regarding how they could encourage people to act cooperatively for local communities. With the aim of obtaining such insights, this research conducted explorative analysis to determine the psychological variables underlying CB. We also considered the implications of the results of the analysis.

a) A multilevel approach to CB

We adopted a multilevel analytical framework for understanding the psychological and structural conditions underlying CB for local communities. The framework comprises two basic perspectives, the inter-individual perspective and the inter-group perspective, on the emergence of persons conducting CB on behalf of local communities (Figure 1). The two perspectives highlight the personality factors and the environmental factors underlying CB. On the one hand, CB can be understood in terms of the personality traits of cooperative persons. One or a few cooperative persons in local communities may have some personality characteristics distinct from non-cooperative persons. Individual differences in CB between cooperative persons and non-cooperative persons represent a personality factor. On the other hand, cooperation itself is a matter of group relations among members rather than individual personality characteristics. Recent research on leadership has emphasized the effects of social processes on the emergence of leaders in a group (Hogg, 2001; Pawar & Eastman, 1997). According to this view, CB for local communities can be understood in terms of the environmental features of a group within which cooperative persons are embedded. The environmental factors entail situations and contexts that facilitate the emergence of cooperative persons within a group. The environmental factor encompasses differences between groups in which some persons act cooperatively and groups in which no persons do so. As such, both personality and environmental factors should be considered in any attempt to understand the entirety of psychological processes underlying CB on behalf of local communities.

b) The present study

The purpose of the present study was to explore psychological variables underlying CB on behalf of local communities. For this purpose, we implemented a questionnaire survey targeting those designated as "the 100 charisma ambassadors of tourism," residents living in the same regions as these 100 people, and residents living in other regions. According to the multilevel analytical framework, psychological variables underlying CB were divided into personality factors related to personality characteristics of the participants and environmental factors related to the environmental characteristics of their localities. We examined the personality factors of CB by comparing psychological variables between those designated as 'charismas' and other residents. We examined the environmental factors of CB by comparing psychological variables between residents living in the same locality as those designated as 'charismas' and residents living elsewhere.

The case of "The 100 *charisma* ambassadors of tourism" suggests that those designated as 'charismas' acted cooperatively for the benefits of their communities. The committee chose the *charismas* as a result of qualitative deliberation. In these discussions, the social reputation that the committee extracted from results of the survey implemented in each locality in Japan played an important role, and these reputations reflect important information about human social behavior (see Lemasson, Mikus, Blois-Heulin, & Lodé, 2013). Yet, no quantitative evidence has shown that the charismas have cooperative and altruistic motivations on behalf of their communities.

Accordingly, to confirm the validity of the cooperative and altruistic motivations of those designated as '*charismas*,' we examined and compared the intention to engage in cooperative behavior (cooperative behavior intention, CBI) to that of others. Although we examined expressed intention rather than actual cooperative behavior, CBI can be regarded as a relevant antecedent of CB (Ajzen, 1985; Kaiser & Gutscher, 2003).

II. LITERATURE REVIEW

In this study, we examined personality and environmental factors by using psychological variables proposed by previous research to explain CB.

Many psychological variables have been proposed as relevant determinants of CB. First, Schwartz's norm-activation theory (Schwartz, 1977; Schwartz & Howard, 1981) has been applied by several researchers to explain cooperative or pro-environmental behavior (e.g., Fujii & Taniguchi, 2003; Gärling, Fujii, Gärling, & Jakobsson, 2003; Stern, Dietz, & Black, 1986; Thørgersen, 1996; Van Liere & Dunlap, 1978). The theory emphasizes the role of personal norms or "feelings of moral obligation" in promoting CB (Schwartz

& Howard, 1981, p.191). Personal norms are standards that are personally internalized and self-endorsed (Schwartz & Howard, 1981; Biel & Thøgersen, 2007). In this framework, the norm for engaging in CB is assumed to be activated by a sense of ascribed responsibility (Berkowitz & Daniels, 1963). Also, perceived effectiveness (Chen, Au, & Komorita, 1996; Olson, 1965; Strobe & Frey, 1982) and feasibility evaluation (Arbuthnot, 1977; Sia, Hungerford, & Tomera, 1985-1986; Stutzman & Green, 1982) are regarded as important factors in the norm-activation process; i.e., if people believed that CB would have no effect in solving a dilemma, or if they believed that implementing the behavior would be difficult, a personal norm or moral obligation to perform the behavior might not be activated.

Second, the theory of reasoned action (Fishbein & Ajzen, 1975) predicts that attitudes toward CB are influenced by individuals' evaluations of the consequences of the behavior; the higher the benefits of the behavior, or the lower the costs of the behavior, the more likely CB is to be performed (e.g., Black, Stern, & Elworth, 1985; Karns & Khera, 1983; Verhallen & Van Raaij, 1981). In addition, it is predicted that risk perception (e.g., Black et al., 1985; Thompson & Stoutemyer, 1991) and perceived difficulty in escaping from problems (e.g., Aronson, 1992) may provide people with a reason to perform cooperative or pro-environmental behavior.

Third, social identity theory (Tajfel, 1981; Tajfel & Turner, 1986) stresses the importance of identification with a group. Many studies suggest that group identification is an important determinant of CB for the group (e.g., Kelly, 1993; Kelly & Breinlinger, 1996; Oberschall, 1993). Other proposed variables related to identification are place attachment (Brown, Perkins, & Brown, 2004; Tuan, 1974) and commitment in organizations (e.g., Weiner, 1982), both of which have been indicated to be important determinants of cooperative and prosocial behavior. Also, it has been suggested that the personal mobility of group members may reduce group identity and may lead to a tendency to avoid the performance of CB (Taresawa & Hirose, 2006).

Fourth, in the field of evolutionary psychology, many researchers have offered explanations as to how altruistic behavior evolved (e.g., Cosmides & Tooby, 1994; Nelson & Winter, 1982; Tooby & Cosmides, 1989). Among them, Sober and Wilson (1998) pointed out that altruistic behavior can evolve according to a group selection process, an idea included in multilevel selection theory (Henrich, 2004). Also, on the basis of the idea of multilevel selection, Hatori and Fujii (2008) showed that, theoretically speaking, group selection (individual selection) encourages (discourages) altruistic behavior.

Fifth, the theory of social networks (Granovetter, 1973) highlights the importance of social networks or ties between group members. Social adaption is also regarded as an important motivation of volunteers (Clary, Snyder, Ridge, Copeland, Stukas, Haugen, & Miene, 1998). Also, it has been suggested that sympathy and a sense of common fate promote forms of helping behavior (Aronson, 1992). Furthermore, several empirical surveys of cooperative and helping behavior in Japan have indicated that the feeling of happiness in being helpful, and the pleasure and gratitude evinced by an assisted person tend to motivate people to volunteer and help others (e.g., Fujii & Matsuyama, 2005; Oda, 1991).

Finally, it has been argued that interest and concern about community-based activities (Motoyoshi, Takao, & Ikeda, 2004) and emotional tranquility (Clary et al, 1998) are also associated with volunteers' behavior.

Note that the psychological variables mentioned above can be seen in Table 1.

III. RESEARCH METHODS

a) Participants

A questionnaire was distributed by postal mail to "the 100 charismas of tourism" (n = 95), residents living in the same region as these people (in short, residents in CR, n = 400), and residents living in other regions (in short, residents in OR, n = 500). Residents in the CR whose street address numbers were the same as those of the 'charismas' were selected randomly. Four persons were chosen for each charisma. Residents in OR were selected randomly from phonebook listings. About 10 people were chosen from each prefecture. A total of 375 responses were returned by postal mail (a response rate of 38.6%). The mean age of the respondents was 64.02 (SD = 10.98). Females comprised 13.1% of the sample. The respondents consisted of 58 *charismas*, 139 residents in CR, and 178 residents in OR.

b) Measures

i. Cooperative Behavior Intention (CBI)

To measure CBI on behalf of the local community, respondents were asked to read a virtual scenario regarding the volunteer's dilemma, in which, "If at least one person in the local community works so hard for the community that the person has to undertake considerable personal costs, then the community will become revitalized and wealthy." Respondents were asked to place themselves in the position of a person living in the community. They were then asked, "Would you work hard for the community, despite great personal cost, in such a case?" The item was rated on a five-point scale from totally disagree (1) to totally agree (5).

ii. Determinants of CB

Respondents were asked to answer the questions regarding determinants of CB listed in Table 1. As shown in the table, measures of several variables were constructed by averaging across the corresponding items. The internal consistencies of these constructs were acceptable, except for risk perception ($\alpha = .42$). Therefore, the two items regarding risk perception were examined separately. Also, the remaining variables were constructed as single-item measures. All items, except "participation in community groups," were rated on a five-point scale from totally disagree (1) to totally agree (5). For "participation in community groups," the number of community groups to which the participant belongs was measured.

IV. RESULTS

a) Comparison of CBI among three groups

To test the differences in CBI among the three groups (*charismas*, residents in CR, and residents in OR), we performed a one-way analysis of variance (ANOVA) with CBI as a dependent variable. The results showed that the difference between the three groups was statistically significant, $F(2, 368) = 34.91, p < .001$. The result of a multiple comparison (Bonferroni method) suggested that the CBI of the *charismas* was higher than that of other residents. We found no significant difference in CBI between men and women, $t = 1.64, p > .1$. CBI was moderately correlated with age, $r = .16, p < .1$.

b) Correlation between CBI and other variables

To investigate the effects of psychological variables proposed by previous studies mentioned in Section II as determinants of CBI, we analyzed the correlations between CBI and these variables. As shown in Table 2, many variables were correlated with CBI, as predicted by the previous studies.

c) Structural equation modeling

Next, we explored structural relations between psychological factors and CB of the *charismas* by employing structural equation modeling (SEM). As explained below, we formulated two models for analyzing personality and environmental factors, respectively. The analysis was conducted in an exploratory manner as there were no clear theoretical hypotheses about structural relations between the variables measured in this study except for a hypothesis that they would be determinants of CB.

First, we analyzed personality factors of the *charismas* by formulating a structural model including a dummy variable for the *charisma* (1 for the *charisma*, and 0 for a resident in CR) as a dependent variable. Thus, the data from the *charismas* and residents in CR were used in this analysis, while the data from residents in OR were not used. For specification of the model

structure, we resorted to a two-step procedure. In the first step, aimed at distinguishing factors directly related to a dependent variable, *charisma* dummy, and those indirectly related to it, a two-level model was assumed. In order to identify direct factors, we performed a logistic regression analysis in which all psychological variables were regressed to the *charisma* dummy. Direct factors were selected by employing likelihood diagnostics in a stepwise way. From the results, two factors, norm-activation factor and benefit perception, were selected as direct determinants of CB. Then, relevant paths between the direct factors and indirect factors were specified according to modification indices calculated using LISREL 8 (Jöreskog & Sörbom, 1993). Then, the path diagram displayed in Figure 2 was implied as a result. As shown in the figure, the results indicated that the *charisma* dummy would be dependent on the norm-activation factor and benefit perception. In turn, the former factor, the norm-activation factor, would be dependent on benefit evaluation, perceived difficulty in escaping from problems, social adaptation, and interest and concern. The latter factor, benefit perception, was indicated to be dependent on benefit evaluation and the happiness in being helpful. The given model was estimated and the estimates are shown in Table 3. The results indicated that all the paths in Figure 1 were statistically significant and the model fit the data well, as judged by the following statistics: $\chi^2 (n = 198, df = 64) = 115.43, \chi^2/df = 1.80, CFI = 0.99, NNFI = 0.94$, and $RMSEA = 0.068$.

To investigate environmental factors, we formulated a structural model that included a dummy variable for residents in CR (CRR dummy, 1 for a resident in CR, and 0 for a resident in OR) as the endogenous variable. Data from residents in CR and residents in OR were used in this analysis, and the data from the *charismas* was not used. According to the same two-step procedure as the previous analysis, we specified the model in an exploratory vein. First, to identify direct factors and construct a two-level model, we performed a logistic regression analysis in which all psychological variables were regressed to the CRR dummy. By testing likelihood values in a stepwise way, one factor, sympathy, was selected. Second, also in the same way as in the previous analysis, relevant paths between the direct factor and indirect factors were specified according to modification indices calculated by using LISREL 8. Figure 3 shows the path diagram that was implied by this analysis. As shown in this figure, the results implied that the CRR dummy would be dependent on sympathy, which in turn would be dependent on group identification, place attachment, network, and a sense of common fate. We again estimated the given model. Table 4 shows the results. The following statistics indicated that the model produces an excellent fit to the data: $\chi^2 (n = 317, df = 44) = 44.12, \chi^2/df = 1.00, CFI = 1.00$,

NNFI = 1.00, and RMSEA = 0.003, and all the assumed paths were significant.

V. DISCUSSION

Although voluntary contributions of residents on behalf of local communities have been recognized as an important factor for improving these communities, the motives or psychological processes that underlie their cooperative behavior have not been sufficiently investigated. This study aimed to explore the psychological variables underlying CB on behalf of local communities, focusing on the case of the charisma ambassadors of tourism in Japan. The results of the comparison of CBI among the three different groups (*charismas*, residents in CR, and residents in OR) revealed that the *charismas* were more likely to have the intention to engage in cooperative behavior than were other participants. Although some research has highlighted self-oriented motivations, such as self-enhancement and self-fulfillment, as determinants of volunteers' behavior (e.g., Clary et al., 1998), these results seem to refute the idea that the *charismas* engage in CB based solely on such self-oriented motivation. Rather, the present study supports the view that the *charismas* serve their communities selflessly, similar to the "volunteers" in the theoretical setting of the volunteer's dilemma, as implied by the result that the standardized coefficient for norm-activation factor (.29) was larger than that for benefit perception (.19).

Consistent with the previous research discussed in Section II, this study provides good evidence for associations between many of the proposed psychological variables and CB. The results may appear to suggest that prior explanations of altruistic and cooperative behavior offered by related theory, i.e., norm-activation theory, theory of reasoned action, social identity theory, theory of multilevel selection, and social network theory, can be applied to CB for the local community. However, it should be noted that the correlations between CB and psychological variables reported here do not demonstrate causal relationships. The causal relationships between these variables are an issue to be addressed in future research.

The central aim of this study was to explore the personality and environmental factors underlying CB toward local communities from a multilevel perspective. We examined the two factors by comparing the *charismas* with other residents and by comparing the residents living in the same region as the *charismas* with residents living in other regions. Several variables related to personality factors and to environmental factors were identified. The results demonstrated both inter-individual and inter-group aspects of CB, which can explain respectively individual differences between the *charismas* and other residents and regional

differences between residents living in the *charisma's* region and those living in other regions.

The results of the structural equation model for personality factors revealed that norm-activation factor and benefit perception were directly associated with the personality characteristics of the *charismas*. The scale of the norm-activation factor was indicated to be constructed from three items, i.e., ascribed responsibility, perceived effectiveness, and feasibility evaluation, which are all regarded as relevant factors activating moral obligation and personal norm. Therefore, the results suggest the possibility that the psychological process for activating the norm to perform CB might underlie the *charismas'* behavior. In addition, given the fact that the *charismas* actually engage in CB, it can be concluded that Schwartz's norm-activation theory might be viable to explain the psychological process underlying the CB of the *charismas*.

The result indicating that the personal norm and benefit evaluation, which can be regarded as a social and a personal factor, respectively, contribute to the personality characteristics of the *charismas* could imply that the two factors are compatible for the *charismas*. Indeed, the two factors are likely to work together to support the CB of the *charismas*. These results seem to support the view that the *charismas* undertake considerable efforts for local communities due to their sense of moral obligation and, at the same time, they feel happy about contributing to their communities by means of such behavior. In addition, while social dilemmas including the volunteer's dilemma can be defined as conflicts between personal and collective interests (Dawes, 1980), the present finding implies that situations that in general are regarded as social dilemmas would not always be regarded as such by the *charismas*.

The exploratory result using the structural equations model also suggests that several items are causally related to the norm-activation factor and benefit perception. First, it shows that benefit evaluation, perceived difficulty in escaping from problems, social adaptation, and interest and concern are directly related to norm-activation factor. The result regarding the factor of perceived difficulty in escaping from problems indicated that those who feel difficulty in escaping from local problems tend to activate social norms. This may be because such situations may activate responsibility for solving the problem (ascribed responsibility), which is an important factor in activating the norms (Schwartz, 1977). The finding that benefit evaluation and social adaptation had direct effects on the norm-activation factor may imply that these variables are related to the awareness of consequences that is also an important factor in the norm-activation process. Regarding interest and concern, it might be possible to assume that those who have an interest in community-based activities appear to recognize the effects of their own CB on their

local community, i.e., perceived effectiveness, which is also known to be an important factor for the norm-activation process. It was also indicated that benefit evaluation and the happiness of being helpful are positively related to benefit perception. This result reflects the fact that these variables are conceptually directly related to personal benefit.

The estimation result of the structural model for environmental factors indicates that regional differences between residents in the region that produced *charismas* and those in the regions that did not could be directly explained by whether they feel sympathy for the *charismas*. This result implies that selfless people, like the *charismas*, would be more likely to emerge in an environment where residents share feelings of pleasure and hardship. Also, we found that identification with the local community place attachment, network, and a sense of common fate were causally related to sympathy. These variables might contribute indirectly to the emergence of the *charismas* through the interaction with sympathy.

a) *Active passivity of the charismas*

In general, the findings of the present research support the view of cooperative persons conforming to group norms within local communities. Cooperative persons tend to internalize the norms of moral obligation that are embedded in society (Schwartz & Howard, 1981). Furthermore, they tend to share feelings of sympathy within local communities. Still, we should not conclude from these results that persons acting cooperatively like the *charismas* are just "passive" members of local communities. Rather, the present results imply that *charismas* are distinct from other persons in the sense that they can use their vitality to more actively undertake the role of a member of the communities. As shown in this study, they tend more to be sensitive to the hardships of community members and actively accept norms and the obligation to improve communities. Hence, their attitude can be regarded as a form of "active passivity."

Recent research has often put an emphasis on the individualistic and creative aspects of entrepreneurs, presenting them as agents of "creative destruction" who are change oriented and may violate the existing norms and standards within localities (Conger & Kanungo, 1987; Florida, 2002). In contrast, the present case study highlights the social and conforming characteristics of the *charismas*, who activate existing norms and standards. The attitude of "active passivity" can be seen as one of the relevant characteristics underlying CB of the *charismas*. Although it cannot be concluded from this study alone that the attitude of "active passivity" is unique to Japanese cultural contexts and distinct from other cultures, such an attitude may underlie CB shown at least in the case of the *charismas*. Cross-cultural comparisons of CB in local communities are needed in

future research to examine whether such an attitude is also present in other cultures.

The present results could have several policy implications. The given personality factors should be taken into account to enable cooperative people to keep up their CB on behalf of local communities or, at least, to not prevent or discourage them from engaging in the behavior. Also, encouraging the environmental factors, for example through strengthening social ties, might be efficacious in promoting the emergence of cooperative people like the *charismas*. A challenge for future research is to develop measures for promoting these personality and environmental factors.

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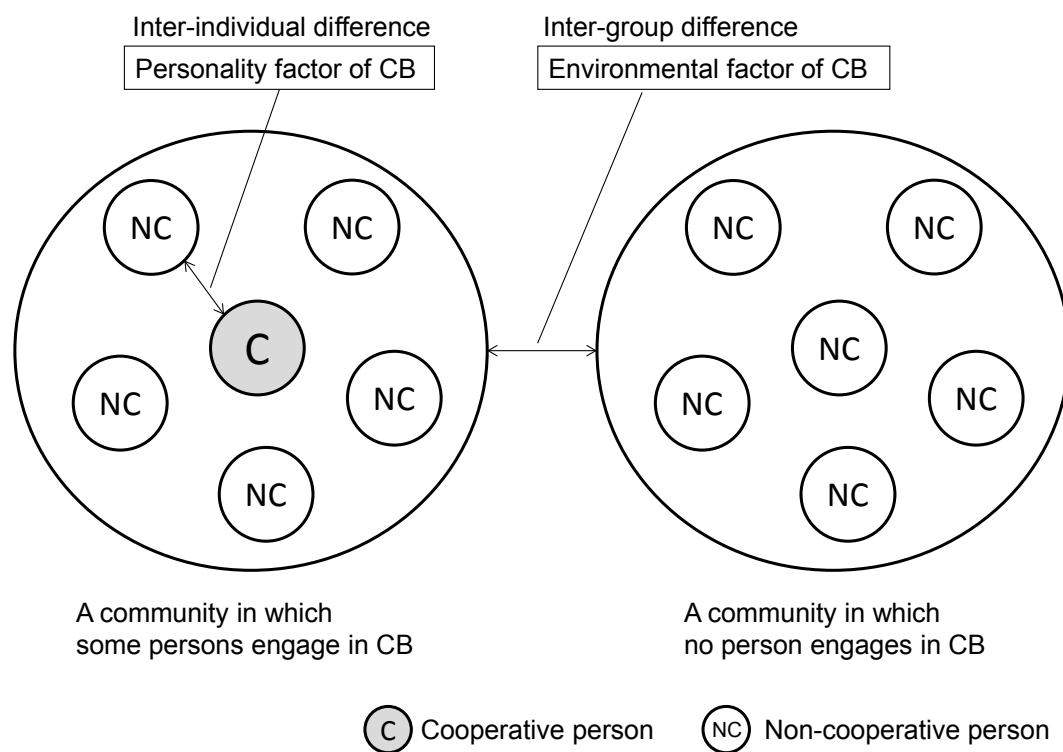


Figure 1 : Personality and environmental factors underlying CB

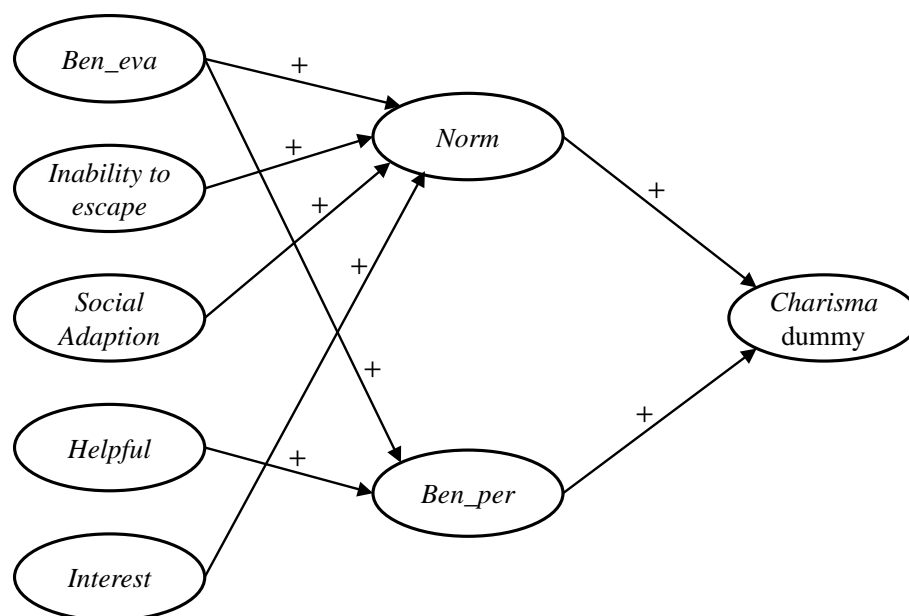


Figure 2 : Structural model for personality factors.

Ben_eva = Benefit evaluation, *Inability to escape* = Perceived difficulty in escaping from problems, *Helpful* = Happiness in being helpful, *Interest* = Interest and concern, *Norm* = Norm-activation factor, *Ben_per* = Benefit perception

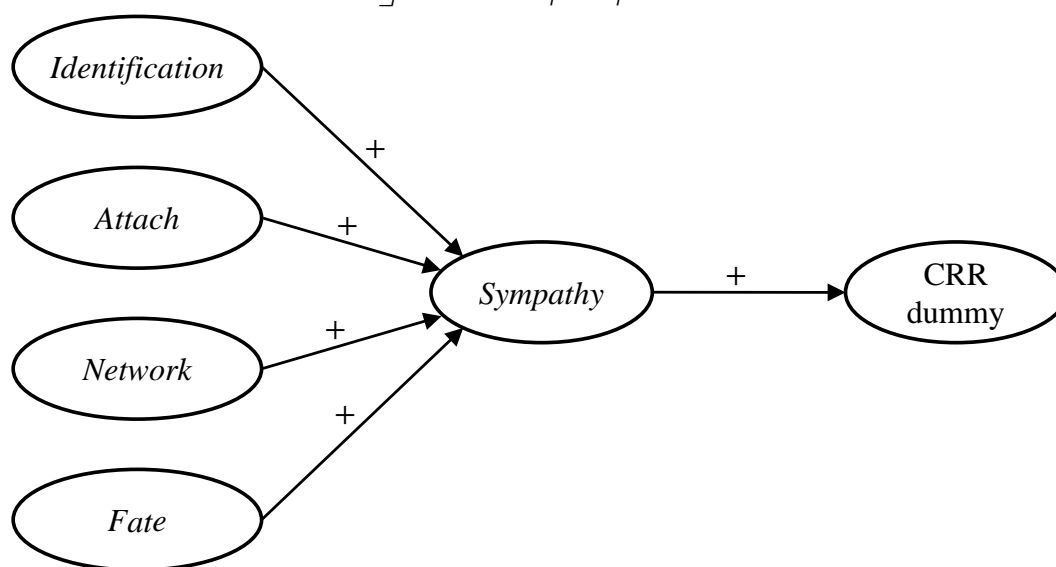


Figure 3 : Structural model for environmental factors.

CRR dummy = Residents in CR dummy, *Identification* = Group identification, *Attach* = Place attachment, *Network* = Neighborhood network, *Fate* = A sense of common fate

Table 1 : Questions regarding measures of determinants of CB

1) Norm activation

Norm-activation factor ^[+] ($\alpha = .82$)

Ascribed responsibility

I feel a responsibility to support our local community.

Perceived effectiveness of behavior

I think that I can change our local community by engaging in CB.

Feasibility evaluation of behavior

I think it is possible for me to engage in CB.

2) Reasoned action

Evaluation of consequences of behavior

Benefit perception^[+] ($\alpha = .82$)

I feel X as the result of engaging in CB;

X is "I can find friends", "I can change my attitude to life", "I can learn how to engage in community activities" and "I can change the situation".

Benefit evaluation^[+] ($\alpha = .83$)

I think it is desirable that X as the result of engaging in CB;
X is the same as the above items.

Cost perception^[+] ($\alpha = .67$)

I feel Y as the result of engaging in CB;

Y is "my free time becomes decreased", "it becomes difficult to work" and "stress caused by human relations".

Cost evaluation^[+] ($\alpha = .67$)

I think it is desirable that Y as the result of engaging in CB;

Y is the same as the above items.

Risk perception^[+] ($\alpha = .42$)

Perceived likelihood of occurring

I think it is possible that our local community becomes dead in future.

Perceived seriousness

I think that my livelihood would be threatened if our local community stagnates.

Perceived difficulty in escaping from problems^[+] (single-item)

I think that if our local community was in decline, I would have to face the problem.

3) Social identity

Group identification^[+] ($\alpha = .85$)

I feel proud to be a member of our local community.

I feel a strong tie with our local community.

Place attachment^[+] (single-item)

I have an attachment to our local community.

Commitment^[+] ($\alpha = .74$)

I agree to the goals and philosophy of our local community.

I would spare no efforts for our local community.

I would like to continue to stay in our local community.

Personal mobility^[+] (single-item)

Members in our local community frequently move to other areas.

^a Estimates of reliability with Cronbach's α are given within parentheses.

^b [+]: Positive factors, [-]: Negative factors.

Table 1 : Questions regarding measures of determinants of CB (Cont)

4) Evolutionary selection

A sense of group selection^[+] ($\alpha = .68$)

I think that many towns in our region would become dead if appropriate measures were not carried out.

I think that towns in our region struggle for customers.

I think that towns in our region tend to learn from the success of other towns.

I think that towns in our region can be vitalized if they change how things are done.

I think that towns in our region tend to improve if they are not concerned about conventionalities.

A sense of individual selection^[+] ($\alpha = .63$)

I think that many stores and companies in our town would go under if appropriate measures were not carried out.

I think that stores and companies in our town struggle for customers.

I think that stores and companies in our town tend to learn from the success of other stores and companies.

I think that stores and companies in our town can be vitalized if they change how things are done.

I think that stores and companies in our town tend to improve if they are not concerned about conventionalities.

5) Social relations

Neighborhood network^[+] (single-item)

I often meet with my neighbors.

Participation in community groups^[+] (single-item)

The number of community groups to which a participant belongs.

Social adaption^[+] ($\alpha = .82$)

I think that the people around me are interested in community-based activities.

I think that people around me appreciate persons who engage in CB.

I think that people around me regard CB as important.

Pleasures of others^[+] (single-item)

I think that people around me are pleased that I engage in CB.

Happiness in being helpful^[+] (single-item)

I feel happy that I can help people by engaging in CB.

Gratitude^[+] (single-item)

I think that people in our local community are grateful to persons who engage in CB.

Sympathy^[+] (single-item)

I often share feelings of pleasure and hardship with other people in our local community.

A sense of common fate^[+] (single-item)

I feel that I share a common fate with other people in our local community.

6) Other factors

Interest and concern^[+]

I am interested in community-based activities.

Emotional tranquility^[+] ($\alpha = .81$)

I feel that I can forget feelings of hatred by engaging in CB.

I feel that I can escape from a sense of isolation by engaging in CB.

I feel that I can reduce feelings of guilt by being happy to engage in CB.

I feel that I can escape from personal troublesome problems by engaging in CB.

I feel that engaging in CB enables me to solve personal problems.

^a Estimates of reliability with Cronbach's α are given within parentheses.

^b [+]: Positive factors, [-]: Negative factors.

Table 2 : Correlations between CBI and psychological variables

Measure	Cooperative Behavior Intention(CBI)
1) Norm activation	
<i>Norm-activation factor</i>	.45 ***
2) Reasoned action	
<i>Benefit perception</i>	.40 **
<i>Benefit evaluation</i>	.38 **

<i>Cost perception</i>	-.17 *
<i>Cost evaluation</i>	.28 **
<i>Perceived likelihood of occurring</i>	.08
<i>Perceived seriousness</i>	.27 **
<i>Perceived difficulty in escaping from problems</i>	.32 **
3) Social identity	
<i>Group identification</i>	.44 **
<i>Place attachment</i>	.33 **
<i>Commitment</i>	.41 **
<i>Personal mobility</i>	.22 **
4) Evolutionary selection	
<i>A sense of group selection</i>	.21 **
<i>A sense of individual selection</i>	.26 **
5) Social relations	
<i>Neighborhood network</i>	.33 **
<i>Participation in community groups</i>	.27 **
<i>Social adaption</i>	.25 **
<i>Pleasures of others</i>	.26 **
<i>Happiness in being helpful</i>	.42 **
<i>Gratitude</i>	.23 **
<i>Sympathy</i>	.37 **
<i>A sense of common fate</i>	.34 **
6) Other factors	
<i>Interest and concern</i>	.38 ***
<i>Emotional tranquility</i>	.35 ***

N = 375.

* $p < .01$. ** $p < .001$.

Table 3 : Estimation of structural equations model for personality factors

Path from	Path to	Standardized Coefficient	<i>t</i>
Benefit evaluation	Norm-activation factor	.20	3.62 ***
Perceived difficulty in escaping from problems	Norm-activation factor	.19	3.08 **
Social adaption	Norm-activation factor	.23	3.94 ***
Interest and concern	Norm-activation factor	.37	5.68 ***
Benefit evaluation	Benefit perception	.70	14.0 ***
Happiness in being helpful	Benefit perception	.22	4.48 ***
Norm-activation factor	Charisma dummy	.29	3.79 ***
Benefit-perception	Charisma dummy	.19	2.49 *

N = 198.

* $p < .05$, ** $p < .01$, *** $p < .001$.

Table 4 : Estimation of structural equations model for environmental factors

Path from	Path to	Standardized Coefficient	<i>t</i>
Group identification	Sympathy	.15	2.41 *
Place attachment	Sympathy	.12	1.97 *
Neighborhood network	Sympathy	.12	2.52 *
A sense of common fate	Sympathy	.48	9.64 ***
Sympathy	CRR dummy	.20	3.44 ***

N = 317.

* $p < .05$, ** $p < .01$, *** $p < .001$.



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Extent to Which the African Men are Able to Meet Physiological, Safety, Belongingness, Esteem and Self Actualization Needs for themselves and Family in Daadab Refugee Camp, Garrisa County, Kenya

By Dr. Tabitha Wang'eri, Dr. Sammy Tumuti, Dr. Doyne Kageni Mugambi, Samuel Mutua Mutweleli, Dr. Josephine Gitome & Dr. Marangu Njogu

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Abstract- The intention of this paper was to investigate the extent to which the African men in Dadaab refugee camps are able to meet physiological, safety, belongingness, esteem and self actualization needs for their families. To achieve this, the study sought to find out if the men were able to provide food for their children and if they were able to satisfy their sexual needs. The study further wished to establish if the men moved with their family members to the camp and if they were able to carry out their responsibilities as was expected of them and if they felt respected and fulfilled. Maslow's (1970) hierarchy of needs theory was used to ground the study. A sample of 192 respondents aged between 15 year to 55 years was selected for the study with the majority coming from Somalia while a few came from Ethiopia, Sudan, south Sudan, Congo and Uganda.

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Extent to Which the African Men are Able to Meet Physiological, Safety, Belongingness, Esteem and Self Actualization Needs for themselves and Family in Daadab Refugee Camp, Garrisa County, Kenya

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Abstract- The intention of this paper was to investigate the extent to which the African men in Dadaab refugee camps are able to meet physiological, safety, belongingness, esteem and self actualization needs for their families. To achieve this, the study sought to find out if the men were able to provide food for their children and if they were able to satisfy their sexual needs. The study further wished to establish if the men moved with their family members to the camp and if they were able to carry out their responsibilities as was expected of them and if they felt respected and fulfilled. Maslow's (1970) hierarchy of needs theory was used to ground the study. A sample of 192 respondents aged between 15 year to 55 years was selected for the study with the majority coming from Somalia while a few came from Ethiopia, Sudan, south Sudan, Congo and Uganda. A paper based questionnaire and focus group discussions were used to collect study data. The major study findings revealed that majority of the men were able to satisfy the physiological needs for their families by providing them with food and meeting their own needs for sex. They expressed concern that their children were sick often. A good majority of the men felt that they were able to provide security and a good home for their family mentioning the restrictions of movement as the only major security concern. A large section of the men felt that they met the need for belongingness well because they lived with their families, were able to get married while in the camp and also lived close to their clan members. With regard to the self esteem need a great majority of the men felt that they carried out their responsibilities the same way they would have carried them out at home. On the other had a section of them felt that the aid agencies had taken over their roles while many of them felt that their wives and children respected the decisions they made. Moderate percentages of

the men felt they were rich by cultural standards while many of them reported that they were involved in dispute resolutions. Majority of them did not feel that their children were well educated while a large section reported that they were consulted on cultural issues thus fulfilling their self esteem needs. Majority of the men reported feeling proud of their large families, and were involved in major decisions in the camp. They also reported being proud they were grandfathers as well as being respected elders thus fulfilling the need for self actualization. The study recommended that the men be given opportunity to run the affairs of their families as prescribed by the African cultures empowering them to control resources. They should also be empowered to educate their children as a preventive measure to save future generations from poverty cycles. The men should be provided with opportunities for self fulfillment within the limits of their status which would ensure psychological health and reduce family and inter-clan conflicts.

Keywords: dadaab refugee camp, physiological needs, safety needs, love and belongingness, esteem, self actualization, african man, refugees.

1. INTRODUCTION

Human beings achieve psychological health when they are able to meet their basic needs and when they are assured of safety and belongingness. When the fulfillment of these needs is assured, people will always seek to satisfy higher order needs of self esteem and self fulfillment which require a stable and predictable physical and social environment. Some of the conditions that interfere with the fulfillment of these needs are war and civil strife such as has affected many areas of not only the world at large but also the East African region thus causing displacement of people. According to the UNCHR (2009) report, globally 42 million people have been forcibly displaced either within their home countries or across national borders like has happened in the Eastern African region and which has cause the existence of refugee camps in Kenya such as in Kakuma and Dadaab camps. Over and above interfering with the social organization of the affected

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families, these factors interfere greatly with the way individuals meet the psychological needs that are so vital for the health individuals as well as their families. The issue of concern to this paper was the fact that the African social and family structures characterized by a pecking order in which the men are family heads and wives and children look up to them for provision is upset. Men who had property and who lived close to kith and kin, familiar environments, cultures, philosophies and religious beliefs suddenly found themselves in dependency status waiting along their wives and children in queues for food rations. In their countries of origin this would have been unthinkable and one may have hoped that this situation was going to be temporary and according to Abdi (2004) and Sweeney (2012) the refugees would go back home and resume life as they knew. On the contrary some of the men have lived in these camps since 1992 and witnessed the perennial increase of the number of refugees either pushed out of their homes by economic or continued civil strife so that according to Kirui and Mwaruvie (2012) camps meant to house only 90,000 refugees housed 470,000 by January of 2012.

Living in a refugee camp changes many dynamics of an individual's life. The most affected aspects of life are likely to be family arrangements that determine who should take responsibility of ensuring that psychological needs for all family members are met. The way individuals in the family function under the dislocated status have also affected the gender roles that people were accustomed to overhauling them. Ideally, the family arrangement that has existed as the norm in many world cultures and throughout the history of mankind has been characterized by the existence of social, political and economic coping systems where gender roles have been well structured in many societies of the world with the men as family heads vested with the responsibility of providing security for family and safeguarding the family's name and honor. A few exceptions to the rule regarding gender roles were documented by Margaret Mead who in her anthropological work identified three communities of New Guinea that did not comply with the gender roles as practiced in many world cultures. In one community the Mundugumor, people of both sexes were aggressive, insensitive, uncooperative and non-nurturing (Mead, 1963). The Arapesh is the second community that deviates from the expected gender roles. Among the Arapesh, the men and women according to Mead exhibit feminine characteristics as they are gentle, nurturing, sensitive and non-aggressive. The third exception was found among the Tchambuli where the gender roles were reversed and the men were nurturing, sensitive, and cooperative while the women reported to be aggressive and assertive. A fourth exception is found in China among the Masuo, a matriarchal society where women carry the family name, govern the economic and

social affairs of the extended family (Crooks and Bauer, 2008). Except for these few departures from the traditional world culture, other societies of the world are organized along patriarchal family structures where the man is the head of the family, controller of finances and chief decision maker. According to Ocholla- Ayayo (2000) in the African contexts, the family is headed by a man and never a woman. Furthermore, women expect men to be providers, to buy things for the household and pay school fees. The Men control the household cash flow (Cash 2011). When people live in a social and family setting that is familiar, they are more likely to meet their psychological needs and enjoy good quality of life and psychological health. The quality of life experienced by a human being is a very important determinant of physical and psychological health. Important factors determining both physical and psychological health can be seen through Maslow's (1970) Hierarchy of Human Needs namely: ability to meet physiological needs of the individual, the experience and promise of safety, affiliation or love and belongingness, the feeling of competitiveness among peers and self actualization.

The fulfillment of these needs may become difficult in the refugee camp with Hyndman (1997) reporting that the families did not have economic means to enable them self-management. According to Hyndman the humanitarian organizations like CARE that distribute food to refugees, assist vulnerable groups, and provide basic education take over the roles that should ideally be carried out by individual families with the men as overseers. CARE takes the responsibility for social services and camp management which were carried out by political systems before the refugee status. UNCHR has taken up the responsibility for making political decisions and operations and is responsible for peace keeping and controlling political games in the camps. The major concern of this paper was to establish if these institutions have taken over the man's role in the family or the man stills feels able to transact his traditional role of providing the family with physiological, safety, belonging, esteem and self fulfillment needs.

a) *Physiological needs*

Physiological needs are basic for survival and they are the base of Maslow's hierarchy of needs and they include the need for food, water, sex and avoidance of physical harm Martin and Joomis (2007). When adequately met they assure one of health which in turn motivates the human being to seek other needs. An African man is expected to provide security for self and family. He was expected by culture to provide a home with physical boundaries in terms of a fence to protect the family and the family's livestock from outside threat (man or animal). Yet another expectation was for the man to be strong and to protect every person or animal under his care. In the African set up young men were

trained to be warriors and to protect the clan or tribal boundaries. The African men were trained in methods of dealing with disputes and conflicts and to uphold harmony among family members (Kenyatta 1938). They resolved conflicts at family level and they knew the structures to rely on if the nature of conflict was beyond their ability. The need for security was thus met. On the other hand in the refugee camp the African man's freedom is not only curtailed but his existence is reduced to dependant status (Hyndman, 1997). The aid agencies running the refugee camps do not give him room to engage in meaningful decision making. He must reside in the camp; give in to head counts and a ration card as he is deprived of access to land jobs and resources. The intention of the study was to find out the extent to which the men in the refugee camps felt that they were able to meet the physiological needs of their families.

b) *Safety needs*

If the man in the refugee camp has met the first level needs adequately he can then focus on safety needs. It is the desire of people to be safe and as such this need is deemed to be very important as it occupies the second level of Maslow's hierarchy of needs. Indeed it security measures dominate the behavior of individuals and nations at large as they invest in armies and security gargets. In Maslow's view behaviors geared towards ensuring security are observed when individuals store food, seek employment, save money and invest in health insurances. Factors that compromise this need include war such as occurred in the various countries where the refugees came from, Natural disasters like floods and famine that characterize many countries in Africa, family violence, economic crises and lack of work opportunities. When this need is unmet individuals experience insecurity and in extreme cases they can suffer neurotic conditions and even phobia. Security for the refugees in the Dadaab camps is an issue of concern as Sweeney (2012) reported tensions among the refugees is forever present. Some of the issues he singles out as fuelling the security situation are the insecurity that has prevailed in North-Eastern Kenya perennially, armed bandits, Islamist militia, outbreak of inter clan feuds. The volatile security situation calls upon stringent measures like security crackdown by Kenyan authorities, use of police escort for Aid agencies and instituting curfew. In addition Warah (2011) avers that the security situation in the Dadaab amps is further compromised by the presence of Al-Shabaab fighers have the support of a few refugees.

c) *Love and Belongingness need*

In the traditional African context, the family is considered to be the building block of society (Modo, 2001). According to Baumeister (1995) the need to belong is fundamental in all cultures. Belongingness has

been identified by Friske (2004) as that human emotional need to be accepted by significant people in a person's life. The benefits for having this need met have been recognized as vital by Stillman and Baumeister (2009) since human beings survival is dependent on other human beings rather than being directly dependent on the environment. In addition, connectedness that individuals have is associated with many health benefits as it is known to guard against depression (Cockshow and Shocket (2010) while Newman, Lohmand and Newman (2009) inform that it makes people live happier and healthier lives and boosts confidence as Buckley, Winkel and Leary (2004) concured. People who experience difficulties meeting this need experience negative emotions that interfere with psychological well-being as Pittman and Richard (2007) inform that when social bonds are broken people suffer from depressive symptoms. Buckley, Winkel and Leary further confirm the negative consequences of failed belongingness as lowered self esteem, aggression, antisocial behavior and pain with Newman et al., (2009) include anger, shame and depression as possible consequences of failed belongingness. In line with the importance of belongingness needs to the man's life this study recognizes that in the African setting the man navigates life with significant relationships cultivated over a lifetime like childhood age mates going through the rites of passage prescribed by the culture or religious group. The African man or woman is defined by family, clan, tribe and culture (Ocholla-Ayayo, 2000). Hence the African man forms important affiliate bonds with his wife or wives, children, extended family, friends and neighbors. All aspects of life (happy and sad moments) are shared. All these go a long way to satisfying the need for belongingness and affiliation for the man. Social cultural disorganization like the one that has affected the families in Dadaab have altered family structure and possibly the men had been disconnected with family members and familiar social cultural structures. In this regard it was the intention of this study to investigate the extent to which the man felt able to meet the need for belongingness in the Dadaab refugee camp.

d) *Self esteem needs*

Self esteem needs are satisfied when the human being enjoys an elevated position among others. It involves the desire to be valued by other people, the need for status, recognition, fame prestige and attention. According to Heppner et al., (2008) when these needs are satisfied the person enjoys the positive attributes of authenticity, autonomy, competence and relatedness. On the other hand when the needs are not adequately satisfied the person suffers from inferiority complex, weakness and helplessness. The competitive spirit characterizes many cultures of the world and the African man competes with his age mates, neighbors



and friends in important life accomplishments. The number of wives and children an individual has is one of the status symbols among the African men (Kenyatta 1938). One is accorded status due to his ability to manage the wives and to sire many children. The size of the life stock too determines the worth accorded to the man. Hence the man with the largest herd of camels, cattle, goats, sheep and donkeys is accorded high status. Leadership ability is another characteristic that is valued and for which a man will enjoy a position of prestige among family and clan. A man who maintains the family's position of honor by ensuring that the children are well bred and they marry into good families is also respected. Ability to give advice and to preside over disputes elevates a man above others and satisfies the prestige need.

The utmost and the highest level is the ability of the man to function at the highest level that one is capable of performing. This can be reflected by the ability of the man to stand at an elevated position as head of the family, the protector, provider, custodian of the culture, head of the economic unit and decision maker. At this level too the man is in harmony with other men and with nature and he works for the welfare of other people particularly the weak in the society thus fulfilling the self actualization need.

II. STATEMENT OF THE PROBLEM

For the health of the entire family and the psychological well-being of the traditional African man, he should be able to meet his own survival needs and those of his dependants (wife or wives, children, and extended family members). To do so, the African man should have the means of producing food and promising his family security by being able to store food for future use or procuring money to buy food and other necessities. According to Cash (2011), the man is expected to provide for the family and to control the family cash flow. The African man should be able to assure his family health, for example accessing medical care. However, in the refugee camps, the humanitarian organizations take up these roles and their main concerns are the administrative issues like receiving incoming refugees, providing shelter and rations as well as ensuring that the refugees remain within the restricted camp boundaries. While in the camp the human beings are reduced to mere statistics. People behind these statistics remain largely faceless and almost without feelings. The current study therefore sought to investigate and document the extent to which the African men in these camps felt that they are able to meet the psychosocial and psychological needs of their families.

The families in the refugee camps have undergone disorganization and acculturation that may have had adverse psychosocial effects in many areas of

the men's lives. Men who are removed from their homes with their families may have problems meeting their own psychological needs and those of their families. They may not be in a position to run families the same way they did in their countries of origin. For African men to be psychologically healthy they need to be in control of family wealth and its distribution and they also need to hold positions of respect in their communities. Themes that were central to this paper were whether the men in the refugee camps felt able to provide for their own physiological needs with regard to food, management of their families health and their own sexual needs. The paper also sought to establish if the men were satisfied in the way they were meeting the security needs for their families and themselves. This was in spite of having lost land ownership and possessions and relying on humanitarian aid for food clothing, shelter and protection to humanitarian organizations. In addition to this, the paper sought to establish if the men were able to enjoy belongingness in a foreign land in such issues as being able to take a wife, enjoy family and clan membership. These are important psychological needs because when they prevail the men would be psychologically healthy enough to seek to satisfy the growth level needs of self esteem or prestige. In this paper this need was identified as the taking responsibility for family instead of aid agencies taking up the man's roles. It also included the men's perceptions that they were wealthy and able to educate their children as well as being consulted being consulted on cultural issues. The highest needs investigated by this paper are self actualization in which the man feels he has achieved the highest levels possible. In this paper these needs were measured by the extent to which the men felt they were proud of their families, they participated in major decisions in the camp, they had risen to grand fatherhood and they were respected elders.

a) Objectives of the study

The study was guided by the following research objectives:

- i) To investigate the extent to which man in the refugee camp were able to meet the physiological needs for self and the families
- ii) To establish the extent to which the men in the Dadaab Refugee camps were able to meet safety needs for self and their families.
- iii) To investigate the extent to which the men in the refugee meet the love and belonging needs for himself and the family.
- iv) To establish the extent to which the man in the refugee camps meet the self-esteem needs.
- v) To investigate the extent to which the men in the refugee camps meet the self actualization needs.

b) Theoretical frame work

The study is informed by Maslow's (1970) Hierarchy of Human Needs. According to the theory, all human beings strive to attain physical and psychological health in the way they meet their physiological needs which are basic for survival and which are at the base of Maslow's hierarchy of human needs. These needs include the need for food, water, sex and avoidance of physical harm. When adequately met, they assure one of health which in turn motivates the human being to seek other higher needs. If the man is able to meet all his needs according to Maslow's hierarchy of human needs, he will be physically and psychologically healthy. He will be able to meet the physical and psychological needs of his family. The man is also able to live harmoniously with his wife, children and the community. The physiological needs are considered to be crucial as they are related to the sustenance of life and they are assessed through the man's ability to provide food, shelter and ability to

perpetuate the family through sustaining marriages and having children. Safety needs have been assessed through the man's ability to provide security for self and family. It is also assessed through property ownership as well as ability to seek employment and ability to access health care for the family members. Love and belongingness have to do with the man's ability to enjoy relationships with romantic partners and it is also related to the ability of the man to develop other important affiliations with members of his family and extended family and members of the clan and social organizations. Self esteem needs focus on the ability of the man to have a competitive edge among his peers in the achievements that accord him status like being a respected elder or having a good reputation and having elevated social status. Self actualization focuses on perception of personal fulfillment measured by number of children and leadership status. Recently research by Taormina and Gao (2013) concurs that human needs should be satisfied in their hierarchical order.

c) Conceptual Framework

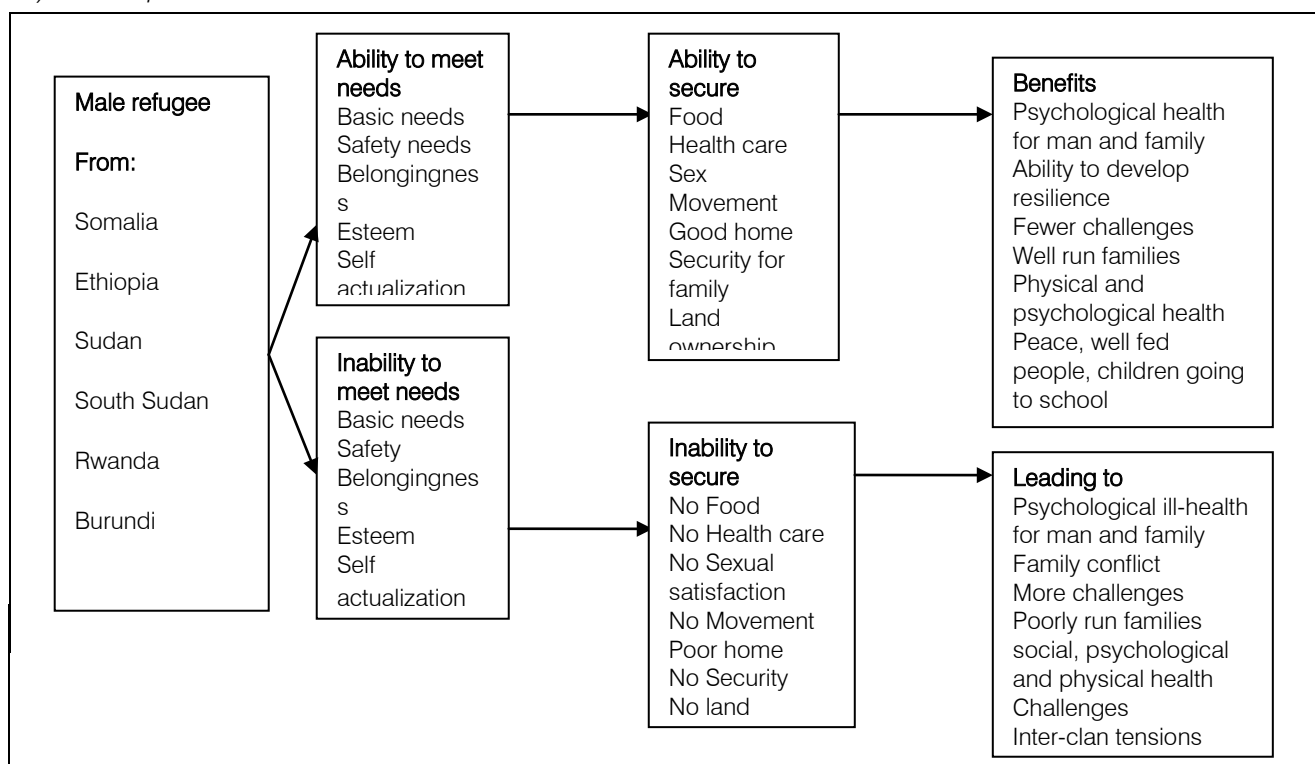


Figure 1 : Consequences of meeting family needs by the African man in Dadaab camps

In the African culture, according to Mbiti (1975) and Kenyatta (1938), the man holds an elevated position in the family as the head and in the power structures of the society (council of elders, arbitrator as at family community level, decision makers, owners of the tools production, economic, social, political, and religious) in an disturbed societal frameworks. Under these circumstances, the man is able to navigate the levels of needs to achieve actualization according to Maslow's Theory.

In the event of civil strife, the man loses his equilibrium where he may lose his property, family members, even flee to unknown places and stand bare with only his life. Such a situation is likely to create dispossession of power in the family, the loss of patriarchal leadership all causes great trauma which may manifest in family conflicts such as; wife beatings, family favoritism, apathy. For the man to enjoy psychological health he should be in control of his life

and the lives of his immediate family members. Thus, he should have the means of providing for basic needs for self and family. In this study the needs are identified as food, health care and sex, security and membership to family and clan. The man should also be in a position to compete with other for status in such things as earning respect from family members and the social surroundings. Above all the man should be able to enjoy a feeling of personal satisfaction and accomplishment ensuing from such achievements like being a man of means, having highly educated children and being a respected elder. Psychological health has been associated with ability to have well run families, ability to feed and educate children, harmony, health and ability to navigate future challenges. Conversely, men unable to move in this positive direction experience psychological ill-health which is bound to manifest in failure to develop resilience and increased domestic strife. Other consequences include inability to provide food, health care and education for the children all leading to inability to navigate future challenges.

III. RESEARCH METHODOLOGY

The study was conducted in Dadaab refugee camps which were selected because it is one of the largest refugee camps in the world and it has refugees from diverse countries as Sudan, Ethiopia, and Rwanda with the majority of the refugees coming from Somali. The research team got a research permit from the relevant government authorities thus enabling them to conduct the research. Questionnaires and focus group discussion were used to generate study data. The study

sample consisted of 192 respondents, of these 50 (26.04%) were from Hagadera, 61 (31.77%) Ifo, 46 (23.95%), Ifo 2 32 (16.67%), and 46 from Dagahaley (23.9%). The majority of the respondents were from Somalia 65.6% and Ethiopia 16.7% while insignificant percentages came from South Sudan, Sudan, Congo (DRC) and Uganda.

a) The results of the study

i. Demographic variables of the study

The study sample consisted of 192 respondents. Of these, 50 (26.04%) were from Hagadera, 61 (31.77%) Ifo 1, 46 (23.95%), Ifo 2, 32(16.67%), and 46(23.9%) from Dagahaley. The majority of the respondents were from Somalia (65.6%) and Ethiopia (16.7%) while insignificant percentages came from South Sudan, Sudan, Congo (DRC) and Uganda. The ages of the respondents ranged between the age brackets 15-55+. Specifically, 17.2% being 15-25 years old while 22.4% being between 26-35 years old, 22.95% between 36-45 years old, 24.5%t between 46-55 years old, and 13.0% were above 55 years old. The majority of the men studied reported that they had non-formal education (46.9%) while 23.4% reported having had primary school education, 17.7% had secondary school education, 8.9% had college education, and less than 1% had university education.

ii. Occupations

Occupations of the men under investigation were deemed important as they may inform a man's ability to provide for the psychological needs of self and family.

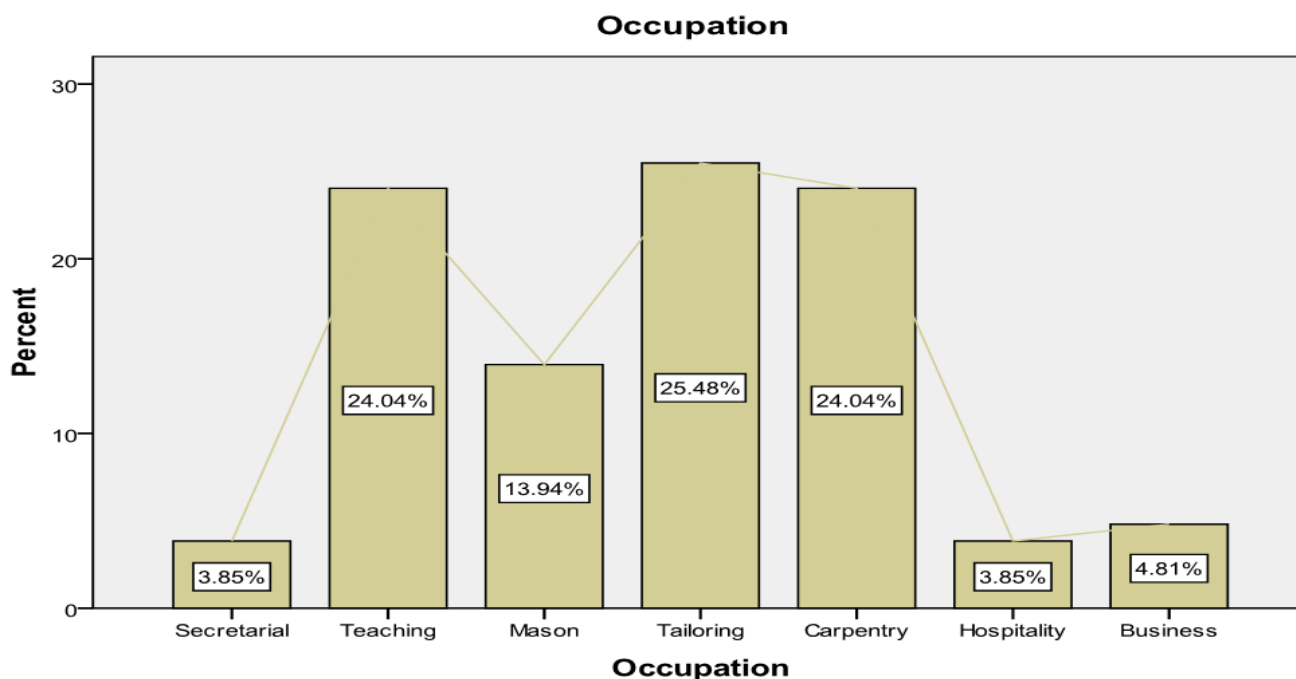


Figure 2 : Occupations

With regard to the occupations of the men under investigation, the results revealed that 24.4%, 25.48%, and 24.04% reported they were in teaching, tailoring, and carpentry, while 4.81%, 3.85% and 3.35% reported that they were in business, hospitality and secretariat respectively. With regard to marital status, 64.6% were in monogamous marriages, 20.8% were in polygamous marriages while 14.6% did not respond to this item. Some (70.13%) reported that they came with wives from their country of origin and others (51.56) reported that they got married at the refugee camps. Of the total sample, 13.56% reported they had divorced. The reasons cited included: family conflict, (45.45%), economic hardship, (27.27%), sex issues, (13.64%) and

insecurity, (13.63%). With regard to number of children, 10.9% had no children, 39.1% had 1-3 children, 21.4% had 4-6 children, 11.5% had 7-9 children, and and 14.1% had more than nine children.

iii. Men's ability to satisfy his and the family's physiological needs

This objective wished to establish the extent to which the men investigated felt competent in the provision of their families needs with regard to food and accessing medical care for their sick children. The objective also sought to establish if the men were satisfied with their sex lives at the refugee camps. The results are presented in figure 3 and 4.

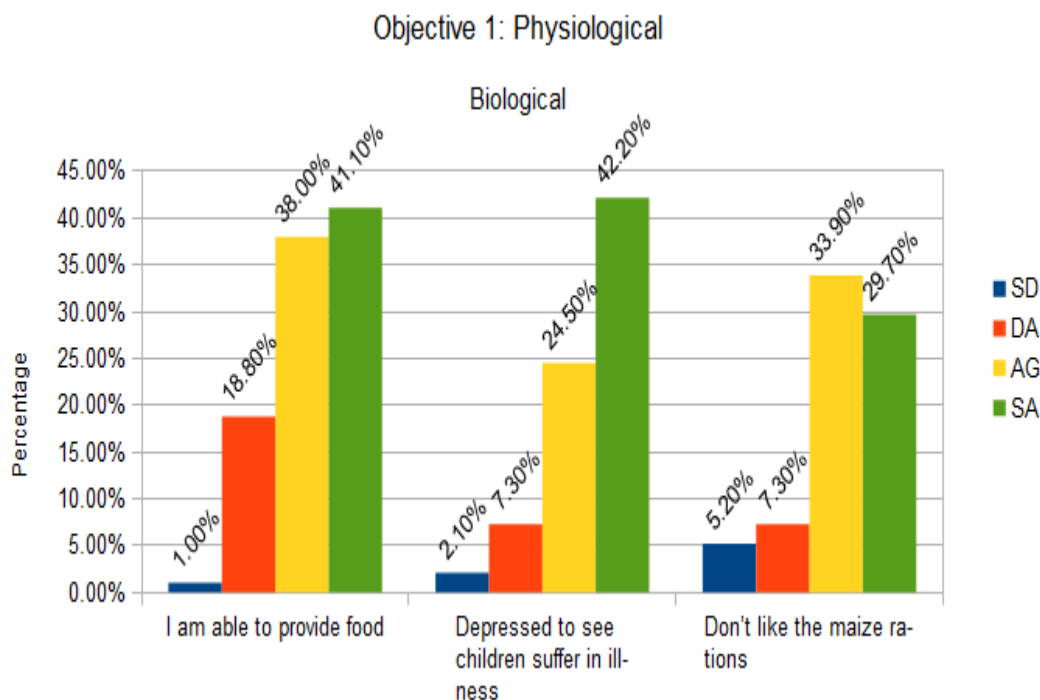


Figure 3 : Physiological Needs-biological

Of those who responded to this item, the results revealed that majority of the men were able to provide food for their families with 38% agreeing and 41.10% strongly agreeing that they were able to provide their families with food. Those who indicated that they could not provide their families with food and consequently strongly disagreed were 1% while the ones who disagreed were 18.80%. With regard to children's health, the results revealed that the men were depressed to see their children suffering in illness as 42.20% and 24.50% strongly agreed and agreed respectively. Those who indicated that they did not have a problem with children's sickness and hence disagreed with the statement were a meager percentage with 7.3% and 5.20% disagreeing and strongly disagreeing with the statement respectively. Moreover, the results revealed that the men interviewed had a problem with the maize rations they received as 29.70% strongly agreed and

33.90% agreed with the statement. The findings revealed that contrary to the view expressed by Hyndman (1997) that the men in the refugee camps were helpless and unable to provide for their families and Bruijn (2009) who reported chronic malnutrition in the refugee camps. The men indicated that they were indeed able to provide for the basic needs for their families. The fact that many of the men reported ability to provide for the psychological needs for themselves and their families concurs with Cash (2011), that man is expected to provide for the family and to control the family cash flow. This can probably be explained by the fact that the prolonged lives at the camp has allowed the men to show resilience and learn to adjust to changed conditions. On the other hand, there were men who had not been able to adjust to the changed conditions and were unable to provide for their families. The focus should be on the men who felt that they were

unable to provide for their families because this inability would be associated with negative outcomes for the men and their families. This would translate to increase family conflicts, sickness among family members and inability to educate children all leading to cycles of poverty.

The sex need is identified as one of the physiological needs and must be satisfied in order for the person to be motivated by higher order needs. With regard to this need, the study wished to establish if the camp conditions were conducive for the satisfaction of this need. The results are presented in figure 4

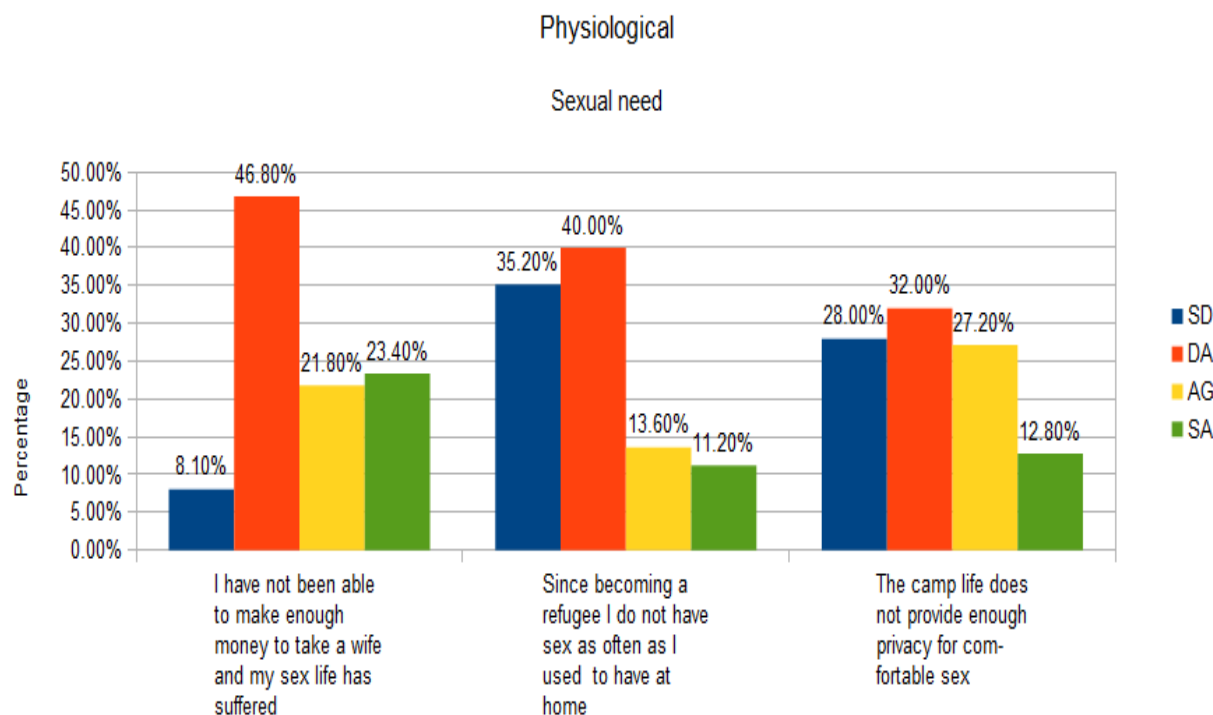


Figure 4 : physiological needs-sexual

With regard to the ability of the men in the study to meet the sex need, the findings revealed that many of them did not report having a problem with making enough to take a wife with 8.10% who strongly disagreed with the statement and 46.80% agreeing with it. Of the men, 23.40% strongly agreed that they had not made enough money to take a wife while 21.80% agreed with the statement. In addition, 11.20% strongly agreed and 13.60% strongly agreed that since becoming refugees they did not have sex as often as when they were in their home countries. Those who disagreed or strongly disagreed with the statement were 35.20% and 40% respectively. With regard to availability of enough privacy for comfortable sex 12.80% strongly agreed while 27.20% agreed with the statement. Those who strongly disagreed with the statement were 28% while those who just disagreed were 32%.

These results reveal that a section of the men have no problem with meeting the need for sex and therefore would not only be psychologically healthy but they would also reproduce. This is a sign of resilience, the ability of people to rise above displacement and move on with life discovering how to meet their needs in the displaced status and how to create social networks needed for healthy adjustment. The concern is with the

equally large numbers of men who are unable to satisfy this important need because inability to meet it would be related to increase in family conflict with possible spillover effects likely to affect the larger population.

iv. Fulfillment of security needs

The objective sought to establish if the men under study were able to provide for security which falls under Maslow's level two needs. The issues investigated included: the ability to provide a good home for the family, security, freedom of movement, land ownership. The results are presented in figure 5

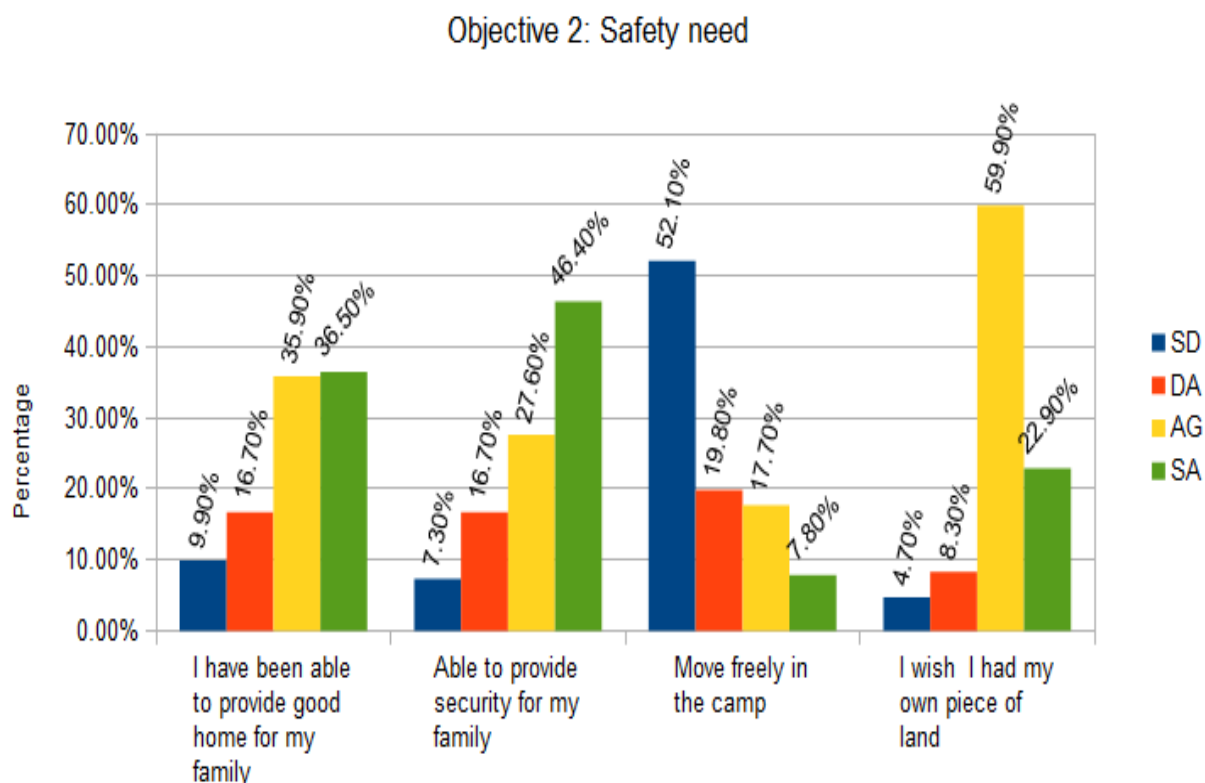


Figure 5 : Safety needs

The study results revealed that 36.50% strongly agreed and 35.90% agreed that they were able to provide a good home for their families. This finding contradicts Habib, Basma and Yeretizian (2006) that refugees live in inadequate shelter overcrowded and of inferior quality. Those who reported that they were not able to provide a good home for their families were 16.70% and 9.90% respectively. With regard to providing security for self and family, the results revealed that the majority of the men, 84% felt they were able to provide security while 24% felt they were not able to provide security. Where the man felt insecure was the fact that majority of them could move freely in the camp (69.80%), while those who reported having no problem with movement were 25.5%. This finding is in concurrence with Warah (2011) who asserted that the refugee population lives in fear due to the existence of Al-shabaab fighters within the camps. Of those who responded to the question of desire to have one's own land, 82.8% expressed the desire while 13% did not express such desire. Those who reported they felt their movement was restricted were 70.3% while those who had no problem with regard to movement were 4.70%. The men who felt they needed to move out of the camp in order to be in control of their own lives were 69.3% while those who did not report wanting to leave the camp were 4.20%. The findings are consistent with the sentiments expressed by Aleinikoff and Poellot (2012)

that there was inadequate health care and risks of physical safety at the refugee camp.

v. *The need for love and belongingness/affiliation*

This objective sought to establish the man's sense of belonging with regard to moving with family from the country of origin, ability to marry in the refugee camps, living close ones clan and living a happy life with family. The findings are presented in figure 6

Objective 3: Belonging/ affiliation need

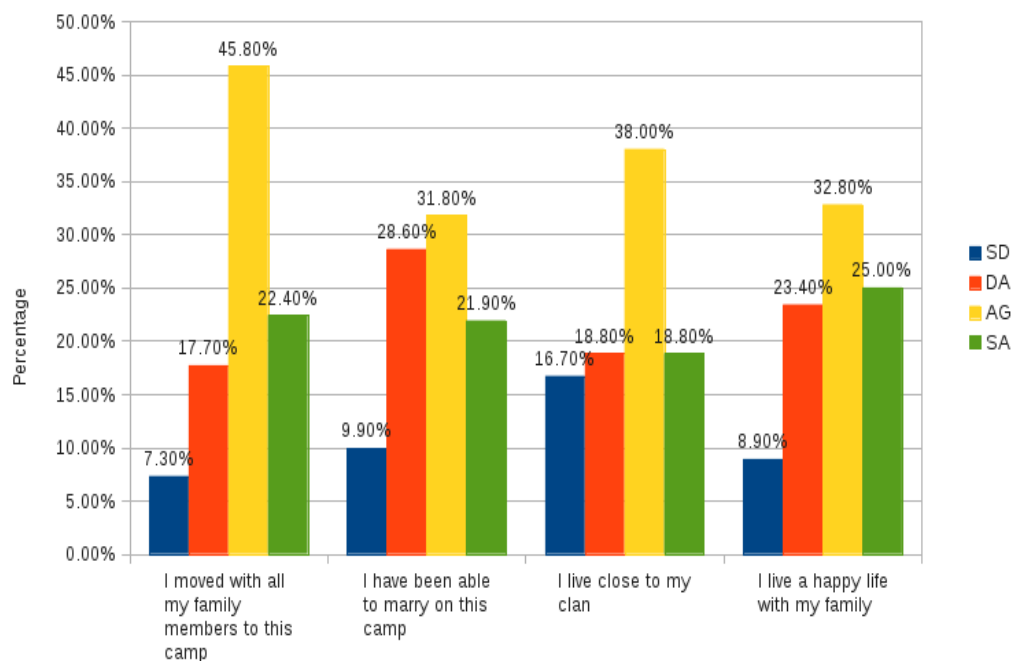


Figure 6 : love and belongingness

The findings revealed that 22.40% strongly agreed while 45.80% agreed that they moved with their families to the camp. Those who disagreed with the statement were 17.70 with 7.30% strongly disagreeing. Those who strongly agreed that they married at the camp were 21.90% with 31.80% agreeing to the statement while 28.60% and 9.90% disagreed and strongly disagreed with the statement respectively. A good percentage of the men reported that they lived close to members of their clan with 18.80% and 38.00% strongly agreeing and agreeing respectively. The men who disagreed with the statement were 18.80% and those who strongly disagreed with it were 16.70%. The men who reported that they lived happily with their family were 57.8 of these 25.00% and 32.80% strongly agreeing and agreeing respectively. Those who reported on the contrary were 32.30% with 23.40 disagreed and 8.90% strongly disagreed. These findings reveal that the men in the refugee camps have kept close to clan and family which according to Modo 2001, Ayayo 2000 are important affiliate bonds thus fulfilling the belongingness needs. This is expected to provide bases for psychological health. However the percentage that felt they did not enjoy the affiliation bonds is still significant which indicates that there is section of the men who may suffer psychological ill health as a consequence of social isolation.

vi. The need for self esteem

This objective sought to establish if the men under investigation enjoyed self esteem under the refugee conditions. Specifically, they were asked to indicate if they carried out their responsibilities the same way they would if they were not in a refugee camp. In addition the men were asked to indicate if they thought that the Aid agencies had taken over their responsibilities and if they thought their wives and children respected their decisions. Further, they were asked if they thought their wives and children listened to the Aid agencies more than they listened to them. The results for this objective are presented in figure 7

Objective 4: Self Esteem need

Part 1 of 2

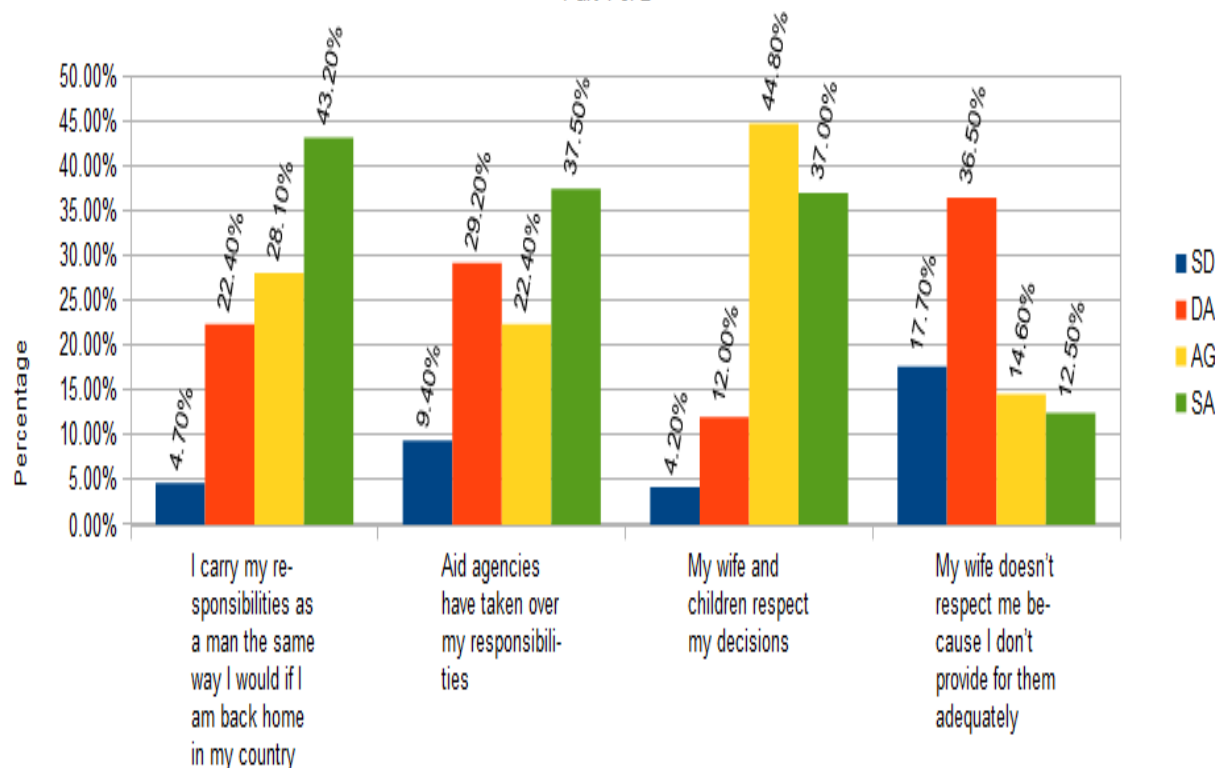


Figure 7 : Self-esteem need-responsibility

vii. Self Esteem Needs

The results revealed that majority of the men felt that they carried out their responsibilities the same way they would if they were back home (71.30%), while 27.10% disagreed with the statement. Of those who responded to this item that they felt the Aids agencies had taken over their responsibilities, 59.90% agreed while 38.60% reported on the contrary. The men who reported that their wives listened more to Aid agencies than to them were 81.8% while those who reported on the contrary were 16.2%.

The second part of this objective sought to establish if the man was able to fulfill the self esteem need through the ability to educate his children and being respected by wife and children due to his ability to provide for them. In addition the paper wished to establish if the man felt that he was wealthy according to cultural standards and if he was a respected elder. Results are presented in figure 8.

The objective intended to establish whether the men under study were able to meet their self- esteem needs. The results are presented in figure 8.

Objective 4: Self Esteem need

Part 2 of 2

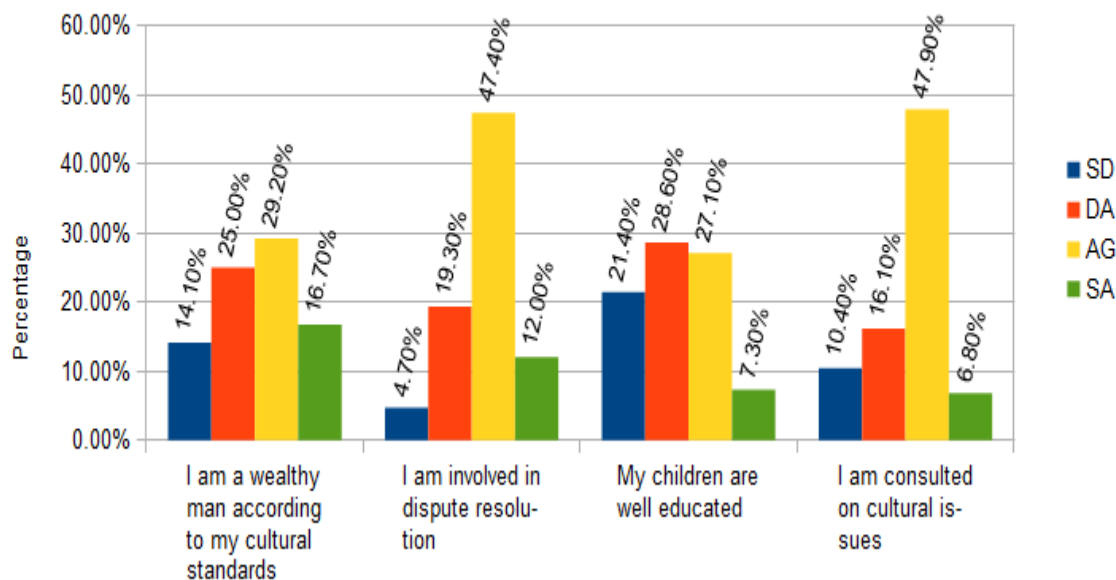


Figure 8 : Self esteem needs-wealth, social responsibility

Self-esteem Needs

The findings revealed that 16.70% and 29.20% strongly agreed and agreed that they were wealthy men by cultural standards while those who disagreed and strongly disagreed with the statement were 25.00 and 14.10%. The men who reported that they were involved in dispute resolution were 59.40%. Of these 12.00% strongly agreed with the statement while 47.40% agreed with it. With regard to having well educated children 7.30% and 27.10% strongly agreed with the statement while 28.60 and 21.40 disagreed and strongly disagreed with it. With regard to being consulted on cultural issues as a prestige symbol 6.80% of the men strongly agreed that they were consulted while 47.90% agreed to being consulted on cultural matters. According to the results 16.10% and 10.40% of the men disagreed and strongly disagreed with the statement respectively. The study findings concur with the view expressed by Heppner, et al., (2008) that when self esteem needs are met the person enjoys positive attributes of authenticity, autonomy, competence and relatedness. It also means that contrary to the view earlier expressed by Hyndman (1997) that the Aid agencies had usurped the man's role to the extent that he could not enjoy certain degrees of prestige may not be entirely true.

viii. Self actualization needs

This objective intended to establish if the men under study felt that they were able to satisfy the self

actualization needs by having a large family and being proud of it. They were also asked if they participated in major decisions in the camp and proud to play the role. In addition they were also asked if they were proud to be grand fathers of many children and if they felt that they were respected elders. The results are presented in figure 9.

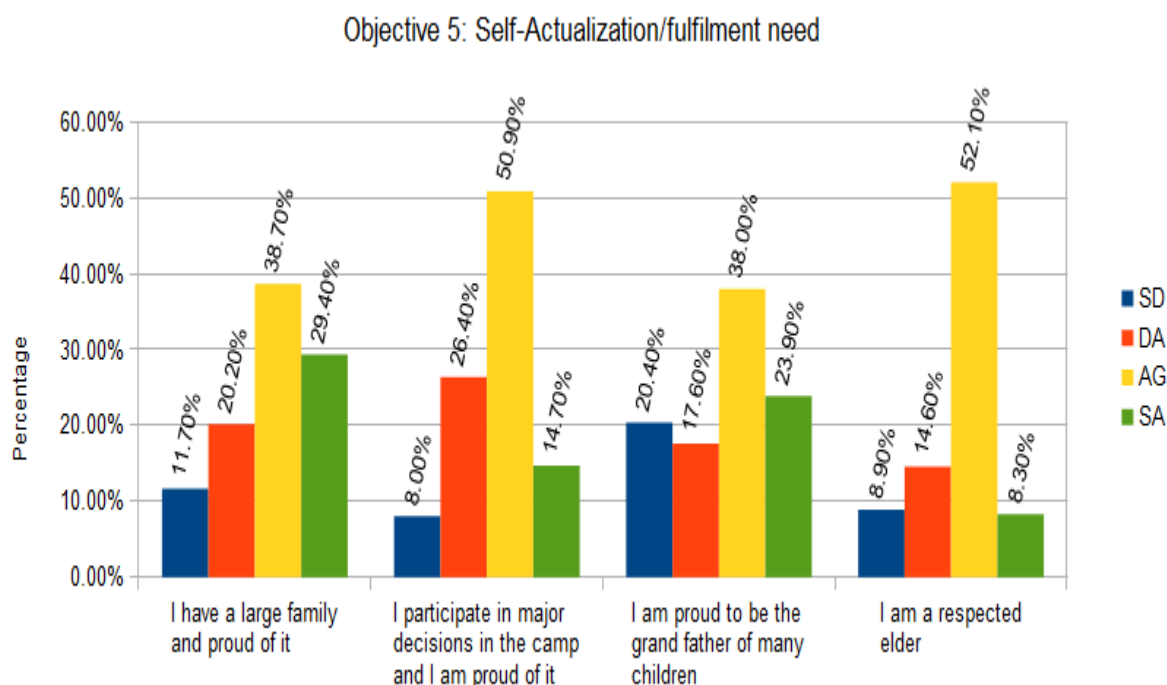


Figure 9 : Self-actualization Needs

The results revealed that majority of the men (68.10%) with 29.40% and 38.70% strongly agreeing and agreeing that they had large families and proud of the fact while 20.20% and 11.70% disagreeing and strongly disagreeing respectively. With regard to participation in major decisions in the camp, again majority of the men (65.6%) of these 14.70% and 50.90% strongly agreeing and agreeing respectively. The men who felt they were not involved were 34.4% of which 26.40% and 8.00% disagreed and strongly with the statement respectively. The men who felt proud of having many grand children were 61.9% of which 23.90% agreed strongly while 38% agreed. Those who reported on the contrary were (38%) of these 17.60% and 20.40% disagreeing and strongly disagreeing respectively. The results further revealed that 8.30% of the men strongly agreed that they were respected elders while 52.10 agreed with the statement. The men who did not feel that they were respected elders were 14.60% and 8.90% disagreeing and strongly disagreeing respectively.

These results seem to indicate that the majority of the men under study had scaled the heights of self fulfillment and were satisfied with their lives contrary to the expectation that in their status as refugees they would be struggling with lower order needs. Contrary to Sweeny (2012) these refugees had been stagnant waiting to go back to their countries of origin to begin life again. Instead they had taken advantage of the prevailing conditions and found ways of making money and a livelihood for themselves and their families. They had reclaimed their roles as African men within the limits

allowed them by the refugee status. They had headed their families like Acholla-Ayayo (2000) had said that an African man should and have been in control of the family cash flow in agreement with Cash 2011). The African men in the Dadaab camps demonstrated that they had been able to meet the physiological needs for themselves and families in line with Martin and Joomis (2007) expectation and as such live psychologically healthy lives. They had managed to retain their affiliation bonds thus meeting the need for love and belongingness and they had also managed to enjoy various levels of self-esteem which had allowed them to attain certain degrees of self fulfillment.

IV. CONCLUSION

In conclusion, the findings of the study revealed that majority of the African men in Dadaab were able to satisfy the physiological needs for their families reporting that they were able to provide food for their families. However; a small minority felt that they were not able to do so. This situation is explained by the fact that majority of the men were involved in income generating activities and as such feeding their families was not so difficult. The findings also revealed that the men had challenges with their children's health issues which confirmed that the men were handicapped in providing health care for their children. It is not surprising because the refugees do not have direct control over the provision of health care and have to depend on Aid agencies for its provision. Majority of them reported that they had no problem satisfying their sex need because

they were able to marry and therefore fulfill the need for affiliation as well as the sex need. The percentage of the men who reported difficulties in meeting this need pauses concern as fulfillment of this need is associated with overall psychological health. With regard to the ability to provide security for the family, a great majority felt they were able to provide a good home and security for their families while a small percentage felt they were not able. The only problem they reported was restriction of movement a factor that is not in direct control of the individual men but rather a general condition affecting all the refugees. Wishing that they had their own piece of land is an ambition anyone wishing to have total control of their lives would wish for. With regard to the love and belonging, the majority of the men reported they had no problem as they had moved with families to the camp and they had also been able to marry and live with their clansmen. There was a small section of them who reported experiencing challenges with this need and these are the men who are at risk of developing psychological problems. Majority of the men interviewed reported that they were able to meet the self-esteem needs by undertaking their responsibilities, making decisions and earning respect from family members. A section of the men under investigation felt they were rich by cultural standards. Many of them reported that they were involved in dispute resolutions within the camps. Majority of them did not feel that their children were well educated. Further, a large section reported that they were consulted on cultural issues. Results regarding self-fulfillment revealed that a large section of the men were proud of their large families, and were involved in major decisions in the camp. They also reported that were proud of being grandfathers as well as being respected elders.

a) Recommendations

Based on the study findings and the conclusions drawn, this study recommends that the refugees be allowed conditions under which they should be able to meet their needs in culturally acceptable ways. This calls for the recognition of the role of the man in the family in African cultures as the head of the family, the chief decision maker and custodian of culture. Therefore empower him in a way that he can provide the family with enough food in quality and quantity. The study further recommends that the Aid agencies find a way of providing the kind of diet that the refugee families are comfortable with and means of making it available. This can be done by ensuring that they can be allowed to do farming, manage the environment to protect it from degradation. The safety issues should be considered whereby the people should be allowed freedom of movement and possible integration with the local people if they are not returning to their homes of origin anytime soon. Those unable to meet the needs of affiliation should be identified and provided with

professional counseling services. The study also recommended that the men to be empowered to raise enough money to educate their children because it is only through this that the next generation can be saved from cyclical generations of poverty. Finally the men should be given opportunity to attain self-fulfillment within the context of their status because when this happens they will be psychologically healthy to run stable families, to meet their needs which would reduce tensions within the families as well as inter-clan feuding.

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The Work of Art – The Philosophical Word

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The Work of Art is a Subtle Sign of Otherness- The work of art as a transfer of truth about human existence can be treated as a sign-word of an invisible sphere of reality. In this situation it becomes a revelation of nature, which enjoys concealing things before the human being. Let us notice what the Wise Man from Ephesus (among others B 123) says that about this invisibility and truthfulness.

If we admit that the work of art is a kind of sign of the transfer of a divine truth, which has been revealed to the artist, then an interesting aphorism (B 93) is the one which reads: "The Lord, whose oracle is in Delphi, neither says nor conceals, only gives signs"¹. Let us emphasise, after Kazimierz Mrówka, that a sign does not destroy the otherness of nature but "reveals it, brings it out from otherness and brings it near to the human being."² Let us try to interpret here the work of art as a subtle sign of this otherness, a sign concealing the truthful essence of nature – which likes to conceal before the human being...

The work of art here is also the philosophical word, announcing the life and death mystery.

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The Work of Art – The Philosophical Word

Dr. hab. Aleksandra Pawliszyn

I. THE WORK OF ART IS A SUBTLE SIGN OF OTHERNESS

The work of art as a transfer of truth about human existence can be treated as a sign-word of an invisible sphere of reality. In this situation it becomes a revelation of nature, which enjoys concealing things before the human being. Let us notice what the Wise Man from Ephesus (among others B 123) says that about this invisibility and truthfulness.

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The work of art here is also the philosophical word, announcing the life and death mystery.

II. THE SIGN VIBRATING THROUGH OTHERNESS

The almost magician-like atmosphere of Martin Heidegger's *Beiträge* can serve as a special kind of assent to experience the beginning of some other world, according to the sign mentioned in this way. For, on the one hand, the truth concealed (transferred somehow by the sign) can be interpreted as a refusal to reveal, while, on the other hand, this refusal has to grasp, after Heidegger, the assent "to belong to the peculiarity of another beginning"³, as can arise with the work of art in the horizontal order of things.

We remember that Heidegger tries to investigate the "fundamental history of Being", however

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¹ Our translation is after the Polish issue translated by K. Mrówka, *Heraklit. Fragmenty: nowy przekład i komentarz*, Warszawa 2004, p. 263.

² Ibid., p.265.

³ M. Heidegger, *Beiträge zur Philosophie (vom Ereignis)*, Vittorio Klostermann, Frankfurt am Main, 1989. [Our translation is after the Polish issue translated by B. Baran, idem, *Przyczyńki do filozofii (Z wydarzeń)*, Kraków 1996, p.226.]

his attempts to describe Being in experience (which is still not present), as "a vibration of acting divinity"⁴, seems to emanate a particular atmosphere of contact between essentially different worlds.

According to Heideggerian suggestions about the experience of Being in terms of vibrations, one can say that the work of art is a sign of truth, which does not destroy but evokes otherness, leading it into a state of vibration. Let us try to look closer at this state, after the author of *Beiträge*: "This vibration (of the acting Being as divinity – AP) spreads out a time-space type of game, where, as refusal, it comes into Openness". It seems, that dimensions, non-reducible to each other: revealed existence (visible) and concealed (invisible), can both vibrate and create this "time-space type of game", which proceeds between the refusal of coming – and coming – into "Openness". So that the work of art is now a sign of refusal to become the owner of otherness, and now, a sign of sovereign otherness, which does not violate this sovereignty.

III. TENDERLY THE GAME WITH OTHERNESS

Therefore, the vibration of metaphysical environments non-reducible to each other can generate a game marking off the space of a non-brutal sign, which tenderly, as to Levinas, strives for the truth of the untouchable dimension. Let us call to view the author of *Le temps et l'autre* on caresses: "It (the caress – AP) is like a game with something slipping away, and a game without any project or plan, not a game with something that can become ours, or us, but with something other, always other, always inaccessible, always only imminent."⁵ One can say that in a vibrating atmosphere the space of a game is created between the sign and something always other; an otherness the sign does not violate, but only tenderly "touches".

Therefore – authentic contact between different worlds could be a kind of meeting in the dimension of vibration (of not possessing each other), so, it is a vibrating contact of worlds slipping away, tempted by their impossibility to absorb, their recoil from conquest, control, possession... As leaves trembling in the wind, leaves that have never experienced the wind – trembling

⁴ Ibidem.

⁵ E. Levinas, *Le temps et l'autre*, PUF, 1998. [Our translation is after the Polish issue translated by J. Migasiński, idem, *Czas i to, co inne*, Warszawa 1999, p. 102.]

that bears the undulation of the world, the undulation of living plants – which bear the music of life...

IV. THE VIBRATION OF BEING AND THE SPACE OF THE GAME

So, the game is revealed – played in an attempt by existence to gain access to groundless vibration – this is an unconstrained game, as if carrying over the nebula of different worlds – as those worlds cannot be mutually grasped. It seems to us, according to a suggestion by the author of *Beiträge*, vibration becomes a game when it comes into space. Now, vibration is an ontically earlier state than ground, it is, therefore, a groundless environment on which the space of the game is implanted.

In this game vibration becomes refusal to master otherness – it can bring “a harmony of allocation”⁶ “evidence of a clearing” – truth, according to Heidegger. Therefore, appearance in the bright strip of existence – occurring by means of vibrations of light and darkness – is none other than a ceasing of the uncommon streams of existential brightness, appearing in harmonic allocation, and revealed by a refusal to master otherness (as a clearing of non-concealment, according to Heidegger).

V. THE WORK OF ART – AN ASSIGNATION OF THE SHAPE OF THE TRUTH

Let us recall that to fill an unconcealed truth, which, according to us sounds with strange streams of light means, for the author of *Der Ursprung*, “to pour truth into a shape”⁷. So, the game of the sign – the work of art – “pours” manifesting truth by means of the earth, into a defined shape. As Heidegger emphasises, “to make the work of art is not a manufacturing activity, but “use of the earth to assign truth a shape”⁸. So, it is a creative striving after a state of coagulation of the groundless trembling of unconcealment, the coagulation of the work of art. This state of coagulation is in an area which the author of *Beiträge* defines as spreading out of a “time-space type of game”. Then, the work of art as a sign is an assignation with truth, the shaping of a clearing into that which is connected with giving a material carrier to that truth (after P. Ricoeur).

To present in total the complexity of Heideggerian philosophical considerations needs individual study, here we would like to concentrate on Heidegger’s declaration referring to the space of the

game of the work of art. He tries to render interdependence between the essence of the entity of unconcealment and being. Heidegger notices that “if the essence of the entity of unconcealment belongs in some way to being itself (see *Being and Time*, § 44), then it allows, from its side, the occurrence of a space for a game of openness (a clearing of manifestation [Da]) and introduces itself as *that*, to every entity which rises in its way.”⁹ So, belonging in being, the essence of an entity in unconcealment can happen in spite of being. The consent of being to the experiencing of a space, where that which is unconcealed goes, occurs in a vibrating medium, establishing groundlessness, because it is still trembling – the “ground” of that which is open.

Therefore, let us repeat: establishing the shape of the truth as the “rising of an entity” (the sign) of a work “on its way”, acting on a “groundless ground” of vibrating existence, releases the space for a game of openness, where a magic world arises – in spite of creativity – into the crystal of the work of art.

VI. A SIGN OF INEXHAUSTIBLE EXISTENCE – THE WORK OF ART

From the point of view of hermeneutics, one can say that the work of art is the death of living changeability that it is, as it were, living on life; when the creator, burning in the fight for truth, is dying by the life of his works... The force of creativity seems like a divinity penetrating the human being, living by the pain and blood of the creator creating a new metaphysical dimension: the dimension of the sign of the work of art – announcing an absolute otherness, revelation in the truth of the clearing.

Let us emphasise here, that one must fight for the truth, and, that it is, after Heidegger, a primeval contention of concealment – as well as a clearing of unconcealment. Because of this primeval contention “contending, clearing and concealment, step aside”¹⁰. One can assume then, that this gap is “the most groundless crack, in which one can intuitively consider inexhaustible existence”¹¹. Brushing inexhaustible existence, which occurs during the act of creativity, induces us to recognize creativity as a divine feature of the human being. Let us notice creativity as being torn from the force of existence, initiating into mortal human life the germ of immortality – because of inexhaustible creativity.

Let us also stress, that the artist penetrating the creative core of existence is in a special state, defined by Heidegger as “intuitive consideration”. It seems then, that the artist “intuitively considers” the creative power of

⁶M. Heidegger, *Beiträge...*, *ibid.*, p.225.

⁷M. Heidegger, *Der Ursprung des Kunstwerkes*, in: *Holzwege*, Vittorio Klostermann GmbH Frankfurt am Main 1950. [Our translation is after the Polish issue translated by J. Mizera, *idem*, *Źródło dzieła sztuki*, in: *Drogi lasu*, Warszawa 1997, p. 44.

⁸*ibid.*, p. 45.

⁹*ibid.*, p. 42.

¹⁰*ibidem*.

¹¹M. Heidegger, *Beiträge...*, *ibid.*, p. 229.

the river of existence, because he senses the possibility of experiencing the immortality of the great changeability of the universe by his own creative activity – the work of art as a sign – provoking thought about the inexhaustible creation of existence itself. The work of art is also an expression of apprehension, that the invisible, creative core of existence itself establishes every creative attempt of the human being.

VII. INVISIBLE AS “PURE TRANSCENDENCE WITHOUT AN ONTIC MASK”

Merleau-Ponty writes very suggestively about that which is invisible. He tries to give expression to the non-evident tangle of that which is visible with that which is invisible, recalling the notion of “reversibility”, which for the author of *Le Visible et l'Invisible*, “is the final truth”¹². However, for us, what is truly inspiring is one of the working notes of the French phenomenologist, from January of 1960, concerned with the problem of visibility and invisibility. First of all, Merleau-Ponty warns against treating the invisible “as another ‘possible’ visible”¹³, stressing in that way the otherness of the invisible, which is not able to be translated into expressions of light. The invisible is not a thing¹⁴, but accompanies all visible things as their “lining”¹⁵ – or their – “invisible core”¹⁶. For the French phenomenologist, the presence, the *here and now* of the invisible means that it is “a pure transcendence without an ontical mask”¹⁷.

One can admit that this pure transcendence occurs in the way of something groundless – without any ontical mask – as if vibrations made up the invisible density of the atmosphere of existence, charged by the potentiality of being whichever contour of a body they want.

VIII. THE LINING AND DEPTH OF ENTITY IS INVISIBLE

As to the visible and invisible, Merleau-Ponty recalls Proust's view on musical entities. The author of *Le Visible et l'Invisible* grants recognition to the idea that it is not the opposite of the sensual entity, but the lining and depths of this entity¹⁸. The French phenomenologist adds that both art (literature, music) and science are the “exploration of the invisible”¹⁹, and that the “secret sable of milk, that Valéry talks about, is accessed only through its whiteness, as the idea of light, or the idea of

music as lining lights and sounds beneath, which are their second side or depths”²⁰.

Therefore, the work of art, in the above context, is the exploration of the invisible, influencing the human being's learning endowment: sight, hearing, and also the activity of thinking – arranging a sensual architecture. “A corporeal tissue” of that which is invisible, which the French phenomenologist defines as “an absence of any corporeality”²¹. One can suppose that qualities generated in the human being, emanating invisibility through the work of art (the lining of the visible world) reveals in the learning area of the human being a furrow, “which in a magical way appears before our eyes, though there is nobody who can channel it”²², so they reveal a kind of absence (concavity, negativeness) – which can be recognized by a specific form of concealment e. g. between the signs of musical notation.

IX. METHODOLOGICAL REFLECTION

Ascertaining that the philosophical discourses of Heidegger and Merleau-Ponty are not comparable directly, let us notice that the intuiting of the meaning of categories we are interested in are the same. Namely, let us ask if the Heideggerian, “most groundless crack”, plays the same role in the description of interdependence between inexhaustible Being and coagulation into the work of art as unconcealment, as in Merleau-Ponty's grasp of the relation between the visible and invisible – “a furrow, which in a magical way came into existence (...), although there is nobody who channels it”? If yes, then one can suppose further, that the coagulation of truth in the work of art – to give a material carrier of appearance in the clearing of unconcealment – can reveal an invisibility, concealed in a specific way behind it, e. g. note transcription, invisibility as the core of the universe, the exploding exuberant power of creativity...

Or, on the other hand, “a groundless crack”, and in another style, “a furrow”, where absence of the entity marks a specific concealment, grasped by the work of art in the unrepeatable annexation of the space of a game. Is this not an expression of fascination with the force of creativity revealed in the creation of another life? If yes, then touching the body of the artist with the corporeality of the world announces another existence; so it is a divine sign of the new existence released in the aura of vibrations.

X. THE MYSTERY OF INEXHAUSTIBLE EXISTENCES

So, perhaps, after Merleau-Ponty, one might say that we brush the invisible core not only when the

¹²M. Merleau-Ponty, *Le Visible et l'Invisible suivi de notes de travail*, Editions Gallimard, 1964. [Our translation is after the Polish issue translated by M. Kowalska, idem, *Widzialne i niewidzialne*, Warszawa 1996, p. 158.]

¹³Ibid., p. 229.

¹⁴Ibidem.

¹⁵Ibid., s. 137.

¹⁶Ibid., p. 229.

¹⁷Ibidem.

¹⁸See *ibid.*, p. 152.

¹⁹Ibid., p. 159.

²⁰Ibid., p. 154.

²¹Ibidem.

²²Ibidem.

body of the artist meets with the corporeality of the world, but also when that corporeality joins “with another body, adjusting [each to each other] with care in all of their dimensions; a strange statue being drawn untiringly by hands, which next gives back everything that it gets, lost to the world and its aims, absorbed in only one interest, the ecstasies of Entity with another life (...) And then (...) into patience, the calm work of desire starts a paradox of expression”²³? For, is not the creative expression of the human being an expression of the creative expression of existence? So, the work of art is a sign that indicates the mystery of inexhaustible existence.

XI. THE FASCINATING IMMORTALITY OF THE WORK OF ART

If we admit that the human being's calling is to participate in the miraculous mystery of life and death, then the work of art plays a cordial role, namely, inclining the human being to a meditative stop (drop everyday routine), in order to celebrate a miracle of transformation – the mystery of pre-divinity, bringing into mortal human life a flash of immortality. So, the work of art is, for us, a sign, creating a flash of immortality; that flash being the effect of the murderous struggle of the artist with life and death forces. It is a particularly interesting, uncommon, and strong fascination with immortality by the human-artist, because only in the mortal human being can that fascination be realized, generating a situation where he devotes his life to create works of art that grasp that flash... It seems as if the artist would like to realize a world where the sensitive heart, as sophisticated intellect, can harmonize in the patient satisfaction for a desire for life, that which is, however, lined by death...

Finally let us ask: how hard must one desire life, in order to die for it – creating works absorbing the human-artist's life – to celebrate in that way exactly that life? Therefore, is it not worth recognizing the work of art as the philosophical word about the transgression of the human being thrown into the forces of life and death, in order to conquer the fate of death?

²³Ibid., p. 148.



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Effective Invigilation as a Panacea for Examination Malpractices among Students of Tertiary Institutions in Nigeria

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Abstract- Examination by whatever name it is called is very important to educational system as air is important to life. Examination serves very many useful purposes at any education system and level. The useful purposes of examination at any education system can be marred by its conduct especially if it allowed for examination malpractice. Examination malpractice is one of the plagues that be devilled tertiary institutions in Nigeria. Examination malpractice in the tertiary institutions is on the increase daily taking different forms and dimensions. However, the menace thrives well when examination invigilation is very slack. Examination invigilation rests solely on invigilators and other stakeholders in the conduct of examinations invigilation. Therefore, examination invigilators determine the quality of examination invigilation. Effective invigilation of examination can only be made possible through effective invigilators who will reduce if not totally eradicate the menace of examination malpractice and this is the thrust of this paper.

Keywords: education (al) system, tertiary institution, examination malpractice, examination invigilation, effective examination invigilation, examination invigilators.

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Abstract- Examination by whatever name it is called is very important to educational system as air is important to life. Examination serves very many useful purposes at any education system and level. The useful purposes of examination at any education system can be marred by its conduct especially if it allowed for examination malpractice. Examination malpractice is one of the plagues that be devilled tertiary institutions in Nigeria. Examination malpractice in the tertiary institutions is on the increase daily taking different forms and dimensions. However, the menace thrives well when examination invigilation is very slack. Examination invigilation rests solely on invigilators and other stakeholders in the conduct of examinations invigilation. Therefore, examination invigilators determine the quality of examination invigilation. Effective invigilation of examination can only be made possible through effective invigilators who will reduce if not totally eradicate the menace of examination malpractice and this is the thrust of this paper.

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I. INTRODUCTION

The relevance of examination to the teaching-learning process cannot be over emphasized. Examination still remains a major way/means of assessing the learners' ability and of determining the extent of accomplishments of the teacher's goals and objectives of a course. Regardless of the level of education, examination serves so many useful purposes such as for promotion, classification or placement employment, appointment awarding scholarship, etc. Generally, students feel alright and unruffled throughout the (period of) lecture time but become feverish at the mentioning of the word 'examination' or at the closeness of examination date or the commencement of examination.

Examination creates a dichotomy between good and bad, success and failure, promotion or retardation. Since nobody wants to associated with failure, every student struggles to see that he (she) passes his/her examination by all means. Generally, students are desperate to pass their examination because of the useful purposes examinations serve. While some would approach passing examination by

honest means, many others would engage themselves in different forms of malpractice. As such, the conduct of examination or examination invigilation becomes very very crucial.

II. EXAMINATION MALPRACTICE

The Nigerian education system is passing through a time of crisis. There are so many problems that bewildered the system and these problems have almost stiffened the essence of its existence. Many of these problems may not be new. However, the point of concern about them is that they have now taken a new and sophisticated dimensions. Moreover, the incidence of these vices are on the increase despite the public awareness of those problems. One of those vices is examination malpractice. It ranks high, competing for the first position among other vices that are plaguing education industry in this country.

Examination malpractice as a phrase can better be understood by analyzing the two words that make up the phrase. Examination, according to Longman Dictionary of Contemporary English "is a spoken or written test of knowledge". In other words, examination is a test of one's ability, stuff, skill or knowledge in a particular subject. This definition pre-supposes a time/period of learning or acquiring knowledge, skill or ability after which a test (examination) is administered to determine the extent of the knowledge or skill acquired.

Malpractice on the other hand, is defined by the same Dictionary as "unlawful activity usually for personal advantage by a person in a position of trust and responsibility". It means that malpractice is an act or behaviour that is against the law or it is a violation of the stipulated rules and regulations just for personal gain or for selfish reason by trusted and responsible people.

From the analysis of the two concepts that make up the phrase, examination malpractice can then be defined as unlawful activity usually for personal advantage by any person in a position of trust and responsibility in the conduct of spoken or written test or knowledge. It is the violation of rules and regulation just for selfish reason by any of the parties involved in the administration of spoken or written test of knowledge, skill, stuff or ability. By this, examination malpractice is not an act of students alone. It involves all the parties

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concerned with the administration of examination. Examination malpractice takes different forms and dimensions. The cases reveal that the perpetrators of this unlawful act are indeed people put in position of authority to keep the secret of examination but who through their selfish ambition or personal gains violate the stipulated rules and regulations in order to leak the examination or make the best in the examination. The following are some of the cases of examination malpractice in both internal and external examinations.

1. Hawking and sales of live question papers before the commencement of the examination.
2. Leaking of questions (papers) by teachers and those involved in the process of producing such questions.
3. Impersonation: This involves the use of other people to sit for an examination on one's behalf. It is writing examination in another person's name. At times, it involves changing of passport photograph and identity cards. Those being employed/engaged to do this are at times often referred to as 'machineries'.
4. Exchanging notes, (question paper with jottings, answer scripts), written documents, whispering and verbal transfer of answer to mates in the examination room. In some cases supervisors or invigilators could be agents of such practice within the examination room.
5. Giraffing: sideways peeping at others' works.
6. Bringing in to the examination room, intimidating and relevant materials (jotted notes, textbooks, handouts, mimeographs, jotting on bodies, handkerchief sophisticated electronics such as calculator, GSM, etc on which relevant material of the notes on examination being taken can be recorded and retrieved.
7. Allowing students to re-write the examination after the normal examination had been concluded. This is common in internal examinations at any level of the education system (primary, secondary, tertiary).
8. Stealing of answer scripts or taking of empty or written answer script out of the examination hall.
9. Coming late for the examination and leaving the examination room so early. Leaving the examination room without the permission of the invigilators.
10. All other acts that constitute problems to the peaceful conduct of the examination. Such includes making noise, murmuring or whispering or reading question aloud, talking or discussing with mates/others in the examination, disobedience or being rude to the invigilators, etc.

The lists above are by no means exhaustive as new, sophisticated and even murderous means are being devised by perpetrators daily.

III. WHY INVIGILATING EXAMINATIONS

Invigilating examination is rooted in the free and fair justice logic/philosophy. Since examination is very important to the progress of students and since everybody wants to pass examination, therefore invigilating examination becomes imperative so as to give room for every candidate to operate in the same and similar conducive atmosphere.

Examination invigilation ensures orderliness in the conduct of examination. Everyone abides by the rules and regulations for the conduct of examination hence orderliness is ascertained. It is human for some students to evolve "short cut" means to passing examination. As such, there is the need to ensure fair play on the part of all the examinees. Therefore the process or conduct of examination should be well moderated to ensure justice and fair play.

Examination invigilation aims at ensuring conducive atmosphere for all examinees.

Further, invigilation ensures and assures standard. Standard can only be ensured when things are done according to the lay down regulations.

IV. INVIGILATION AND EXAMINATION MALPRACTICE

The quality (process) of invigilation goes a long way to minimize or aggravate cases of examination malpractice. If invigilation is effective, cases of examination malpractices if not avoided will be drastically minimized whereas if the invigilation is slack and very ineffective cases of examination malpractice will be on the increase and thereby become the order of the day.

Many well meaning Nigerians especially educators have expressed great concern over the quality of supervision and invigilation of examination in Nigerian schools. For example, Salim (2000) indicted many invigilators of Joint Matriculation Examination (JME) for being negligent in their performance of their duties as invigilators. These invigilators according to Salim:

- a) did not search candidates before they were allowed into the examination room.
- b) allowed candidate to smuggle questions papers out of and answers into the examination rooms in the course of the examination.
- c) turned a blind eye to cheating and other irregularities.
- d) were on the payroll of candidates.
- e) allowed agents of candidates with genuine or forged State Security Service or Police identity cards access to the examination rooms to assist candidates.
- f) paid more attention to selling snacks to candidates than to ensuring proper invigilation.

Most of those negligent attitudes of JME invigilators are also found in many of the tertiary institutions examination invigilators of various programmes.

V. WHEN EXAMINATION INVIGILATION IS SLACK

What happens when invigilation is slack in examination is better imagined than experienced. Malpractices will be set loose and indiscipline will have its sway. Things will indeed fall apart and the centre will no longer hold.

Invigilation becomes slack when: the invigilator is not interested in the work, the invigilator is not active and is not in control of the examination hall/room, the invigilator fails to exercise his authority as expected on the examinees, the invigilator is sleeping, dosing off or when he is sitting at a corner reading newspaper or doing his own private meditation or prayer.

When invigilation is slack in examination none of the stakeholders really benefits from it. Students will have free day in cheating. They can copy from the answers they had written to questions from home and they could copy one another. The whole hall/room will become noisy and rowdy. Even normal teaching period would be better in term of conduciveness than that.

The invigilator who is responsible for such will not enjoy himself as he will be in constant fear of chief invigilator who can come in anytime. If such happens his integrity is at stake and may be queried or loose opportunity of being used in any other available time or exercise.

The course lecturer will not enjoy marking as marking will not task him or pose any challenge since many students have copied themselves. The marking becomes boring as he will be reading the same thing from each of the students.

Students will always bear the most of the brunt. Students may be marked down or their results may be cancelled thereby having failure grade or outstanding in the course.

Examination invigilation is not a passive but rather a very active activity. It is not a time for the invigilator to relax or rest from the teaching efforts but rather a time to be more lively and very active in its conduct.

In addition, we have heard cases of invigilators of examinations sleeping, dosing, leaving the examination hall completely to relax outside the hall, sitting at a corner/place throughout the period of examination. All those behaviours or attitudes are aiding and abetting examination malpractice and this should not be.

VI. TOWARDS EFFECTIVE INVIGILATION OF EXAMINATIONS

Effective invigilation of examinations starts with a conducive examination hall/room. This is to say that the examination hall should be well arranged to ensure orderliness, easy passage and attractiveness. The hall should be furnished with adequate furniture for if the furniture is not adequate it can cause disorderliness as students will take advantage of such to complain while examination is in progress and thereby start to cheat. If the furniture is not well arranged easy movement of the invigilator becomes difficult and he will not be able to see well through and among the students to curb malpractice through eye contact and easy movement to the examination malpractice suspect/cheat.

Examination invigilator should have a right attitude towards invigilation. The invigilator should see examination as a serious business. He should see it as a serious aspect of teaching and more the concluding part of teaching exercise. That if the examination is well conducted or otherwise it goes a long way to affect students performance either way. The invigilator should then know that justice must be put in place in examination invigilation. He should ensure justice as pupils performance will be affected by how free and fair the examination invigilation is. It is a wrong attitude for the invigilator to see the period as a time to relax or a time to help students to pass.

The invigilator should be completely sensitive to situations in the examination hall. Students are very smart, cunning and trickish. Normal interaction situation e.g borrowing a writing material from colleague student can be turned to opportunity for cheating. So invigilator should be mentally and physically alert to identify and resist any trickish or cunning move of students to cheat. He should be very vigilant and watchful being sensitive to every move, talk or murmuring of students.

Invigilator should also have eagle eyes being able to see afar and be able to detect malpractices that may be going on away from where he is. Invigilators eyes must be sharp and should ensure that he moves them to and fro, right-left, top down, forward-backward, etc so he can ensure eye invigilation through eye contact with students that may want to cheat. Students should not be able to predict his eye focus. He should be able to move his focus round the hall and should not be one way focus.

Invigilator should not in anyway collude with students to perpetrate malpractice. Some invigilators just because they want to be tagged 'good' to students do collude with students to cheat in the examination. Some even dictate answers to students or prepare workings to some problems in the examination. Some collude with subject teacher who would bring answers for the invigilator to dictate or work for the students.

Such invigilator may leave the examination hall for students 'free for all time' to cheat.

Invigilator should fully concentrate on his job of invigilating. He should be very much fully on ground. He should not have distorted attention. He should not allow his attention to wander away or be attracted by incidents or events far away or around the premises of the examination hall. It is when the invigilator is fully concentrated that he can see and discover every prank that students may want to play towards cheating in the examination.

Invigilator should not allow himself to be bribed by students. Desperate and lazy students can go any length to achieve their aims. Such students can bribe invigilators during examinations: Invigilators that are not sensitive and not careful enough will easily fall prey to those students. The bribe can be in cash or kind. For examples, students can arrange and give 'envelope' to the invigilator; they can equally buy him foods, drinks and some can even agree to offer themselves (females) to the invigilator so that they can be allowed free day in the examinations. Furthermore, invigilators should equally not cheapen himself among his students. A lecturer who befriends his students or is having illicit relationship with his students cheapens or weakens his authority to discipline those students. For such lecturer, the students will take advantage always and specially during examination. Therefore, invigilator should be disciplined and not allow himself to be bribed by students or cheapen himself among his students.

Invigilator should not want to be good to students by turning a blind eye to cheating and other examination irregularities. If invigilator is not an accomplice with students in cheating during examination, he should not turn a blind eye to cheating and cheats. He should be firm and call a spade a spade and follow examination regulations to treat each case of malpractice and irregularities. He should be upright in his duty. He should not pretend to be doing the work while the work is not being done thoroughly.

Invigilator should ensure compliance of all students to examination rules and regulations by ensuring a conducive examination atmosphere. Invigilator should be impartial in his dealings with all students in the examination hall. He should make every candidate pass through the same condition or process, for examples, checking of students before and as they enter into the examination hall, checking of certain documents during examination, etc. He should be free and fair to all students during examinations. There is no leadership or godfather among students during examination. All are same. He should not give special or preferential treatment to any student either because he had known him before or because of other relationship with the student.

Invigilator should cooperate with the Chief invigilator and other invigilators to ensure effective

invigilation and reduce (eradicate) malpractice. Cooperation is necessary among invigilators so as to be thorough and effective in the work. Since they have the same purpose and are being guided by the same rules and regulations, they should cooperate together in the discharge of their duty. Students should not see any invigilator as 'cheap' while tagging some others as being strict. Invigilators should all be disciplined, firm and fair. There should be good working relationship between invigilator and chief invigilator.

Invigilator should know the process of booking malpractice culprit/suspect without disturbing the peaceful atmosphere in the hall. Booking examination malpractice suspect is one of the jobs of an invigilator in examination. The booking of examination malpractice suspect should be done without causing attention, uproar or disturbing other candidates. It should be done without much noise and it should be done properly and thoroughly following rules and regulations guiding it. The invigilator should not forget to dispatch the examination malpractice forms filled by the suspect and the exhibits packaged in the envelope so designed and forward such accordingly with other answer scripts envelopes. However, the invigilator should take proper delivery of the malpractice envelope to the chief invigilator for proper recording.

VII. CONCLUSION

Examination malpractice is an indicator of a corrupt system of education. A corrupt (bad) system of education is not the best for any one even the corrupt. All stakeholders: Management, academic, non-teaching staff with full determination can work together to reduce or eradicate examination malpractice especially in our examinations and create a better image and a good name for ourselves since good name is better than silver and gold.

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Antiquity of the Srîmad-Bhâgavatam or Bhâgavata-Purâna, From the Classic Literature of India

By Horacio Francisco Arganis Juarez

Epistemology Principles- Scholars in history, philosophy and sociology of science consider as one of the basic principles in scientific investigation, distinguishing it from belief systems or pseudo-sciences, it is as expressed by Thomas S. Kuhn:

All scientific work is characterized by some divergences, and in the heart of the most important episodes in the scientific development there are gigantic divergences... As these two ways of thinking (divergences and convergences) inevitably come in conflict, it is inferred that one of the primordial requirements for the scientific investigation of the best quality, is the capacity to support a tension that, occasionally, will become unbearable. On the other hand I am studying these points from a very historical perspective, emphasizing the importance of "revolutions" for the development of science.¹²

This refers to the elementary dynamics that allowed some significant advances in the fields of scientific knowledge, as the academic study of Hindu culture including language and literature - Indology - it is a scientific field that needs to be subjected to a continuous critical review of its paradigms. If this process is not accepted, we would come to face the problem pointed out by Carl Sagan: "When one excludes the possibility of making critical observations and engaging in discussion, she/he is hiding the truth".¹³

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The Sanskrit texts from India have always occupied a distinguished place in philosophy and universal literature. Only in Mexico, they inspired great scholars such as Jose Vasconcelos, Francisco I. Madero and the Nobel Laureate Octavio Paz.

The Sanskrit texts from India have always occupied a distinguished place in philosophy and universal literature. Only in Mexico, they inspired great scholars such as Jose Vasconcelos,¹ Francisco I. Madero² and the Nobel Laureate Octavio Paz.

There is a veritable catalog of writers, poets, linguists and philosophers of almost all nations and movements, who have greatly appreciated and praised this treatise.

Indian Sanskrit literature consists of three main sources, denominated in Sanskrit *prasthanâ-traya*, that includes: *Sruti* (the Vedas like *Rig*, *Sama*, *Yajur*, *Atharva*, and their commentaries called *Brâhmanas* together with the *Upanisads*), *Nyaya* (logic- philosophical treatises based on *Vedanta-sutra*) and *Smriti* (*Itihasas* or epic poems, such as *Ramayana* and *Mâhabhârata*, the text of which *Bhagavad-gîta* is part, and the eighteen *Purânas*, the texts of traditional history and cosmogony).

Srîmad-Bhâgavatam or *Bhâgavata-Purâna* ("the beautiful history of the Supreme Personality of Godhead") is the last of the *Maha-Purânas* attributed to the sage Vyasa. It is, according to its own author, "the mature fruit of Vedic literature".³ It contains twelve Cantos for a total of eighteen thousand verses.

Its 10th Canto contains a detailed narration of Sri Krishna's life⁴ and His highest teachings are found in the 11th Canto.

It is rich in all the literary resources aimed at the didactic purpose of transmitting its philosophical system, therefore it is honored by the other puranic text.⁵ Dr. Thomas J. Hopkins affirmed: "One of the most impressive things about the *Bhâgavata-Purâna*, for example... it is the rigor of its thought... it is conceived systematically, with great scholarship".⁶ The eminent Bhaktivinoda, of the 19th century, states:

If the whole collection of Hindu theological works previous to the *Bhâgavata* were lost in fire like the Library of Alexandria and only the sacred *Bhâgavata* was preserved as it is, no part of the philosophy of the Hindus would be lost, except the conclusions of atheistic sects. For this reason, the *Bhâgavata (Purâna)* should be considered a religious work as well as a summary of the history and the Hindu philosophy.⁷

For this reason the sages from India have compiled several exegetics text,⁸ summarized in the English presentation called *Srîmad-Bhâgavatam of*

⁵ *Garuda-Purâna* states: "The *Srîmad-Bhâgavatam* is the explanation of *Vedanta-sutra* and an exegesis of the *Mâhabhârata*, it contains the explanation of the Gayatri mantra and is the essence of the entire Vedic knowledge, it has eighteen thousand verses and it is known as the summary of all Vedic literature". Op. Cit. in Goswami, Jiva. *Sri Tatva-sandarbha*. The Kṛṣṇa Institute. Los Angeles, 1987 trad. Kusakrta das, pp.71. cfr. *artha'yam brahma sutranam bharatartha-vinirnayah/ gayatri bhasyo-rupo 'sau vedartha-paribramhitah /grantho'stada-sahasrah srîmad-bhagavatabhidhah*.

⁶ Hopkins, Thomas J. et al., *Hare Krishna, Hare Krishna. Five distinguished Scholars on the Krishna Movement in the West*. Grove Press, Inc., New York.1983. pp.137.N.b. T. J. Hopkins earned his Ph D in the University of Yale. Among his works, now used as text books for courses, *The Social Teachings of Bhâgavata-Purâna*. University of Chicago Press, 1966.

⁷ Thakur Bhaktivinoda. *El Bhâgavata, Su Filosofía, Su Ética y Su Teología*, edit. *El Guardián de la Devoción*. México, 1998 pp.23

⁸The oldest exegetical commentary presently known is *Tantra-Bhâgavata* from the *pancharatrika* school. From the modern age there is Sridhara Swami's *Bhavarta-dipika* written in 11th century CE, then later, Madhva (13th century CE) wrote the *Bhagavatipraya*. Other commentaries are: *Hanumat-Bhasya*, *Vasana-bhasya*, *Sambandhoki*, *Vidvat-kamadhenu*, *Tattva-dipika*, *Paramahansa-priya*, *Suka-hridaya*. Vapodeva wrote the *Mukta-phala* and the *Hari-lilamrita*. Vijayadhvaja composed the *Pada-ratnavali*. Viraraghava also edited *The Bhagavata-Candrika* (from Ramanuja's school). Other works are the *Suvodhini* by Vallabha (in the school of Rudra) and *Bhakti-ratnavali* by Visnupuri. Among the Gaudiya Vaisnava commentaries (Chaitanya school) we have Jiva Goswami's *Krama-sandharva* (16th century CE), the *Saratha Darsani* by Visvanatha Cakravarti (17th century), the *Dipikadapana* by Radharamana, Bhaktisidhanta Saraswati's *Gaudiya-bhasya* (20th century).

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¹ Vasconcelos, José. *Estudios Indostánicos*. 1922, edit. Saturnino Calleja, Madrid pp. 120

² Idem.

³ *Srîmad-Bhâgavatam* 1.1.3 *nigama kalpa-taror galitam phalam*.

⁴ In Sanskrit *Kṛṣṇa*. From the historical point of view, he was a prince philosopher of the Yadu dynasty, who lived c. 3200-3075 B. C. He is considered in the religious tradition as the most important incarnation of Visnu; although some texts, especially *Bhâgavatam* 1.3.28, qualify him as the supreme personality of Godhead.

Krishna Dvaipayana Vyasa by Bhaktivedanta Swami, also broadly eulogized by experts of universities around the world.⁹ The first translation of the *Śrīmad-Bhāgavatam* appeared in French, by Eugene Burnouf in 1840.

Scholars differ on the composition date of *Bhāgavatam*. The *Bhāgavatam* itself and the traditional sages teach that it was compiled at the beginning of the age that Hindus call Kali-yuga, while the colonialist English critics believed that it was composed from various sources in the 13th century of the Christian era.

Later, other scholars have brought evidence that the text already existed in the 9th century, and this is the theory that has become more generally accepted. However, various researchers have found evidence that the text was known in the 5th century or even earlier, from there the query arises. In this article we will give a general presentation of the results achieved in a Master degree thesis at the IBCH.¹⁰

This research questions the dominant paradigm in this field; admittedly the research presented here may not be sufficient to satisfy the specialists, who will only be able to evaluate it, examining the complete investigation. We will appreciate any constructive criticism that contributes more evidence to solve the problem.¹¹ The general readers are also invited to accompany the scholars in this adventure in one of the most controversial discussions in history, not only of Indian, but of the entire human thought.

I. EPISTEMOLOGY PRINCIPLES

Scholars in history, philosophy and sociology of science consider as one of the basic principles in scientific investigation, distinguishing it from belief systems or pseudo-sciences, it is as expressed by Thomas S. Kuhn:

All scientific work is characterized by some divergences, and in the heart of the most important episodes in the scientific development there are gigantic divergences... As these two ways of thinking (divergences and convergences) inevitably come in conflict, it is inferred that one of the primordial requirements for the scientific investigation of the best quality, is the capacity to support a tension that, occasionally, will become unbearable. On the other hand I am studying these points from a very historical perspective, emphasizing the importance of "revolutions" for the development of science.¹²

⁹ Hopkins et al, Op. cit p.140.

¹⁰ Instituto Bhaktivedanta de Ciencias y Humanidades A. C., México 's High Studies College in Philosophy and Classic Theology of India, in validation agreement with the Bhaktivedanta College from Belgium.

¹¹ I invite the interested Indologist to utilize "The Antiquity of *Śrīmad-Bhāgavatam* or *Bhāgavata-Purāṇa* from Classic India Literature". Master of Arts degree Thesis. Horacio Francisco Arganis Juárez B.A. Instituto Bhaktivedanta de Ciencias y Humanidades AC. Saltillo, Coah 2006. 254 pages. H.arganisjuarez@yahoo.com.mx.

¹² Kunth, Thomas S. 1. *La Tensión Esencial. Estudios selectos sobre la tradición y el cambio en el ámbito de la Ciencia*. Fondo de Cultura

This refers to the elementary dynamics that allowed some significant advances in the fields of scientific knowledge, as the academic study of Hindu culture including language and literature - Indology - it is a scientific field that needs to be subjected to a continuous critical review of its paradigms. If this process is not accepted, we would come to face the problem pointed out by Carl Sagan: "When one excludes the possibility of making critical observations and engaging in discussion, she/he is hiding the truth".¹³

Thus, in order to take this step of cognitive progress, Sagan suggests: "If we want to determine the truth on an issue, we should approach it with the greatest mental openness possible, and in full consciousness of our limitations and biases."¹⁴

Regarding this investigation, it must be mentioned that some experts have found indications that, although European scholars first started the field of Indology and made considerable steps in research, their system of assigning dates was influenced by sociological and political factors, more precisely by the influence of their Christian bias and the British colonialist regime in India.¹⁵ One of such scholars was linguist Max Müller (1823-1900), who created the datation model that has been generalized among the Indologist and in text books; this scholar explained his motives as follows:

India cannot be preserved neither governed with some profit for us without a good disposition of the natives; and by all means we need that... The religion of Indians is a decrepit religion and it does not have many years of existence left; however our impatience to see it disappear cannot justify the use of violent and disloyal means to accelerate its fall.¹⁶

This much will suffice here, to mention that due to such cultural confrontation:

- a) The antiquity of the texts, as accepted by the traditional history of India, was rejected by the epistemic obstacle expressed in 1825 by the British scholar John Bentley:

To maintain the antiquity of the Hindu books against the (biblical) absolute truths... on one hand undermines the entire context and the very same foundations of the Christian religion, because if we believe in the antiquity of the Hindu books... the above mentioned context would be pure fable and fiction.¹⁷

Económica. México 1982. p. 249. For a deeper study see Kunth, Thomas S. 2, *La Estructura de las Revoluciones Científicas*. Fondo de Cultura Económica. Col. de Brevarios No. 213. 1971.

¹³ Sagan, Carl. *El Cerebro De Broca. Reflexiones sobre el apasionante mundo de la Ciencia*. Editorial Grijalbo S. A. México, 3 edn., 1984, p. 96.

¹⁴ Ibid. p. 95

¹⁵ Dasa, Goswami Satsvarupa, *Readings in the Vedic Literature*, Bhaktivedanta Books Trust, 1990.

¹⁶ Müller, Max. *Mitología Comparada*. Edicomunicaciones, S. A. España, cap. 9, p. 231.

¹⁷ Bentley, John, (1825). *Historical View of the Hindu Astronomy*, Osnabruck; Biblio Verlag, etd. 1970 p. xxvii.

- b) The originality of the concepts of Vedic literature was challenged. In the period of Indology's father, Sir Williams Jones, it was propounded that the predominant theological doctrine of India, the vaishnavism or bhāgavataism, had derived from Christianity. Therefore, all the texts that contained such philosophy, such as the *Ramayana* and especially the *Māhabhārata* and the *Purāṇas* like the *Bhāgavatam*, were automatically considered as composed after the beginning of the Christian period.
- c) The credit of authorship of the texts was challenged. It is now known that the composition of the Judeo-Christian literature was the work of many authors along its history, while the nation of Israel was formed developed from some semi-nomadic tribes that subsequently became governed by kings. Another theory (now outdated) of some Hellenistic critics of the 18th century stated that the Iliad and Odyssey had not been written by Homer but rather compiled from a collection of various authors. The same speculative line brought to the idea that ancient Indian literature was not composed by Dvaipayana Vyasa around the period of the *Māhabhārata* war, but it was gradually compiled over a longer period of time by various authors, from the Vedas to the *Purāṇas*.
- d) The historicity of the events described in Vedic literature was rejected, and classified as mere mythology. Raymond Schwab shows the roots of this prejudice: "They (the Indians) cannot understand that our religion is the universal religion for Earth, and that they can only produce mere fables and fantasies."¹⁸
- e) This colonialist approach spread to the German and French scholars who did not have political interests. Even the development of natural history based on Darwinist theories and the archeological discoveries that disproved the Biblical version could only shift the entire system of datation somewhat earlier. The excavation of the ancient cities such as Mohenjodaro proved that the ancient Indian culture was flourishing before the time of Moses, but this only brought to more and diverse theories.

The mainstream theory says that *Rig-Veda* is the oldest text, introduced in India around 1500 B.C. by the Aryan invader tribes coming from the Caucasus (early scholars said that came from Europe or Iran) and the other texts had been gradually compiled in the course of centuries. This theory gives some historical recognition to the *Māhabhārata* war and its protagonists such as Krishna, but as the later epic rendition of a primitive society around the 10th century B.C. According to this theory, sage Vyasa and his successors the Vyasas,

compiled the *Māhabhārata* and related texts starting from the 5th century B.C., until the later compilation of the *Purāṇas* between the 5th and the 13th centuries. This theory has been an useful instrument for scholars but unbiased scholars have recognized that it presents several difficulties that cannot be solved, and above all it is nothing more than a non-verifiable theory.¹⁹

Before a rigorous observation, the discovery of a problem is noticed, Francis Bacon called *idolus specus*, "cavern idols"²⁰, any problem that has not been subjected to a rigorous observation, and is therefore seen through prejudices based on personal tendencies and temperament, as well as religious, social, political or racial bias that influence the perspective of study. In other words, a researcher that has fossilized mind patterns will have a distorted vision of the studied object that fits the facts into the cage of his own paradigms and suppresses anything that could contradict them.

This biased approach is often the result of racial and national prejudices and personal beliefs, and makes new discoveries and genuine research practically impossible. However, the first requirement of scientific investigation is precisely the objectivity afforded by the elimination or at least the temporary suspension of all prejudice, by which the researcher is able to examine the facts at their face value and thus understand the phenomenon in itself. That is to say, the phenomenic application of the *epojé*. The psychological studies on the perception of reality have demonstrated that stronger prejudice and stronger beliefs in a particular theory increase the inability to properly evaluate the evidence in an objective way and to recognize possible mistakes.²¹

II. DATATION

Another problem in establishing the antiquity of the *Bhāgavatam* is the exemplified by the calculation offered by the English critics Colebrook and Wilson. According to them, the *Bhāgavatam* must have been compiled in the 13th century CE, because the 12th Canto gives a chronology from which it is evinced that king Parikshit, described in the beginning and in the end of the text, lived 1300 years before king Chandragupta Maurya. The chronology seems to mention also three Andhra kings, tentatively dated in the 2nd century CE, so it was concluded that the text had been compiled in a

¹⁹ Nb: "The chronology of the history of Indian literature is shrouded in truly terrifying darkness"....But every attempt of such a kind is bound to fail in the present state of knowledge, and the use of hypothetical dates would only be a delusion, which do more harm than good". Cfr. Winterniz, Morris. *History of Indian Literature*, 2a. Edn. Oriental Books Reprint Corporation, New Delhi, 1971, Vol. I p. 554.

²⁰ Gutiérrez, Saenz Raul. *Historia de Doctrinas Filosóficas*, edit. Esfinge México 1986 p. 111.

²¹ Rubio, Alfonsa y Briones, Ma. Del Rosario, *Como Estudiar con Eficacia, metodología del aprendizaje*, Edición del ITEMS, 1990 p. 69-70

¹⁸ Jarocka, Ludwika et al, *El Rig Veda*. Editorial Diana, 1974 p. 82-83.

later period. The entire speculation is based on a reference from the Greek historian Meghasthenes in 400 BC in his work *Indika*, where he mentions king *Sandrakutus*, identified by later scholars as king Chandragupta Maurya. These scholars believed this to be the equivalent of the Rosetta Inscriptions, and on this calculation all the chronology of Indian history was built. The theory elaborated on Chandragupta Maurya's grandson, king Asoka Maurya, who converted to Buddhism financing its expansion and organizing its councils, and who was deemed to have lived in the 2nd century BC. Thus the battle of *Mahābhārata* was deemed to have been fought in the 10th century BC.²²

The weak point of this theory is that Meghasthenes made no mention of Chanakya, the great minister of king Chandragupta Maurya, and neither did Chanakya ever mentioned in his works any Greek Alexander or Meghasthenes who visited the court of *Sandrakutus*. Another problem is that the two kings mentioned by the Greek historian as preceding *Sandrakutus* were *Xandramas* and *Sandrocyptus*. Such names have no resemblance whatsoever with the names of Nanda or Bindusara and Asoka, the kings who lived before Chandragupta Maurya. The only phonetically acceptable resemblances are among the successors of king Chandragupta-Gupta I: *Chandramas*=*Xandramas*, and *Samudragupta*=*Sandrocyptus*. This means that the datation system must be rethought. This theory, presented at the University of New Brunswick in Canada by Prasada Gokhale, suggest that Chanakya lived around 1534 BC and king Chandragupta I in 325 BC, when he entered diplomatic relationships with Alexander the Great.

Still another problem is that the Buddhist Asoka was a king of Kashmir and not the grandson of emperor Maurya's Asoka.²³ This is significant, because it justifies this investigation, since it coincides with the historical version in *Srīmad-Bhāgavatam*.

Furthermore, probably the weakest point in the theory is the evidence that the *Purānas* are mentioned in earlier works, as we will mention in this presentation.

The genealogy of kings in the present age, called Kali-yuga in Hindu texts, has been confirmed by James Prinsep's archaeological investigations.²⁴ Such lists are mentioned in several *Purānas*, and written in the future tense as they are considered prophecies. This means that we may have alternative theories that allow us to place the compilation of the puranic texts in a much more ancient date. Nonetheless, the theory of the British scholars that placed the *Bhāgavatam* compilation

in 13th century CE remained universally accepted until the second half of the last century. Then a mention of the *Bhāgavata-Purāna* was found in *Tahqiq-i-Hind*, a text written by Alberuni, a Muslim scholar that studied India in the 10th century CE. This creates serious doubts on the theory, and the datation shifted to the 10th century CE.

Critics of the historical antiquity of the *Bhāgavatam* say that the text mentions the invasion of the Huns, that happened between the 4th and the 5th century CE. However, we see that the same peoples mentioned in *Bhāgavatam* are also found in earlier texts, such as the *Lalitavitsara*, a Buddhist work that is dated in the 3rd century CE at the latest.²⁵ and also in the *Māhabhārata*²⁶ that is recognized as more ancient.

This evidence indicates that such race (the Huns) were already known much before the invasion of the 4th-5th century. Besides, the *Bhāgavatam* does not mention any invasion, but simply mention their existence.

Others argue that the *Bhāgavatam* was influenced by the philosopher Sankara because of the similarity of ideas and language,²⁷ and Sankara is deemed to have lived in the 8th century CE. The *Bhāgavatam* therefore had to be a later composition.

Such idea seems rather convincing, but it does not stand to the verification of facts, because Goudapada, the teacher of Govinda, who was teacher of Sankara, mentions a verse of the *Bhāgavatam* in his *Uttaragita-bhasya*²⁸ as well as two other verses of *Bhāgavatam* in his *Sankhya-karika*.²⁹ There have been attempts to discredit this evidence, alleging that another later author with the same name of Goudapada had mentioned the *Bhāgavatam* verses, or that it was the *Bhāgavatam* text that quoted Goudapada's writing.³⁰ The problem in this controversy is that there is no evidence yet to support such critical approach; there is no historical reference to prove the existence of another Goudapada who may have quoted the verses in exam. On the other hand, researchers such as M. T. Sahasrabuddha have verified that such text were actually composed by Goudapada.³¹ Besides, the *Shankya karika-vritti* and the *Uttara-gīta* do not merely quote the verses, but also directly mention the *Bhāgavata-purāna*.

²⁵ Majumdar, Op. Cit. p. 60

²⁶ Vid. *Māhabhārata* 6.251.23-24.

²⁷ Majumdar, Op. cit. pp. 62

²⁸ *Ibid.* p. 61: *Uttara-gīta -bhasya* 2. 46 and *Bhāgavatam* 10.14.4. Apud. Das, Dr. Sambidananda *The History Et Literature of the Gaudiya Vaisnavas and their relation to other medieval Vaisnavas Schools*. Sri Gaudiya Math. 1991, p. 93.

²⁹ Cfr. *Sankhyakarika* *vritti* 2 and 51 and *Bhāgavatam* 1.6.35 and 1.8.52.

³⁰ Tagare, Ganesh Vasudeo. *The Bhāgavata-Purāna*. Montilal Banarsidass. Delhi India. 1986, p. xxxv-vi

³¹ Cfr. Sahasrabuddha, M. T. *A Survey of Pre-Sankara Advaitavedanta*. University of Poona, India 1968

²² Majumdar, Bimanbehari. *Krishna in History and Legend*. University of Calcutta 1969, p. 7-9.

²³ Vid. Gokhale, Prasad. Part 5, 12. *Chandragupta, the Sandracottus. Antiquity and Continuity of Indian History* URL <http://www.hknet.org.nz/aryaninvasion-page>. 1998.

²⁴ Wilson, Horace H. *Visnu Purāna*, Nag publisher. 1980 p. lxvii.

Another confirmation is found in a separate work, the *Nandī-sutrā*, a fundamental text from the Jaina school containing a list of books that should not be studied by its scholars. Such list clearly mentions *Māhabhārata*, *Ramayana* and *Purāna-Bhāgavatam*, *Mathara-vritti*, *Sankya-karika*, etc.³² The *Nandī-sutrā* is considered a work of the 4th century CE as Vallabhi, its compiler, lived 980 years after the Jain teacher Mahavira, who is supposed to have lived in the 5th century BC.

Furthermore, the *Mathara-vritti*, quoted by Goudapada as the inspiration for his work *Shankya karika-vritti*, also contains the same two verses from *Bhāgavatam*.³³

An objection was raised by Sushila S. Desai, based on an observation of Belvekar, who suggested a later modification of the original manuscripts, stating that in the *Mathara-Vritti* translated into Chinese by the Buddhist monk Paramartha in the 5th century CE, the verses from *Bhāgavatam* mentioned in Goudapada's commentary do not appear.³⁴ The major obstacle to this objection is that its validation requires a series of manuscript specimens called *Collatio Codicum*, showing that such verses are not present in the sources quoted.³⁵ Another problem is that the Chinese translation of *Paramartha* may just have dropped the specific verses, specifically because the Chinese monk belonged to a school that opposed the *Bhāgavata* school and therefore he might have chosen to remove them to avoid giving credit to a doctrine he opposed. Thus we require a much harder evidence before we can consider such objection as valid.

Another point is *Bhāgavatam* rejects the monistic theory of the non-differentiated unity of the souls with God³⁶ and the conception of God as ultimately impersonal and amorphous;³⁷ that it comes to be the stone base of Sankara's philosophy. To this it can be added that Sankara also mentions a verse from *Bhāgavatam* in his poem *Meditations on the Gīta* and he makes a reference to the *Bhāgavata* school in his

Sariraka-bhasya.³⁸ Besides, Prasada Gokhale found evidences that Sankara lived in the 5th century BC and that Mahavira lived at least in the 10th century BC.³⁹ This means that we need to revise the conventional datation and to recognize that the objections to the antiquity of the *Bhāgavatam* are not satisfactory.

One of most approved bases is, J. A. Van Buitenen writes that the *Bhāgavatam* lauds the southern part of India (called *Dravida desa*) and its rivers Tamraparni, Kritamala, Payasuini and Kaveri, where it is predicted that many devote of Krishna would appear.⁴⁰ This theory was proposed by Hindu scholars towards the end of the 19th century⁴¹ and was also supported by others as G. V. Tagare. Tagare argues that the topographical description begins with the *Dravida* or south India, making eight geographical references to this area.⁴² Also Bhaktivinoda mentions a references in 10th Canto to a pilgrimage place called the *Vēnkata hill*, postulating that such holy place was established in the 8th century CE.⁴³ In the same way, Friedhelm Hardy suggests in *Viraha-bhakti* there are strong similarities between some passages of the *Bhāgavatam* and certain poems of the Alvar poets from south India,⁴⁴ where the Alvars lived between the 5th and the 9th century CE. He concludes that such passages in the *Bhāgavatam* must have been influenced by the Alvars' poetry: this is one of the most accredited theories for a datation of the *Bhāgavatam* in the post-Christian period.

However a more rigorous analysis shows a series of weak points to this hypothesis. Dr. B. Majumdar writes:

This verse refers to the Alvars, the most prominent of whom lived in the 9th century CE. However the earliest of the Alvars, such as Poygi of Kanchipura, Pudana of Mamallapuram and Pey of Mylapore, became famous before the 6th century. Still, the inscriptions of Nanaghat from the 1st century BC and Chinna of Gotamiputra clearly prove the existence of devotees of Vāsudeva (Krishna) in the south in ancient times.⁴⁵

This suggests that the golden period of the Alvars might have been much earlier than generally

³² Tagare, Op Cit, p. xxxv : *purāna-bhāgavayam* .

³³ See *Mathara-vritti*, *Karika* 2 and 31. *Bhāgavatam*, 1.8.52 and 1.6.35 in *Annals of the Bhāgavata Research Institute*. Vol. X17, p. tiii. Cit. by Sambidanda, Op. Cit. p. 93.

³⁴ Desai, Sushila S. *The Bhāgavata Purāna: a critical study*. Ahmedabad: Parshva Prakashan, 1990, p. 10-11.

³⁵ Blecua, Alberto. *Manual de Crítica Textual*. Editorial Castalia. España, 1983 p. 43.

³⁶ *Bhagavatam* 10.87.30 *saman anujanatam yad mata-dustaya*—"Men of limited knowledge who defend monism are misled by a false conception."

³⁷ See Ibid. 1.2.11. and 9.9.49: *yat tad brahma param sūksman; asunyam sūnya-kalpita; bhāgavan vāsudeveti; yam gṃanti hi sātvaṭah*": The Personality of Godhead, Vāsudeva {Krishna} it is the supreme spirit. Being so subtle, some consider Him impersonal or void; but he is not like that. And His glories are sung by the *satvatas* {or *bhāgavatas*} . "

³⁸ See *Meditaciones al Gīta*, verse 8, *Bhāgavatam* 12.13.31 and *Sariraka bhasya* 2.45.

³⁹ See Gokhale. Loc. Cit, Part 5 .14-15-16. Guatama, Mahveer, Adi-Sankara

⁴⁰ *Bhāgavatam* 11.5.39-40.

⁴¹ Thakura, Bhaktivinoda. *Sri Krishna-samhita (The main purport of Bhāgavata Purāna)*. Vrajaj Press (1998) India, p. 43.

⁴² Tagare. Op Cit. p. XI. See *Bhāgavatam* 5.19, 11.5.38-40, 4.3.30, 4.28.29-30, 8.7, 10.61.12?

⁴³ See *Bhāgavatam* 10.79.13, Thakura, Loc. Cit.

⁴⁴ Hospital, Clifford et al. *Vaisnavism. Cotemporary Scholars Discuss the Gaudiya Tradition*, Ed. Rosen, Steven j. Folk Books, New York, 1992 p. 71. Hospital, from the Doctorate Thesis (trad) *Los Maravillosos Actos de Dios: Un estudio en El Bhāgavata Purāna*, at Harvard University.

⁴⁵ Majumdar, Loc. Cit. p. 60-61

believed. But this is not the only problem. S. M. Srinivasa Chari pointed out:

"The period when the Alvars lived. I would not like to venture to date this period for two reasons: (1) the dates are under dispute between the traditional scholars and the contemporary researchers, (2) they are not relevant for the purpose of presenting the Philosophy and Religion of Vaisnavism."⁴⁶

The precise period of the Alvars has been an object of controversy; but we can also suspect that many of these mystic poets lived in different times. One of the basis for the datation between the 5th and the 9th century CE is the theory proposed by Hultzch, according to which king Paramesvara Vinnagara, lauded by the Alvar Tirumangai in his poems, was actually king Paramesvara Varman. Based on this theory, R. Chaudhuri surmised that Tirumangai was a contemporary of Narasimha Varma, a King who lived between 625 and 645 CE.⁴⁷ Another idea presented as evidence is the identification of the Alvar Kulashekara with king Kulashekara, in 788 CE. However, scholar Sambindananda admitted that there are divergences and incompatibility with such an identification and that some experts, as Bhardarkar, rejected the idea that king Kulashékara and the Alvar Kulashékara are the same person.⁴⁸ For example, one of the two wrote in Sanskrit and the other in Tamil. Also, the identification of king Paramesvara Vinnagara with Paramesvara Varma is not completely justifiable. Because *vinnagara* and *varma* are very different names and Narasimha Varma it is also a different name. In fact there is no satisfactory evidence to support the conclusions of Hultzch and Chaudhuri, and the dates still remain uncertain.

If we turn to the traditional sources on the Alvars, such as *Upadesaratnamala*, *Upadesaratnamalai*, *Guruparampara-Prabhandham*, *Divyasuri Charitam*, *Prapananmrita* and *Pravandasara*, etc, we see that they unanimously point to a much earlier age, from 4202 to 2706 BC.⁴⁹

Regarding the geographical mention of the rivers in south India contained in the verses in question, it is not particularly relevant to a datation system because the *Bhāgavatam* also mentions rivers and areas of north India and with more frequency. In fact, the most important events described in the text take place in the north, in an area that corresponds to the present states of Uttar Pradesh, Haryana, Punjab, Rajasthan, Madhya Pradesh, Saurashtra, Gujarat, etc., with their respective rivers and pilgrimage sites. Just in the first Canto thirteen verses describe the geography from *Māhabhārata* and mention the river Sarasvati as still

flowing.⁵⁰ References also exist to Prayaga or *prayagah*⁵¹, the place of the Triveni, the confluence of the three rivers Yamuna, Ganges and Sarasvati. Studies supported by top level technology confirm that this Sarasvati river dried around 2000 BC.⁵² It is mentioned that the Sarasvati had tributary branches reaching Prabhasa in Gujarat⁵³ and the western region of the Sindhu.⁵⁴ Consequently, if we consider the few verses on the geography of the south, we also have to consider all the other geographical indications in the text.

Regarding the datation of the Venkata pilgrimage place in the 8th century CE, there is no doubt that the present temple may have been rebuilt at that time, but that does not mean much. Inscriptions found in the temple state that Indian kings mentioned their visits to this worship place already in the 9th century CE, and there are also traces of earlier foundations of a previous temple that existed before the new building.⁵⁵

Researchers in this field have found mentions of this holy place dating back to the 4th century BC, and other records show that this same pilgrimage place existed in times before the beginning of the Kali-yuga.⁵⁶ Bhaktivinoda also pointed out the weakness of such recent datation: "We strongly differ from such a conclusion."⁵⁷

Regarding the comparison offered by Hardy, it is not very relevant, because it only relates to the common quotes in different texts and not necessarily to an exclusive origin. Such reasoning would be a faulty conclusion of the type *post hoc ergo propter hoc* - "if A is followed by B, then A is the cause of B". The proof of A causing B is more unlikely to obtain than to prove that A and B coexist at the same time.⁵⁸ In fact Thomas Hopkins and others have suggested that the Alvars were rather inspired by the *Bhāgavatam*.⁵⁹ Considering all these factors, we can certainly say that the theory that the *Bhāgavatam* originated in south India after the Alvars in the 9th century CE is at least controversial, as recognized by Buitenen: "The exact date of *Bhāgavata*

⁵⁰ *Bhagavatam* 1.4.15, 1.4.32-33, 1.7.2

⁵¹ Ibid. 7.14.30

⁵² Vid. Gokhale, Prasad. Loc. Cit. Part 3. 9 *The Sarasvati-Sindhu culture*.

⁵³ *Bhāgavatam*, 3.4.3, 3.1.19. Jiva Goswami has indicated another place of the story (10.34.1-2-3-4), near the actual city of Sidhapura Gūjarata.

⁵⁴ Ibid. 10.78.18.

⁵⁵ Vid. *Tirupati. History and Legends*. URL. www.tiromala.org/tt-his_p7.htm. 2002

⁵⁶ *Sri Vēkata Mahatmya* appears in several *Purāṇas*: *Varaha*, *Bhaviṣyāuttara*, *Garuda*, *Brahmatara*, *Aditya*, *Skanda*, etc. It records the story of the wedding of princess Padmavati, the daughter of king Aksarajan, with the image of Vēkata, at the beginning of Kali-yuga. *Tirupati. History and Legends*. Ibid.

⁵⁷ Thakura, cit. note No. 2.

⁵⁸ Rubio, Alfonso y Briones, Ma. Del Rosario. Op. Cit. p. 74-75.

⁵⁹ Hopkins, Thomas J. Op. Cit. p. 102

⁴⁶ Srinavasa, S. M. Cari. *Vaisnavism, philosophy, theology and religious discipline*. Motilal Barnarsidass Publishers. 1994, '3. p.21

⁴⁷ Sambindananda. Op. cit. p. 115.

⁴⁸ Ibid. p. 50-51

⁴⁹ Ibid. p. 115, in Srinivasa, p. 19.

Purāna has not been established yet... neither would I insist on of text having originated in the south." ⁶⁰

Another theory on the datation of the *Bhāgavatam* has been presented by R. L. Thompson, who suggests that the stars of the constellation called Sisumara mentioned in *Bhāgavatam* were visible in the sky from 1000 BC to 1000 CE.⁶¹ This suggests the possibility that the *Bhāgavatam* was compiled in that period. No matter how attractive this theory is, a closer examination will show that one of the references used by Thompson is supposed to indicate the location of the star Polaris in the center of the Polar Axis.⁶² However, in *Bhāgavatam* is mentioned that the Polar star called Dhruvaloka was the fixed star in the center of the Polar Axis,⁶³ and according to modern astronomical studies the Polar star was not in that position from 1000 BC to 1000 CE, but rather in a period before 2600 BC. Such Polar star was Thuran or Alpha Draconis.⁶⁴ That indicates that the constellation called Sisumara must have been in that alignment in much more remote times, when the Polar star was Dhruva or Thuran, which disproves such theory. Thompson admits that such astronomical observation at least gives evidence of the possibility of "...a relative astronomical date for the old manuscript".⁶⁵ Another factor indicated by Thompson is the fact that the *Bhāgavatam* mentions the signs of the tropical zodiac, that must have been adopted from the Greek astronomers who invented them around 100 B. C, especially from Hipparchus. Thus Thompson concludes that such alignments can not be traced to more remote times due to the different positions of the signs and the constellations.⁶⁶ This hypothesis of the Hellenistic influence on the Hindu texts of astronomy has been amply accepted in the academic circles, but other researchers have found evidence of different possibilities, especially of an origin of Hindu texts as independent from Hellenic culture.

With reference to the zodiac signs, Da Gemadeite explained:

There is not doubt that... the magic and astrological practices of Caldea and Egypt influenced the Greek civilization... the Greeks eagerly assimilated the oriental beliefs and the mythological figures from the peoples they met... The Egyptian calendar was perfect; it was divided according to the twelve zodiacal

constellations, which in turn were sub-divided each in three parts... forming the divisions of the zodiacal circle.⁶⁷

G. A. Betti also states:

The Egyptians can be considered as the fathers of the Caldeans in the astronomical field... and it is known that the first Greek philosophers moved to the land of Egypt to study astronomy.⁶⁸

Another factor is that many of the great Greek mathematicians, such as Pythagoras in 5th century BC and Apollony of Tyana in the 1st century CE went to study in India, as Flavio Filostrato records.⁶⁹ In this connection, O. Neugabauer writes:

We find ourselves here in an entirely new situation, because the influences of a later period have modified everything and given a vague and confused report of pre-history. This situation, especially tracing back to Ptolemy, does not offer any historical references, almost nothing is known about the astronomical knowledge of Hipparchus or Apollony.⁷⁰

This means there is no hard evidence to prove that the Greeks had such an influence on Greek culture. Some have used the argument of the Trigonometry Table of Hipparchus, proposed by G. J. Toomer.⁷¹ But as Thompson suggests, even Toomer admits the uncertain nature of such a document:

"... there are no extant Greek documents that contain Hipparchus's table, not even in a fragmentary form. In fact, there is no explicit evidence about the nature of this Hipparchus's table or that such work has ever existed." ⁷²

In this regard, Neugabauer writes:

"We know that, from the Pahlavi translations of the astrological writings of the first and second century (in Persia) such as *Teucer* and *Vettius Valens*, and from the presence of Hindu texts as well as the Roman *Almagesto* dated around 250 CE under king Shapur I. During the reign of Khosoro I..., it was revised, around 550 CE as the famous *Zij ash-Shah*, which has been demonstrated as heavily influenced by Hindu sources."⁷³

From the perspective of Indian history, the *Chanakya niti sastra* mentions the science of astronomy⁷⁴ in a period that was not connected to the

⁶⁰ Buitenen, van, J. A. B., *On the Archaism of the Bhāgavata Purāna*, (1996) in *Krishna, Myths, Rites and Attitudes*, ed. Milton Singer. Honolulu East-West Center, p. 225-226.

⁶¹ Thompson 1, Richard L. *Mysteries of the Sacred Universe. The Cosmology of the Bhāgavata Purāna*. Goverdhan Hill Publishing. Alachua, Florida 2000 p. 209-212.

⁶² Idem, Figure 8.2 and 8.3.

⁶³ *Bhāgavatam* 5.23.6.

⁶⁴ Thompson R. 2. *Vedic Cosmography and Astronomy. The mysteries of the Fifth Canto of Srīmad-Bhāgavatam*. The Bhaktivedanta Books trust. USA. 1991 p. 103

⁶⁵ Thompson 1, Op. Cit. p. 211.

⁶⁶ Ibid. p. 206-207.

⁶⁷ Da Gemadeite, Tácito. *Astrología. Ciencia magia o superstición*. Editorial Vida, Miami Florida, 1987 p. 25.

⁶⁸ Betti. G. A. *La Historia de la Astronomía*. Fondo de Cultura Económica. Col. de Brevarios No. 118. México 1996 p. 33.

⁶⁹ Betti. G. A. *La Historia de la Astronomía*. Fondo de Cultura Económica. Col. de Brevarios No. 118. México 1996 p. 33.

⁷⁰ Phillimore, J. S., *Philostratus in Honor of Apollonius of Tyana*. Clarendon Press, Oxford, 1912. Cit. by Thompson 2, Loc. Cit. p. 16.

⁷¹ Ibid. p. 299, in B. L. van der Waerden, D. Pingree, Cit. por Thompson 2, *The Role of Greek influence in India*, 1991 p. 195.

⁷² Neugabauer, O. *A History of Ancient Mathematical Astronomy*. Berlín: Springer-Verlag, 1975 p. 781.

⁷³ Neugebauer, Cit by ibid. p.8.

⁷⁴ Vid. *Chanakya nitisastra* (224, 225) in Subramaniam V. K., *Maxims of Chanakya* 1990, Abhinav publications New Delhi p. 132.

Greek invasion or to Hipparchus. Furthermore we see that the texts of Buddhist literature mention that when the Buddha was born, astrologers predicted his religious mission.⁷⁵ Among the possible sources that mention the zodiac signs, R. Santhanam proposes the *Brihat Parasara Hora*, written by Vyasa's father Parâsara, the author of other texts like *Parâsara Smṛiti* and *Parâsara Samhita*. Although Parâsara lived in the period of the *Mâhabhârata*,⁷⁶ Santhanam states that he studied astronomy from Saunaka, the author of one of the *Rig Veda* poems. This is confirmed by the fact that *Rig Veda* mentions that the sun orbits through the twelve zodiacal signs, clearly naming Simha, Kanya, Maithuna and Vriśha (Leo, Virgo, Gemini and Taurus).⁷⁷ Considering the antiquity of such text we need to accept the possibility that the Hindus knew about the zodiac signs before the Hellenistic times, as suggested by F. W. Franz: "The Hindus and the Chinese also had their own complex astrology systems".⁷⁸ Also, Betti suggests:

It seems that such a time can be traced back at least forty centuries before Christ, to a people from Asia... that reached a very high level of civilization compared to other peoples and whose knowledge spread through all Asia, Europe and Egypt and, very likely, also to Mesoamerica. From the astronomy of this people we go to the Egyptian and Indian science of astronomy, thirty centuries before Christ.⁷⁹

This theory was amply discussed because of this point. It was suggested that the Greeks were not the first people to use the zodiac signs, but they were preceded by the Egyptians, who had contact with India before Hipparchus.

Dennis Hudson argues that at least a part of the material contained in the *Bhâgavatam* was known in the entire Indian territory in the 3rd century BC, and that the archaic language of the *Bhâgavata Purâna* could in fact constitute a genuine tradition that is much earlier, at least dated in 400 BC.⁸⁰ However, exists researchers whose investigation directs to sustain, this date is not the last one on the explored text. R. N. Vyas insists on a period around 900 BC, on the basis of the work of G. D. Dey, mentions that some stories from the *Bhâgavatam* can also be found in the Buddhist *Jatakas* texts.⁸¹ One

of the main objections against this theory is offered by G. V. Tagare:

The similarity among the legends in the Bh. P. (*Bhâgavatam*) and the *Jatakas*, in spite of the detailed demonstration for Gokuldas Dey, can not be considered as an irrefutable evidence to determine the date of the Bh. P., because both works could have independently tapped from ancient Indian folklore and other traditional stories.⁸²

This objection tends to invalidate Dey's work, but an attentive examination reveals that there is no serious proof of such conclusion, either. Where is the evidence that these common stories were acquired from another source? Without supporting this research with verifiable information, a theory simply remains a possibility. We are therefore remanded to the logic of *post hoc ergo propter hoc* - if A (the folklore) is followed by B (the texts), A is the cause of B". As we have already mentioned, the proof of a causing B is more unlikely to obtain than to prove that A and B coexist at the same time.⁸³ This is not the only obstacle. Demanding irrefutable evidences as Tagare does, is beyond the power of scientific investigation, as K. Popper had explained: "Believing that "scientific" theories are the absolute that cannot be challenged, is more faith than science".⁸⁴

Trying to disprove the influence of Buddhist literature from the *Bhâgavata Purâna*, some Indologists argue that one of Chanakya's works mentions the history of Krishna, saying that Dvaipayana Vyasa had cursed the hero's dynasty:

The reference is quite clear, although the sage or sages named here may be different from the name in *Mâhabhârata* and *Purânas*. The coincidence of the name of Vyasa is remarkable and suggests that this is the oldest tradition. The *Mâhabhârata* and the *Purânas* could not insert Vyasa in this episode, since he is supposed to be the author of these texts and in this version of the history he dies. They had to use other sages for the incident.⁸⁵

The problem of this interpretation is that no passage of the *Bhâgavatam* or the *Mâhabhârata* mentions that Vyasa died. Furthermore, he did not even belong to the Yadu dynasty, the family of Krishna. Thus we can see that there is a positive coincidence between the names of the sages in such treatises, because Kamba and Kanva are the same character who is also

⁷⁵ See Buda Charita, Lalita Vistara, etc.

⁷⁶ See Santhanam R. *Brihat Parasara Hora Sastra of Maharshi Parasara*. Voli Rajan Publications. New Delhi 1992, p. 10.

⁷⁷ *Rig Veda* 1.164.11; V.83.3; VI.49.7; III.39.3; VI.47.5.

⁷⁸ Franz, F. W. *El hombre busca de Dios*. Grupo Editorial Ultramar. México. 1990 p. 86.

⁷⁹ Betti. Op. Cit. p. 20

⁸⁰ Hudson, Dennis. "The Śrīmadā Bhāgavatam in Stone: The Text as an Eight-Century Temple and its Implications. In *Journal of Vaisnava Studies*, Vol. 3, No. 3, Summer 1995. Cit by Thompson 1. Op Cit. p. 11.

⁸¹ See R. N. Vysa, *Sinthetic Philosophy of Bhâgavata*, G. D. Dey apud *Significance and Importance of Jatakas* Cit. por Tagare Opus Cit. p. xxxvi.

⁸² Idem.

⁸³ Rubio, Alfonso et. alt. Loc. Cit.

⁸⁴ Cit by Ramírez Valdez, Juan José. *Hermenéutica y Fenomenología en Paul Ricoeur*. Consejo Editorial. Gobierno del Estado de Coahuila. 1995 p. 17.

⁸⁵ Preciado, Solís, Benjamín. *Primeras evidencias históricas sobre Kṛṣṇa*. Printed by Estudios de Asia y Africa, vol. XV, n° 4. El Colegio de México, 1980 p. 806.

named Nārada.⁸⁶ The *Bhāgavatam* mentions other sages, too, because it is a detailed work about the life of Krishna contrarily to the *Māhabhārata*, whose main characters are the Pandavas heroes and Krishna is an important but technically secondary character. This it is logical to admit that that text does not give full details about all the sages, as it is the case with the text we are examining. Another point is that the *Bhāgavatam* indirectly mentions Vyasa in this episode, as Dr. Howard J. Resnick remarks in the translation of the text: *nārada-adaya - Nārada and others*.⁸⁷ The Sanskrit word *adaya* clearly indicates that there were others.

Also, because the author of the text is Dvaipayana Vyasa, he is not mentioned directly; but only implicitly. It must also be noted that this Indologist builds his case by using a Buddhist work that presents Vyasa as the cause of the curse.⁸⁸ The difficulty with such definition is that in this Buddhist work, famous as *Ghata-jataka*, there are several distortions of the names and even of parts of Krishna's life. This is because the Buddhist text was produced by a school that was opposed to the *Bhāgavata* school and therefore can hardly be considered a trustworthy source. However, this theory proves that the Buddhists knew about a compiler of the *Bhāgavatam*, named by the text itself as Dvaipayana Vyasa, and mentioned the childhood of Krishna among the cowherd boys of Vrindavana - the main subject of the *Purāna* we are examining.

Another point in this regard is that since Buddha is mentioned in the *Bhāgavatam*, it was concluded that its compilation must have been done after the times of Buddha himself.⁸⁹ There are indeed several prophetic passages about the Buddha *avātara* in the *Srīmad-Bhāgavatam*, but they are generally expressed in reference to the future, and the name of Buddha as an *avātara*, or incarnation of Vishnu or Krishna, is also found in the hymn *visnu-sahasra-nama* from *Māhabhārata*.

Furthermore, A. Schweitzer points out:

"Later Buddhism contemplated the belief that from immemorial time the truth that leads to redemption had been proclaimed by several Buddhas. Therefore Gautama Budha, of the race of the Sakhyas, is only one among many."⁹⁰

This leads to suspect that the title of Buddha already existed before its use for Siddharta Gautama. However, our presentation will examine how this and other sources suggest that there are likely more indications on the datation, for example about the dates suggested by S. D. Gyani as around 1200-100 BC. Tagare objected:

"...it is unacceptable, since the language of the Bh. P. (*Bhāgavatam*) is much more modern than the Vedic language, that is presumed to have been in use in the period between 1200 and 1000 BC. Nevertheless, if Parīksit, the person to whom the Bh. P. was narrated, reigned around 900 BC, as demonstrated by Ray Chaudhari, the Bh. P. cannot precede Parīksit."⁹¹

In this statement Tagare build on the assumption that re-wrote the chronology of Indian history, as we explained at the beginning of our presentation, with Chandragupta Maurya's identification with the *Sandracutus* mentioned by Meghasthenes, to establish a date for king Parīksit. However, as we already mentioned, this assumption has several weak points. The archaic language used in the *Bhāgavatam* indicates a remote time of its compilation, as observed by F. Mier, Buitenen, Smith, M. Federick, Hudson and L. Rocher, etc. This contradicts the argument that tries to pass off the language of the *Bhāgavatam* as modern Sanskrit.⁹²

Prasada Gokhale suggests a likely date of composition between 3100 and 3000 BC.⁹³

However, although this researcher presented archaeological evidences and astronomical indications that suggest an early date for the time when king Parīksit heard the conclusion of the narration by sage Suka, as described in the text, did not elaborate on the antiquity of the text itself.

Regarding the revision of dates, P. V. Vartak has theorized 5000 BC for this *Purāna*, stating that "the exact date of the War of *Māhabhārata* is October 16 of the year 5561 BC".⁹⁴ Certainly innovation is part of the process of scientific investigation, and it can create paths to approach the solution of these problems, but the astronomical analysis contradicts the theory of Vartak. This astronomical analysis has been verified by several scholars such as Count Bijornsteirna, S.

⁸⁶ Vyasa. *Māhabhārata, El mayor poema épico de la India*. Tomo 2, Décima parte, cap. XIII, trad. esp. Julio Padilla. Edicomunicación S. A. Barcelona, 1997 p. 896.

⁸⁷ *Srīmad-Bhāgavatam, Eleventh Canto. The Great Work of HDG A.C. Bhaktivedanta Swami Prabhupada*. Continue by Goswami, Hridayandanda dasa et. alt. With Original Sanskrit text Its Roman Transliteration and Elaborate Purports. The Bhaktivedanta Book Trust. 1982, pp.27

⁸⁸ Preciado, Locus Cit.

⁸⁹ See Wilkins, W. J. *Mitología Hindú Védica y Puránica*. Edicomunicaciones, S. A. 1987 p. 128.

⁹⁰ Schweitzer, Albert. *El Pensamiento de la India*, Brevarios del Fondo de Cultura Económica, núm 63. 1952 p. 110.

⁹¹ Tagare, Loc. Cit.

⁹² More information about the archaic language of *Bhāgavatam*, see Rocher, Ludo, *The Purānas*, Weisben: Otto Harrassowitz. 1986 p. 98 Cit. byThompson 1, Op Cit; Buitenen, Op Cit. Smith, Frederick M. *Purānaveda, in Authority, Anxiety and Canon*, ed. Laurie L. Petton. Albany Sate University, New York Press 1994.

⁹³ Ghokale, Loc. cit. Part 4. 10 *Māhabhārata Era*.

⁹⁴ Vid. Dr. Vartak@mexnet01.mcsa.net.mx. [world-vedic] Exact date of Kuruksetra War; vediculture@yahooogroups.com; Sábado 7 de Abril de 2001 2:57 AM URL: <http://www.swordoftruth.com/swordoftruth/archives/miscarticles/tsdotmwn.html>.

Balakrishna, Henry Lawrence, P. Stapp, etc.⁹⁵ This gives inspiration to further exploration such as the present analysis, but it seems that such theory is not satisfactory. In conclusion, "scholars have been unable to reach a clear agreement on the date of the *Bhāgavatam*." ⁹⁶

Proposed dates for the Bhāgavatam

Date	Scholars
13th century CE	H. H. Wilson and Colebroock
11th century CE	Dasgupta
9th-10th century CE	Sharma, Buitenen,
9th century CE	Ingalls, Hopkins
6th century CE	Pargiter
5th century CE	Eliade, Hazra, etc.
4th-5th century CE	Tagore, Krisnamurti
3rd century CE	R. Dikshitar
5th-4th century BC to 7th century CE	D. Hudson
10th to 9th century BC	R.N. Vyas
13th to 12th century BC	S.D. Gyani
20th century BC	Kedarnath Datta (Bhaktivinoda)
30th century BC	Gokhale
L B. C.	P.V. Vartak.

III. METHODOLOGY

In order to estimate the antiquity of a text like this, where there is no original manuscript, philologists use a method based on triangulation, uniting the qualitative and the quantitative methods as the investigation axes, designated in philology as the internal evidence (EI) and the external evidence (EE).

The EI is obtained from the contextual philology or *conformatio textus* by examining the correspondences. The application of this concept identifies in the work two categories of indications: the Evidence (geographical, chronological quotes, astronomical, intertextuality) and the Contexts (social, economic, philosophical, religious, political). The EE consists of documental, epigraphical, numismatists, sculptural evidences and other finds, to determine any discrepancy. After having recorded all the information, the data are processed in descriptive statistical measures of frequencies (absolute, relative and accumulated) that afford an objective evaluation of the problem.

⁹⁵ Ghokale, Op Cit. *Māhabhārata Era*. While reporting the variables of the chronological finds, we will give information on the possible dates of this historical event, according to different researchers.

⁹⁶ Ludo Rocher, Cit in Thompson 1, Opus Cit. p. 10.

IV. SUMMARY OF THE RESULTS

At the beginning of our presentation we expressed the question of the antiquity of the *Srīmad-Bhāgavatam* or *Bhāgavata-Purāṇa* of the Classic Indian literature. As a conclusion, we are presenting a summary of the data on the issue.

a) Internal evidence

- i. The geographical evidence suggest a correspondence through all the twelve Cantos, with the central and northern region and north-west of India, with brief mentions of China and Siberia up to the Pamir mountains, while the southern region or Dravida is mentioned only in the 4th, 5th, 8th, 10th and 11th Cantos, with a proportion between 0.7% and 1%.

The references to rivers are mostly to Ganges, Yamuna and Sarasvati, while the rivers in the south are also mentioned in a proportion between 0.7% and 1%. In particular, the text mentions places that disappeared around 2000 years ago, when the Sarasvati dried up. Besides, among the southern rivers, the text mentions the Chandravasa and the Vatoka and other lost places that are not mentioned in the texts of the *bhāgavata* school dated from the 16th century CE. Also, the rivers are called with their ancient names.

The same applies to the ethnographical study, with a prominence of the clans mentioned in the *Māhabhārata*, especially the Yadus, Bharatas, Yayatis, etc., and other famous clans from Asia, and more specifically from the north-western and north-central regions of India.

The fauna tends to be similar to the specimen whose remains were discovered in the archeological sites of the Sindhu cultures. Some other species characteristic of the northern region are mentioned, such as the crow, the camel, the swan - the last two are only found in the north-west region of India - and the yak, that lives in China and Tibet. Also, the mountains mentioned indicate the northern region.

We may therefore conclude that the text was composed in the period of the culture of the Sindhu and the Ganges. It is also interesting to note that the text mentions a global Flood.

- ii. Regarding the chronological sequence, there is an oscillation between the 1st and the 11th Cantos from to the spoken tradition of the *Bhāgavatam*, at the beginning of the Vedic Era, to the *Māhabhārata* age, with the battle of Kuruksetra, the beginning of Kali yuga, with over 50% of the percentage. On the other hand the 12th Canto, containing the largest prophetic section, is deemed at 56% at the beginning of the Kali yuga, leaping forward in time towards different periods of the future history of India: 2.3% for Chandragupta Maurya, 1.7% for the period of the Nandas, etc.

On these later references three theories should be thoroughly investigated:

- a) The first and obviously less likely accepted within the mechanistic paradigm of mainstream history, according to which the prophecies are the product of the mystic precognitions of the sages that recited *Bhāgavatam*.
- b) A second possibility: the copyists could have modified the text to support a chronological order that would emphasize the historical importance of the Kings.
- c) A third scenario is due to the influence of the socio-political factor. The ministers of the Kings were *brāhmaṇa* priests, so it is possible that while acting as consultants and officiating the naming ceremonies for the princes, they chose to fulfill the prophecies in which they believed by naming the Kings of such dynasties according to the lists of the *Purāṇas*, already known to them.

This possibility is suggested by the discoveries of D. Sarasvati's discoveries, who collected the royal chronicles on the succession of kingdoms in Delhi; a sample of the documents shows that the Kings were known under many names, of which few coincided with those of the puranic lists. This suggests that if such prophecies were actually from an earlier time in comparison to the chronicles, the compilers had used the most familiar names that appear in the lists so that such prophecies would be confirmed as true.

Regarding the concept of the four ages or Yugas described in the text, such concept is not only found in the cultures and cosmogonies of the ancient world, in books like the *Zend Avesta*, the *Chinese Annals* and Egyptian texts that approximately date from 2500 to 3000 BC. We also find that in America, the Sioux have preserved from their ancestral times an oral tradition about this concept of the four ages, expressed with a semiology similar to the *Bhāgavatam*.⁹⁷ This suggests that such concept comes from a time previous to the Ice Age, when it is believed that man migrated from Asia to the Americas.

- iii. Astronomical evidence. The percentages vary in each Canto although a proportional tendency is seen of 50 to 75% in some Cantos in favor of the cosmographic model called Bhumandala. Parallel models are found in other cultures both in Asia and in America, which suggests that it was widely accepted in a period before the Ice Age. Also, although in a lesser degree, there are mentions of the seven-planet system, the constellation called Sisumara, the constellation of the Seven Rishis (the Great Dipper), the astronomical model of the Jyotir Veda, the conjunction of the star Rohini or

Aldebarán (Alpha Tauri) that is dated in 3162 BC, together with the concept of the Milky Way as a Heavenly River and the system of Nakshatras or lunar mansions, all of which found parallels in China and Egypt, around 3000- 2000 BC. The highest percentage is 97.5% in favor of Dhruvaloka as the Pole Star, known as Alpha Dacronis up to 2600 BC and absent from then on until the 14th century CE.

These references do not correspond to the period of the first millennium of the Christian Era, since the Hindu astronomers of the first millennium state that the puranic model contradicts their observations.⁹⁸ This means that the astronomical observations in the *Bhāgavata-Purāṇa* coincide with the age of the *Māhabhārata* and other archaic cultures.⁹⁹

- iv. Intertextuality. This applies to the conscious or unconscious influence of other books on the specific work studied. Scholars say that even one single line can give evidence of such influence. The results of this variable are different in each Canto, although there is a tendency oscillating from 80% to 27% in favor of *Māhabhārata*, and also for different texts like the Vedas and *Upanisads*, and in smaller degree for the *Brāhmanas*, *Upavedas*, *Ramayana*, *Manu-samhita*, and *Pancharatras*. The percentages confirm a period that is at the end of the Vedic Era and that coincides with the *Māhabhārata* war.
- v. Social contexts. A variable that registers growing values is the prominent glorification of the priestly class or *brāhmanas*. In all the Cantos of the text we find up to the 60.4% about the description of the four social classes and the four spiritual orders - the *varṇasrama*, or qualified casteism that is not hereditary and has a minimum degree of brahmical corruption, etc. This social scenario is in accordance to the *Rig Veda*, the *Briharanyaka Upanisad*, etc. The same applies to other categories that were prevalent in the cultures of the Sindhu Valley; while the use of the silk and the *canabis indica* flourished in China around 2700 BC. This demonstrates an obvious difference in the first millennium CE, with a society divided in many castes determined by birth, and a unestimatetion from the *bhāgavatas* of the south in toward to the brahminical class.¹⁰⁰
- vi. Economic contexts. One of the general characteristics that define the percentage from 45 to

⁹⁸ Vid. Bhaskara XI and Paramesvara XVI, Cit in Thompson 2 Op. Cit. p. 2-3.

⁹⁹ Eliade, Mercea: "The Pillar of the world (Mount Meru) symbolism is also common in great civilizations such as Egypt, India, China, Greece, Mesopotamia..." See *Chamanismo*. Fondo de Cultura Económica 2º edit. Cap. VIII. México D. F. 1982, p. 213-214.

¹⁰⁰ Vid Buitenen Op. Cit. p. 227.

⁹⁷ De Santillana; Gorigio et von Dechend, Hertha, Cit in Thompson 2, Op. Cit. p. 63.

79% in the text is cattle raising. There are also indications on the use of elephants, horses, donkeys and mules, goats, buffaloes, sheep and camels, on the practice of hunting and consumption of meat, on gold and mining, on agriculture, ships and sailing, iron, silver, ivory and pearls, stones like marble, coral, diamond, lapis lazuli, emerald, sapphire, ruby etc. This evidence points toward a parallelism with the Cultures of Sindhu and in a certain measure with the period of the *Māhabhārata*.

- vii. Philosophical context. The text shows a percentage between 61.4% and 31.6% in favor of the theistic Sankhya school, followed by the schools of Yoga and other schools like Vaiseshika atomism, Gautama's Nyaya logic, the Karma mimamsa, ahimsa, proto-buddhism and other atheistic (pasandas) movements such as Jainism, the Lokayatas school, etc. But there are no mentions of the treatises or philosophers from the 6th to the 10th century CE, such as Isvara Krishna, Gaudapada, etc. This is why the evidence of the philosophical context tends toward the times of the *Māhabhārata*.
- viii. Religious context. Through all the Cantos there is a tendency in favor of the worship of Brahma and Siva varying between 39% to 19%, followed by the pantheon of the *Rig Veda*, as Indra stands out, together with the ceremonies connected to him. In the 10th Canto we see a tendency in favor of Krishna, who subdue the main gods of *Rig Veda* such as Indra, Varuna, Yama and even Siva and Brahma, the most universally worshiped. In the 12th Canto we see king Janamejaya, a *bhāgavata* devotee, who tries to stop the cult of Indra and the *brāhmanas* that strive to defend him. These indications suggest the end of the Vedic age and the *Māhabhārata* period, as opposed to the predominant religious context in the first millennium CE, when the cult to Brahma was almost extinct.
- ix. Political context. The text shows a rivalry for political power between the Vedic monarchy and the anti-vedic Kings. There is also a presence of Kings that were corrupt but non opposed to the Vedic culture, as the chiefs of the cowherd villages. Vedic monarchy had a tendency, shown through 11 Cantos of the text, that varies between 100% to 46.4%, while in the 12th Canto we see the increase of corrupt regimes. In the 7th Canto we only see a predominance of 92.2% for the anti-vedic dictatorship. It is interesting to see how the *Bhāgavatam* uses the word *rājā* to designate the King, just like in *Rig Veda* and other old texts, together with *nriṣa*, *naradeva*, *maharāja* and *rajendra*. There is a serious difference with the centuries from 9th to 10th CE, when the Kings were called by titles like *mahasamanta*, *mahaman-dalesvara*, etc. while to the feudal chiefs of lower

categories had titles such as *rājā*, *samanta*, *ranaka*, *thakura*, *bhoga*, etc.¹⁰¹ In the centuries from the 5th to the 10th CE in south India Kings were called *maharadhirajam*, *dharma maharadhiraja*, *aggnistoma-vajpey*, *asvamedhayaji*, *daivaputra*, *shahanushai*, that were used by the Kushans, Sakhas and the Sri Lanka dynasties in the Gupta period.¹⁰² So the data coincide with the period of *Māhabhārata*.

- x. Language type. The results of the language analysis indicate an archaic form of Sanskrit, because apart from the particular style (modus escribedi) we see a metric pattern with a prevalence (71.5%) of verses of type *anustubh*, followed by verses composed of four lines or *padas* of twelve syllables, the *tristubh* of four *padas*/eleven syllables, some paragraphs written in prose, the *shakaii* verses, the four *padas*/six syllables, the *anustubh* variants, the variants of *tristubh*, the type *prateanpankti* together with the type of two *padas* of 24-24 syllables. As we see from these results, the data suggest the period of the *Upanisads*, *Rig-Veda*, *Brāhmanas* and *Māhabhārata*, and quite different from the Dravidian poets of the 9th to 11th century CE. King Kulasekara, for example, used brief *anustubh* and more often the metrics 14-15-14-14; 15-14-14-15; 19-19-19-19, 21-21-21-21 and longer. In his poems Yamuna Albandar used the metric of the *Rig-Veda sakvari* 14-14-14-14; but also a variant of 15-15-15-15.

d) External evidence

- i. The records of documents indicate that the text left a strong mark through history. It is also noticed that until today, the earliest direct mention of the title of the *Bhāgavatam* has been found in the *Uttara-gīta* of the 5th century BC, followed by the *Nandī-sutrā* of the 1st century CE. However, the Buddhist literature and especially the works of Chanakya shift the period of the compilation to a much earlier date,¹⁰³ although the entire body of evidence shows a tendency of 19.2% in favor of the period of *Brāhmanas* and *samhitas*, followed by the *Upanisads* 14.1%, that mention important characters such as Krishna, the gopis, Pariksit and Janamejaya, etc. While in the 8th and 10th centuries CE the relative frequency is of 2.6%, a smaller percentage of probability in favor of the theory of the

¹⁰¹ Vid. Thapar, Romila. *El Feudalismo en los Estados Regionales c. 800-1200 d. C.* In *La Historia de la India* part I, Col. Brevarios núm 106. Fondo de Cultura Económica, México D- f- 1967 p. 218.

¹⁰² Vid. Conflictos de los Reinos Meridionales (c. 500-900 d. C.) en *Ibid.* p. 218.

¹⁰³ Vid. Arganis Juárez, Horacio Francisco. *Rescatando El Srīmad-Bhāgavatam de las obras de Chanakya. Ensayo sobre la literatura de la India.* Fondo editorial del Estado de Coahuila, 2001.

origin in the first millennium. Besides, in all the data that are consistent with a possible compilation in the first millennium, there is no direct proof that shows a later origin of the *Bhāgavatam*, an idea that was created only in the 17th century under the influence of the British.¹⁰⁴

- ii. Epigraphical evidence tends to confirm that the text and its contents had a profound influence from the 9th to the 10th centuries CE, while the value of the higher index with 24% is related to the 1st century BC, with two epigraphical pieces of evidence that mention the title of the *Bhāgavatam*.¹⁰⁵ Another influence is observed in the concurrence of 13.8% with the epigraphy of the 5th, 7th, 8th and 9th CE, followed by that of the 4th century CE, with 10.3% and 3.4% for the 5th and 2nd centuries BC. The percentage of these finds suggests that there was a revival of the *Bhāgavatam* in the first millennium, but it does not indicate that the text was composed in such period.
- iii. The sculptural evidence shows the signs of the stories from this *Purāna*, from the 38th century BC until the 10th century CE, with a particularly high presence of 33.3% in the 7th and 6th centuries BC. Sculptures have an incidence of 13.3% between the 4th and the 10th centuries BC, especially with the figures of cows and bulls from the Sindhu Valley, including an image of child Krishna from Mohenjo dharo. Another 10% is found between the beginning of the Kali-yuga and the 4th and 5th centuries CE, which tends to confirm the ancient datation, as the index in the 9th to 10th centuries CE is 8.9%, reducing the probabilities of compilation during the first millennium.
- iv. The numismatic evidences show, (where the testimony of seal was included) that the impression of the stories and topics of the *Bhāgavatam* had indice 57% in the time from the IV to II B. C. Nevertheless that the stamps of bovine cattle from Mohenjo-daro mark 21%, continued by the century I B. C. with 10.5%. Although that of the *Māhabhārata* Age and the centuries III d. C., forms an ambivalence of 5.3%. This tendency to corroborate the antiquity of the *Purāna*, because until the present of this investigation, the numismatist's result is 0% in favor of the centuries IX-X A. D.
- v. The variable on further discoveries tend to confirm the *Bhāgavatam* context, pointing out a 13.9% in the discoveries between the 16th and the 15th centuries

BC and a 1.4% for the XVIII B. C. The motif of the Great Flood is also found in this *Purāna*; as we have already seen, this story is found in many ancient cultures from the Old World, in a period from the 30th to the 14th centuries BC. The scholars have concluded that this story refers to a geologic cataclysm of 10,000 years ago.¹⁰⁶ The cosmographic concept of *Bhumandala* is one of the common records of the Old World, a transcultural concept in a period from the 30th to the 16th centuries BC that is specifically different from the astronomical beliefs prevalent in India in the 1st millennium.

Among the most important indications in *Bhāgavatam*, we find the river Sarasvati and the Polar star (Alpha Dacronis), and as we have already demonstrated, these were observed before the 20th century BC only, the period when the river dried up, and 600 years before this Polar star ceased to shine in the Polar Axis: this contradicts the theory of the compilation of the *Bhāgavatam* in the first millennium.

Regarding this variable, the third place in the text is for the *Sarasvati* river and up to 90% to this Polar star. The studies indicate the *Māhabhārata* age, which is in accord to what the *Bhāgavatam* itself says, and according to the archaeological and astronomical data this period corresponds to the 30th century BC.

As we have shown in this presentation from the examination of the various theories; many experts have confirmed the mathematical calculations of astronomy, establishing the beginning of Kali-yuga Era on February 18th 3102 BC. According to the Hindus, this is when Krishna, the *Bhāgavatam*'s hero, disappeared from this world, a date that marks the beginning to their calendar, exactly like the Muslims calculate their years from the Hegira or the Christians from the birth of Jesus.

All these discoveries, the studies of various researchers, including the conservative scholars like Max Müller but the liberal ones as well, lead to the conclusion that the Vedic Age described in the Vedic texts, with a final phase described in the *Bhāgavatam*, went from the 8000 to the 2000 BC.

V. CONCLUSION

Based on all the records of the evidence we analyzed, we can thus disprove the other theories on the datation of the *Bhāgavatam*. As specialist Klaus Klosternier pointed out about the liberal objections inside this field:

The new element that has entered the debate is scientific investigation. While the previous theory was based exclusively on philological arguments, the new

¹⁰⁴ Vid. Wilson Op. Cit., p. xxxix.

¹⁰⁵ The Mora inscription from Mathura UP said: *bhagavatām vṛṣṇinam panchavīranam*. In Gomati inscriptions: *gomatī (...) putena bhāgavatena...*

¹⁰⁶ Goodman, Robert. *Las fuentes del Diluvio universal. Seis Hipótesis para el gran Cataclismo*. In MA de la Ciencia S. A. España. 2001 p. 50-51.

theory includes astronomical, geological, mathematical and archaeological evidence. In all, this new theory seems to be built on better foundations.¹⁰⁷

Thus the most recent established thesis demonstrates that the *Bhāgavatam* was compiled in a period that goes from the end of *Māhabhārata* age, at the beginning of Kali-yuga (3102 BC) and at the latest around 2600 BC, when the star Alpha Dacronis was still in the Polar Axis and the Sarasvati still flowed. However, in spite of all the scientifically rigorous analysis presented in this investigation, we find that mainstream scholars are still very much opposed to this demonstration, As Max Planck observed:

A new scientific truth does not triumph by convincing of its opponents, making them see the light, but rather with the death of such opponents and the rise of a new generation that is able to accept it.¹⁰⁸

VI. DISCOVERIES IN THE INVESTIGATION

It is considered appropriate to present a brief report on the casual discoveries that appeared in the investigation: In 1992, Alf Hiltebeitel established that *Māhabhārata* shows the workmanship of a single author;¹⁰⁹ and V. G. Tagare confirmed the same about the *Bhāgavatam*. Burece Sillivan has examined the old texts, concluding that these sustain Dvaipayana Vyasa like the compiler of the canon in study.¹¹⁰ S. Piggot reports that in the Hittite manuscript of Kikkuli there are mentions of *marianu*, which suggests the name of the Maurya kings.¹¹¹ According to evidence, this dynasty ruled around 1534 BC, as confirmed by the *Bhāgavatam*. P. Gokhale verified that the Kings mentioned in the pillar attributed to Asoka are not Greeks, but other rulers that he identifies with the Hindu kings Jana-rajyas of 1475 B. C.¹¹² Dimock has confirmed that the word *yavana* only means "foreigner"; and non *yono* or *lonic* as some have theorized in order to identify them with the Greeks.¹¹³ The *Bhāgavatam* describes the Gomgeterio elephant, characterized by four tusks that existed for 14 up to 2 million years in the Pliocene. In the 20th century some geologists theorized that the desert of Rajasthan had developed recently, and later paleontologists discovered evidence that this desert was a fertile plain in

Miocene. This data agrees with *Bhāgavatam*, that this desert existed in old times.

¹⁰⁷ Klostermaier, Klaus. *Questioning the Aryan Invasion Theory and Revising Ancient Indian History* in ISKCON Communication Journal. Vol. 1 June 1998.

¹⁰⁸ Planck, Max. *Scientific Autobiography*. Cit. in Kunth, Thomas 2. *La Estructura de las Revoluciones Científicas*. Fondo de Cultura Económica. Col. de Brevarios No. 213, 1971, p. 235.

¹⁰⁹ Hiltebeitel Alf et al. in *Vaisnavism*, Op. Cit. p. 50.

¹¹⁰ *Taittirīyāranyaka* 1.9.2; *Samavidhana brāhmaṇa* 3.9.8; *Gopatha brāhmaṇa* 1.1.29, *Budacharita* 1.42.4.16; *Saundarananda* 7.29-30; etc.

¹¹¹ Piggot, S. Op. Cit. p. 211.

¹¹² Vid. VII rock Edict. See Gokhale 13. *Ashoka Priyadarshi* Loc. Cit. in Agarwal G. C., ed. *Age of Bharata War*. Delhi Montilal Barnasidass, 1979; etc.



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From Aloneness to All-Oneness: Evelyn Shakir's *Bint Arab* as a Site of Settled Places and of Border-Crossings

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Introduction- Evelyn Shakir's *Bint Arab* (1997),² which follows the journeys and un/homed experiences of three generations of Arab-American women and their search for self, identity, and voice, puts a "human face," to borrow Taynyss Ludescher's words,³ on Arab-American fiction, and presents multiple perspectival narratives and subject positions which depict the stories, utterances, fractures, slippages, and exilic consciousness of Arab- American women and their attempts to negotiate an in-between space for themselves in which a potentially vast number of relations coalesce. Shakir's narrative not only seems to echo Bakhtin's "heteroglossia," as it "permits a multiplicity of social voices,"⁴ but it also seems to resonate with recent scholarship on the ethics of literature, particularly with Martha Nussbaum's claim that narratives formally construct empathy and compassion "in ways highly relevant to citizenship."⁵

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From Aloneness to All-Oneness: Evelyn Shakir's *Bint Arab* as a Site of Settled Places and of Border-Crossings

Rula Quawas

Our struggles continue but our silence is forever broken. We are telling our stories and we are recording our triumphs and, by virtue of our presence, we are challenging our surroundings.

Teresa Cordova¹

Evelyn Shakir's *Bint Arab* (1997),² which follows the journeys and un/homed experiences of three generations of Arab-American women and their search for self, identity, and voice, puts a "human face," to borrow Taynyss Ludescher's words,³ on Arab-American fiction, and presents multiple perspectival narratives and subject positions which depict the stories, utterances, fractures, slippages, and exilic consciousness of Arab-American women and their attempts to negotiate an in-between space for themselves in which a potentially vast number of relations coalesce. Shakir's narrative not only seems to echo Bakhtin's "heteroglossia," as it "permits a multiplicity of social voices,"⁴ but it also seems to resonate with recent scholarship on the ethics of literature, particularly with Martha Nussbaum's claim that narratives formally construct empathy and compassion "in ways highly relevant to citizenship."⁵

Within American racial and cultural discourses, Shakir shows how the intersections of gender, race, class, ethnicity, religion, and nation crucially inform the lives of Arab-American women and how a hyphenated identity is as much about difference as about shared belonging and social consciousness. A multi-vocal text about Arab-American women and their double veil of gender and culture, *Bint Arab* is not only a site of conflicting discourses of nationalism, traditionalism and Americanization, but it is also a space for "Arab cultural

re-authenticity," which is, in the words of Nadine Naber, an Arab culture that "emerges as a reaction or an alternative to the universalizing tendencies of hegemonic US nationalism, the pressures of assimilation, and the gendered racialization of Arab women and men."⁶

Even though Joanna Kadi, an Arab-American and the editor of the feminist anthology *Food for our Grandmothers: Writings by Arab American and Arab-Canadian Feminists*, describes the Arab-American community as "the Most Invisible of the Invisibles"⁷ and believes that Arab-Americans are not only made invisible by white Americans but also by people of color, Latinos, Africans, and Asians,⁸ Arab-American writers, in their new constructed space and through forms of resistance writings, are producing ethnographic texts about the Anglo-Arab encounter and the voices of Arab writers in diaspora. They are creating counter narratives of their own and are rewriting their stories by challenging the hegemonic and homogenized image of them in Western discourses and by reinventing themselves within the crucible of human consciousness; in other words, they are offering an alternative history and an alternative truth to the demonization of Arab-American women and to the prejudicial readings of the Arab-American culture as a whole.

Steven Saliata, in his "Vision: Arab-American Literary Criticism," rightly argues that Arab-American writers are "build[ing] a heritage identifiably linked to the Arab world but that is nonetheless their own."⁹ As Evelyn Shakir herself explains, in her "Coming of Age: Arab American Literature," members of the third wave of Arab-American writers have expressed a distinct Arab-American identity in their works. Arab-American literature published since the 1980s, Shakir argues, testifies to "a sea change" in the way Arab-Americans have begun to

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¹ Teresa Cordova, "Roots and Resistance: The Emergent Writings of Twenty Years of Chicana Feminist Writing," in *Handbook of Hispanic Cultures in the United States: Sociology*, ed. Felix Padilla, (Houston, Texas: Arte Publico Press, 1994), 175.

² Evelyn Shakir, *Bint Arab: Arab and Arab American Women in the United States* (Westport, Connecticut: Praeger, 1997).

³ Taynyss Ludescher, "From Nostalgia to Critique: An Overview of Arab American Literature," *MELUS* 31 (2006): 94.

⁴ Mikhail Bakhtin, *The Dialogic Imagination*, ed. Michael Holquist (Austin: University of Texas Press, 1981), 263.

⁵ Martha Nussbaum, *Poetic Justice: The Literary Imagination and Public Life* (Boston: Beacon, 1995), 10.

⁶ Nadine Naber, "Arab American Femininities: Beyond Arab Virgin/American(ized) Whore," *Feminist Studies* 32 (2006): 88.

⁷ Joanna Kadi, Introduction to *Food for our Grandmothers: Writings by Arab American and Arab-Canadian Feminists* (Boston: South End Press, 1994), xix.

⁸ *Ibid.*, xx.

⁹ Steven Saliata, "Vision: Arab-American Literary Criticism," *Al Jadid Magazine* 8 (2002): paragraph 7 of 22, accessed April 22, 2009. <http://www.aljadid.com/features/VisionArabAmericanLiteraryCriticism.htm>

perceive their identities and see themselves.¹⁰ These Arab-American writers "rekindle a sense of ethnicity in the established community and promote a sense of kinship with the Arab world in general."¹¹ Shakir describes the time as "an exciting moment,"¹² or as Elmaz Abinader puts it, a "Renaissance,"¹³ with Arab-American literature showing every sign of coming into its own," and with new writers . . . surfacing, new voices . . . sounding."¹⁴

According to Taynyss Ludescher, in her article "From Nostalgia to Critique: Overview of Arab-American Literature," many Arab-American immigrants have faced challenges in gaining acceptance into the larger American community despite the fact that, as a group, they are remarkably diverse, and reflect the complexity of Arab-American identity.¹⁵ Arab-Americans hail from a heritage that exemplifies common linguistic, cultural, and political traditions. Scholars traditionally divide Arab immigrants who have come to the United States into three distinct waves. The first wave consists of immigration from Greater Syria (Jordan, Syria, Palestine, Lebanon) where hunger ravaged that region as a result of World War I. The Second wave of immigration began right after World War II. Unlike the first wave, which was predominantly Christians, the new wave included a significant number of Muslims. This wave of immigrants consisted of educated, skilled professionals who were more familiar with nationalist ideologies that infuse the Arab world. Moreover, a wave of Palestinian refugees who were stateless as a result of the 1948 Arab-Israeli War fled to the United States. Most of these Muslim immigrants were well-educated, professional and skilled immigrants.¹⁶

¹⁰ Evelyn Shakir, "Coming of Age: Arab American Literature," *Ethnic Forum* 13 (1993): 70.

¹¹ Ibid. 70.

¹² Evelyn Shakir, "Arab-American Literature," in *New Immigrant Literatures in the United States: A Sourcebook to our Multicultural Literary Heritage*, ed. Alpana Sharma Knippling (Westport CT: Greenwood Press, 1996), 3.

¹³ Elmaz Abinader, "Children of Al Mahjar: Arab American Literature Spans a Century," U.S. Society and Values (February 2000), <http://usinfo.state.gov/journals/itsv/0200/ijse/abinader.htm>.

¹⁴ Evelyn Shakir, "Arab-American Literature," in *New Immigrant Literatures in the United States: A Sourcebook to our Multicultural Literary Heritage*, ed. Alpana Sharma Knippling (Westport CT: Greenwood, 1996), 3.

¹⁵ Taynyss Ludescher, "From Nostalgia to Critique: An Overview of Arab American Literature," *MELUS* 31 (2006): 93-114.

¹⁶ For more details on the matter, see: M. Faragallah, et al., "Acculturation of Arab-American Immigrants: an Exploratory Study," *Journal of Comparative Family Studies* 28 (1997): 187-203. See also: Amaney Jamal and Nadine Naber, eds., *Race and Arab Americans before and after 9/11: from Invisible Citizens to Visible Subjects* (Syracuse, NY: Syracuse University Press, 2008). See also: Eva Veronica Huseby-Darvas, "'Coming to America': Dilemmas of Ethnic Groups since 1880s," in *The Development of Arab-American Identity*, ed. Ernest McCarus (Ann Arbor: University of Michigan Press, 1994), 9-21. See also: Randa Kayyali, *The Arab Americans* (Westport, CT: Greenwood Press, 2006).

In *Arabs in America: Building a New Future*, Michael Suleiman argues in his "Introduction: The Arab Immigrant Experience" that World War I was a turning point in the history of the Arab-American community during the second phase of Arab-American immigration. Most Arab-American immigrants considered themselves as temporary workers, people who were in, but not part of American society.¹⁷ Drastic changes took place during World War I, where communications with the homeland were cut off and the community had to fall back on its own resources. Only after World War I, Suleiman notes did "the Arabs in the United States become truly an Arab-American community."¹⁸ They were forced to deal with crucial issues about their identity as Arab-Americans and their relationship with America. A warm sense of community and solidarity sparked a feeling that they were now part of the American community.

American women writers, who hail from a variety of countries, frequently Muslim, grapple with their identity and with what Lisa Majaj calls the "write or be written" imperative: define yourself or others will define you.¹⁹ Authors like Diana Abu-Jaber, Nathalie Handal, Mohja Kahf, and Suheir Hammad shift their writings into new directions that come to form entirely new subjectivities. Although their works move beyond the traditions of Arab-American writers such as Naomi Shihab Nye, Samuel Hazo, and Elmaz Abinader, they have not been rigorously analyzed or given adequate attention in literary studies. Through her books, Abu-Jaber, for example, examines the interconnectedness of the past and the present in the making of the Arab-American female self and creates a space of self-invention for Arab-American women where they collaborate on a new sense of self in the layers of a buried ethnic and female past. She uses memory, the kitchen culture, and the journey to the past of her female family members and fictional characters respectively in order to examine the illusions of her own ambivalent perceptions of self and to invent a constructive way of dealing with the present. The reclamation of the Arab past by Abu-Jaber and its reconstruction from a female perspective is instrumental for other female writers and for the empowerment of her Arab-American women characters.

At one time, America was seen as a "Melting Pot." According to the First American Supreme Court Chief Justice, the phrase "Melting Pot" is a metaphor that implies that all immigrant cultures are mixed and amalgamated in one country without state intervention.

¹⁷ Michael Suleiman, "Introduction: The Arab Immigrant Experience," in *Arabs in America: Building a New Future*, ed. Michael Suleiman (Philadelphia: Temple University Press, 1999), 1-25.

¹⁸ Ibid. 22.

¹⁹ Lisa Majaj, "Arab-American Literature: Origins and Development," *American Studies Journal* 52: Paragraph 7, accessed January 2, 2013. <http://asjournal.org/archive/52/150.html>

The Melting Pot implies that each individual immigrant and each group of immigrants assimilate into American society at their own pace and in their own manner. This popularized concept of the Melting Pot is frequently equated with "Americanization," meaning cultural assimilation by many "old stock" Americans. It implies that the country is a pot in which all ingredients blend together to make a deliciously warm meal. The notion of a "Melting Pot," in which different cultures, races, and religions are combined to develop a multiethnic society, is often used by prominent sociologists to describe societies experiencing a large scale immigration from many different countries.

Peter Salins, in *Assimilation, American Style*, argues that critics have mounted different lines of attack on the phrase "Melting Pot."²⁰ Indeed, evidence shows that the Melting Pot was not working as predicted, as Nathan Glazer and Daniel Moynihan have concluded in *Beyond the Melting Pot*.²¹ Obviously, there is no reason for other cultures to give up any part of their cultural attributes to melt into the amalgam. If true assimilation were to occur, then immigrants would have to dispose of all their cultural belongings and conform to American ways, an act which is probably impossible in its own right. A great American historian, Frederick Jackson Turner, once said that the United States ought to be described as a "salad bowl" rather than a melting pot. Americans, who constitute many different ethnicities and cultures, are like a mosaic, heterogeneous and multicultural. Each group has its own special qualities and may express those qualities in distinct ways throughout history. Indeed, America can be viewed as either "melted" down or "mixed" together while representing a broad range of identities. It is a nation of many voices, of diverse cultures, and of strong ties to a foreign past. America is a weave of many different and distinctive strands from which it is woven.

Intricately complex questions related to Arab-Americans and to their assimilation, their cultural identity, their national belonging, and their citizenship are part of the warp and woof of *Bint Arab*. *Bint Arab* is, what I would like to call, an "autogynationgraphy" which is, in simple terms, a historical narrative punctuated by and infused with personal/self vignettes of the speaking and telling lives of Arab-American women and of their encounters with Anglo-American society. The book, which is not about what happened but about how what happened affected people, embodies pieces of Arab-American women's testimonial stories, which are colorful quilts inter/threaded together to form a weave for every Arab-American. The weave shows the often forgotten or

glossed over inter/threaded stories of Arab-American immigrants to the United States of America. Of course, the exact correspondence between these stories and the real life of Arab-American people is very strong and communication about a non-textual reality is possible. Even though realities are mediated by different forces, discourses and ideologies, the implied reader is encouraged to accept that there are Arab-American women in the real world whose lives might be similar to the women portrayed in *Bint Arab*.

Nancy Miller, in *Getting Personal*,²² identifies autobiographical narratives with the personal and the confessional. In the face of what she says, *Bint Arab* reveals glimmers of the lived experiences of Arab-American women and of their personal voices which shape the context of the book itself. *Bint Arab* also insists on multicultural and multiracial perspectives and analyzes how Arab-American women not only tell their stories in the interval between different cultures across different nations, but how they also come to share not just conflicts and dilemmas but common concerns, strategies, and ways of coping. As they freely traverse between disparate cultures, Arab-American women come to foster a scrupulous subjectivity, independence of mind, critical perspective, and originality of vision. Writing the self, in an "autogynationgraphy," is an activity and a performance far more complex than getting only personal in an autobiography. It is a process of simultaneous shedding and accretion, a plotting of one's life story around a pivotal event of departure and a present condition of absence from one's native land. It is an act of survival in which Arab-Americans not only map the spaces in which they dwell and provide accounts of how to cross to other spaces, but in which they also reveal their yearnings to belong to a particular homeland as well as their desire to cross over to other places, both geographical and metaphorical.

In *Bint Arab*, Shakir introduces her grandmothers, the representatives of the first Arab-American generation, who came to the USA in the nineteenth century. Going down family memory lane and through re-membering lives and reminiscing, she explores and depicts their motivations for immigration and how they and their subsequent families adapted to the new country which they have come to call home. She does not brush off the grueling problems these women had with their patriarchal-minded males. She also registers their triumphs in redefining their roles as women who are able and willing to run their lives with no inhibitions. A case in point is the author's industrious mother who sets up a successful clothing factory in West Roxbury, Massachusetts. Hannah, the author's mother, is self-employed and dedicates her life to her factory: "In the morning she was full of projects and

²⁰ Peter Salins, *Assimilation, American Style* (New York: Basic Books, 1997).

²¹ Nathan Glazer and Daniel Moynihan, *Beyond the Melting Pot: The Negroes, Puerto Ricans, Jews, Italians, and Irish of New York City* (Cambridge, Massachusetts: The MIT Press, 1963).

²² Nancy Miller, *Getting Personal* (New York: Routledge, 1991).

plans she had cooked up during the night, not just for herself but for everyone she cared about. She could not let well enough alone."²³

Shakir also shows how second generation Arab-American women have navigated their lives between the Arab and American cultures. She gives the reader lengthy transcriptions of Arab women's accounts of their multifarious experiences, gleaned from interviews or, in one case, from a long conversation amongst four sisters. She lets these spirited women speak for themselves by bearing witness to their lives and by speaking their truth and reality. Later, Shakir moves on to show vividly how third generation Arab-American women connected or reconnected with their roots and heritage and how they attempted to forge their beingness. The text concludes with women who have emigrated over the last quarter century from many Arab countries, particularly Palestinians.

Throughout her "autogynography," Shakir gives voice to Arab-American women and inter/weaves a vivid tapestry of their beingness and their becomingness, of their families and traditional values, of their ethnic communities, of their business entrepreneurship, and of their interactions with Anglo-American society and their exposure to a new set of social and cultural codes and scripts. She depicts with authenticity and genuineness the ways these women shape or reshape their roles as women, and she probes deeply into the ever-evolving process of immigration and acculturation. The women's plethora of stories are those of empathic love and reconciliation, willful agency, ebbs and flows of re/negotiations as well as learning and unlearning, but more often than not, of imagination, of healing and of renewed hope.

In an interview with the Boston Globe in 2005, Shakir commented, "I don't think there's ever been much recognition of Arab-Americans as a part of the American mosaic, even though we've been here for well over 100 years. . . . Arabs have been thought of as an overseas, alien people, without recognition that we've been a part of the American family for a long time." Even though many Arab-American women are born and raised in the United States, and are strongly tied to life and culture in America, the Arab component of who they are is regarded by others as anti-American. They are always regarded as "foreigners-Arabs, not Arab-Americans."²⁴ The stereotypical images of Arab women in American culture and media include those of belly dancers, harem girls, or submissive women clad in black from head to toe. In her article "The Arab Woman in US Popular Culture: Sex and Stereotype," Marsha Hamilton notes that the stereotype of Arabs as "billionaires, belly dancers, and bombers" has been previously discussed

and documented by Jack Shaheen in *The TV Arab*.²⁵ For Shaheen, Arabs are seen as having no identities whatsoever and they are always mute. The oppression of Arab women is clearly a prominent western stereotype of Arab cultures, as critics like Lila Abu-Lughod point out, for example, in "Do Muslim Women Really Need Saving."²⁶ Understandably so, stereotyping, as Nik Coupland claims, is one of the discursive manifestations of othering, which is defined as "the process of representing an individual or a social group to render them distant, alien or deviant."²⁷

Our very own Edward Said was caught up at the very heart of the ongoing debate about the empowering effect of diasporic experience and the fleeting aspects of identity since the beginning of his literary career in the United States. Said often called himself an outsider/insider influenced by both Arab and American cultures, but belonging to neither.²⁸ He once described himself as living two separate lives, one as an American university professor, the other as a fierce critic of American and Israeli policies in the Middle East. His autobiography, *Out of Place: A Memoir*, is central to his identity revealing his yearning to 'belong'. His life of exile, travel and immigration in the end shaped his identity. "To me, nothing more painful and paradoxically sought after characterizes my life than the many displacements from countries, cities, abodes, languages, environments that have kept me in motion all these years."²⁹

Also, Leila Ahmad, in her memoir *A Border Passage: From Cairo to America—A Woman's Journey*, negotiates many cultures on her quest for identity formation and depicts her trials and struggles with issues of Arabness, Islamness, and Westernization.³⁰ As an expatriate, she relates how she has experienced at certain times in her life cultural alienation, racism, and "othering" at the hands of scholars and friends, and explains the double consciousness that she has increasingly experienced as an Arab living in the West. Throughout her journey, Ahmad goes through an existential crisis as she tries to define her identity, and as W. E. B. Du Bois puts it, this feeling of anxiety or double consciousness is a "sense of always looking at

²³ Evelyn Shakir, *Bint Arab*, 57.

²⁴ Nada Elia, "Islamophobia and the 'privileging' of Arab American Women," *NWSA Journal* 18 (2006): 156.

²⁵ Marsha Hamilton, "The Arab Woman in US Popular Culture: Sex and Stereotype," in *Food for our Grandmothers: Writings by Arab American and Arab-Canadian Feminists*, ed. Joanna Kadi (Boston: South End Press, 1994), 173. Also see, Jack Shaheen, *The TV Arab* (Bowling Green, OH: Bowling Green State University Popular Press, 1984).

²⁶ Lila Abu-Lughod, "Do Muslim Women Really Need Saving? Anthropological Reflections on Cultural Relativism and its Others," *American Anthropologist* 104.3 (2002): 783-90.

²⁷ Nik Coupland, "Other Representation," in *Handbook of Pragmatics*, eds. J. Verschueren, et al. (Amsterdam, Netherlands: Benjamins, 1999), 5.

²⁸ Edward Said, *Out of Place: A Memoir* (New York: Vintage Books, 1999).

²⁹ Ibid., 217.

³⁰ Leila Ahmed, *A Border Passage: From Cairo to America—A Woman's Journey* (New York: Farrar, Straus and Giroux, 1999).

one's self through the eyes of others, of measuring one's soul by the tape of a world that looks on in amused contempt and pity."³¹ At the conclusion of her memoir, Ahmad comes to grips with the fact that her life is multifaceted and she is all the better for it, and she concludes that her story is all about the increasing fluidity or porousness of borders and boundaries.³² She embraces her insider-outsider perspectives and her epicist female experiences and hybrid culture, and effects her entry into a new space, the open space of her own authority.

Bint Arab's interwoven stories, intimately stitched and patched with personal history and shifts through the multiple vantage points of many different characters, with sorrows and joys, with historical facts and noises from several different cultures, and with interviews and robust conversations, give the narrative breadth and inclusiveness and introduce the reader to the un/veiled story of the female Arab immigrant and to the demanding duality of Arab and American cultures. The book does not tell an extraordinary story that looks to the glamorous and romanticized aspects of arriving in a new place. Rather, this book focuses on normal, human aspects of life which reveal some outcomes at the beginning but ends without resolution. Although not as glamorous, the regular aspects of life can hold more significance in self-discovery and in self-formation and do become pieces of an emerging glocal world.

Since Americans had been hostile towards Arabs, stereotyping them and painting them as terrorists, Arab-Americans, particularly women, have often felt that they are not "fully" American and that they will never be accepted as such. These women have had to engage in soul-searching, and have often become interested in turning back to their grandparents' and parents' homes for answers and in connecting with their roots without being bound by them. In her essay, "Exile, Responsibility, Destiny," Jan Vladislav beautifully writes, "Our home is the place from which we originate, and toward which we turn to look from an ever-increasing distance. Our home is a point in time which we have lost, but can always rediscover, along with details which we would not even have noticed *then, on the spot*." ³³

While Sammar, in Leila Aboulela's *The Translator*, finds herself caught up in-between two worlds, trying to translate meanings, not words, from one culture to another, many second and third generations of Arab-American women similarly feel that they are suspended in the seemingly empty space between "Arab" and "American." Many descendents of immigrants are torn between the ties to their ancestral

home and place of birth, between their sense of unbelongingness and re/connecting with their ethnic roots. For immigrants and their descendents, this identity conflict presents confusing and conflicting challenges which can be hard to reconcile. Arabs are relatively new to America, and special cultural or religious considerations have made the transition harder than other immigrant groups. Yet Shakir brilliantly weaves a picture of the contributions of Arab women in the United States, showing they have always been part of the cultural landscape and social fabric of America. In fact, the Arab-American women we see in the book are fierceless in maneuvering between cultures and refusing to fit somebody else's idea of what they should look like, or how they should behave.

The emerging voices of Arab-American women in *Bint Arab* try to carve an autonomous space through which they redefine themselves and their identities. Through this space, they unsettle hegemonic perceptions of Arabs and Muslims in an attempt to resist Western domination and right the records about their lives and histories. Their alienation from their home countries as well as from their host country allows them to carve a self-sufficient space, a new home, necessary for their preservation and endurance anytime, anywhere: the human self. Once they birth that self, they, in the words of Iain Chambers,

acquire more ductile understandings, associated with asymmetrical powers and differing senses of place, in which culture is considered as a flexible and fluid site of transformation and translation rather than as the ontological stronghold of separate traditions, autonomous histories, self-contained cultures and fixed identities." ³⁴

The Arab-American women who populate *Bint Arab* face the fear of being caught up between two cultures and two states of mind or two nations of heart and act in a way that moves beyond the narrative of victimization and prejudice and create for themselves a "conceptual community" or a "psychic space in which individuals feel rooted and to which they feel they belong."³⁵ This space is one of empowerment and re-territorialization from which they can speak for and against the different cultures with which they are affiliated. Gloria Anzaldúa captures this essence when she states,

Petrified, she can't respond, her face between *los intersticios*, the space between the different worlds she inhabits . . . And there in front of us is the crossroads and choice: to feel a victim where someone else is in control and therefore responsible

³¹ W.E.B. Du Bois, *The Souls of Black Folk* (New York: Random House, 1993), 38.

³² Leila Ahmed, 296.

³³ Jan Vladislav, "Exile, Responsibility, Destiny," in *Literature in Exile*, ed. John Glad (Durham: Duke University Press, 1999), 15.

³⁴ Iain Chambers, "Leaky Habitats and broken Grammar," in *Travellers' Tales: Narratives of Home and Displacement*, eds., George Robertson et al. (London: Routledge, 1994), 247.

³⁵ Miriam Cooke, "Reimagining Lebanon," *South Atlantic Quarterly* 94.4 (1995): 1076.

and to blame . . . or to feel strong, and, for the most part, in control.³⁶

In *Bint Arab*, Arab-American women navigate the turbulent reality in which they exist, create a new space in the in-between, and view their cultural hybridity and border crossing as a profound and empowering effect of their diasporic experience. They cross the great divide of otherness and become midwives of souls whose privilege is being who they are in spite of boundaries. The book comes to challenge the existing hegemonic hierarchies through difference and enables the creation of new spaces of self-invention and transformation from which the new "border-crossing identities" of women speak. The Arab-American women's "border-crossing identities," a term I am using here, are reminiscent of Anzaldua's Indian-Mexican-American "new mestiza," the hybrid woman who refuses to be restrained by any one world-view and who realizes that ambiguity is a fact of her multi-faceted world. In *Borderlands: La Frontera*, Anzaldua writes,

The new mestiza copes by developing a tolerance for contradictions, a tolerance for ambiguity. . . . She learns to juggle cultures. She has a plural personality, she operates in a pluralistic mode—nothing is thrust out, the good, the bad, and the ugly, nothing rejected, nothing abandoned. Not only does she sustain contradictions, she turns the ambivalence into something else.³⁷

Simply, as Heidi Safia Mirza astutely puts it, "Cultural hybridity, the fusion of cultures and coming together of difference, the 'border crossing' that marks diasporic survival, signifies change, hope of newness, and space for creativity."³⁸ It is perhaps relevant also to say that this fusion of cultures additionally signifies the forging in the smithy of human souls an expansion of our capacity for radical empathy and for the lure of becoming the sheroes of our own life stories.

In *Bint Arab*, Shakir clearly and blatantly engages in the rhetoric of displacement, exile, diaspora, and the dilemma of inclusion and exclusion in America's culturally diverse society and deals with America's attitudes toward ethnicity, marginalization, and recognition. Within the annals of history, many Americans pride themselves on being a nation of immigrants where cultural cross-pollination has occurred, yet in this politicized time and age, some old-stock Americans still feel that immigrants will not be able to integrate into American culture for they come from alien cultures and mindsets. In more than one way, this unfortunately does not reflect the sense of double consciousness and in-betweenness that characterizes

the present age, which Michel Foucault described as "the epoch of simultaneity . . . the epoch of juxtaposition, the epoch of the near and far, of the side-by-side, of the dispersed."³⁹

In her "autogynationography," Shakir writes the stories of Arab-American women who name and describe their diverse and rich experiences, which is, understandably so, an important epistemological act that contributes to achieving relatability as well as subjectivity. In "Speaking in Tongues: A Letter to Third World Women Writers," Gloria Anzaldua states that women have to re/write the stories others have miswritten about them. Writing one's story is "to become more intimate with myself and you. To discover myself, to preserve myself, to make myself, to achieve autonomy."⁴⁰ By writing their own stories and by sharing their lived experiences, Arab-American women are making sense of lives and cultures and are helping to bridge the knowledge gap between the Arab world and the West and to nurture a psychology of tolerance, not intolerance. Their writing is a site for self-expression, for self-definition, for critical consciousness, for subversion and resistance, for social and political change, and for re-visioning the cultivation of beingness and the assertion of becomingness.

Starting at the end of the nineteenth century, many Arab women, as we are shown in *Bint Arab*, left their homelands in Greater Syria to seek livelihoods and wage employment in the north and south cities of the United States. These women were an integral, yet often unnoticed, part of a migrant stream responding to the call of willing labor in various parts of the country. They have migrated initially to find work in the land of opportunities, and they have sometimes used traditional values to justify their "bold new undertakings,"⁴¹ using the notion of self-sacrifice for one's family to justify migrating. As peddlers, mill girls, factory hands, and entrepreneurs, they have succeeded in becoming settlers and in establishing families and in building communities in their new surroundings. Over time, they have gained autonomy and community leadership positions and forged and sustained multi-stranded social relations that link together their societies of origin and settlement.

For these women, being an Arab-American does not necessarily describe identity per se but rather an attitude and intention to seek possible speaking positions that enable women to emerge into self-representation. Marie El-Khoury, a Syrian socialite in

³⁶ Gloria Anzaldua, *Borderlands: La Frontera* (San Francisco: Aunt Lute Books, 1999), 43-44.

³⁷ Ibid., 101.

³⁸ Heidi Safia Mirza, *Black British Feminism: A Reader* (London: Routledge, 1997), 16.

³⁹ Michel Foucault, "Of Other Spaces," trans. Jay Miskowiec, *Diacritics* 16 (1986): 22.

⁴⁰ Gloria Anzaldua, "Speaking in Tongues: A Letter to Third World Women Writers," in *Women Writing Resistance: Essays on Latin America and the Caribbean*, ed. Jennifer Browdy de Hernandez (Cambridge, MA: South End Press, 2004), 84.

⁴¹ *Bint Arab*, 30.

New York and the best-known Arab-American jewelry designer, is an empowered, mobile, and creative woman. She has positioned herself within the socio-cultural contexts of New York City and, through the preservation of cultural differences, she has managed to host a literary salon. Her position of privilege, along with her intellectual vigor, has allowed her to know, to understand, to authorize, and to have power over her Arab-Americanness. As "the most colorful personality ever to live in New York,"⁴² she rewrites both Western and Eastern traditions and discourses and opens up new conversations and spaces for female agency and cross-cultural, transnational contact.

The women who migrated from Greater Syria have stretched the boundaries of their traditional roles as Arab women, indirectly challenged power inequalities between women and men, and experienced a different way of being. With time, they do not fade into private life or demobilize; in fact, they identify with a diverse set of communities and hold themselves accountable to the multiple publics with whom they interact. Empowered through their work, they create their own authentic script and initiate new forms of conversations across what people thought were unbridgeable chasms. As part of the political generation, the Palestinian active generation, Mona redefines the concept of honor through her political work and locates it in her homeland, "how much you were giving to the cause, not the woman's sexuality."⁴³ She realizes that identifying as an Arab-American does not mean that "you're not a good Arab" or that "you're not a good American," but that "you get the best of both worlds."⁴⁴

Shakir finds contradictions in Linda Simon's claim that "working for women's rights and working for Arab rights are two expressions of the same battle for human dignity," since many Arab-American women in *Bint Arab* have not always found it comfortable to be both feminist and ethnic.⁴⁵ As a lesbian, Cheryl Qamar is torn asunder between the two competing communities, Lebanese and lesbian, to which she belongs. She claims that "my heart's with the lesbian community, but my soul's with the Arab community."⁴⁶ Rather than capitulating to or privileging the discourse of honor within her Arab culture and succumbing to her mother's entreaty to change her name since she has tarnished the family's reputation, she manages to negotiate a new vision by choosing to use both her family name and her adopted one. She carefully subverts the authority invested in Arab family names and provides an alternative to the acceptable public discourse inherent in Arab narratives. Cheryl's aim is to

express a valid way of life beyond the stereotypical images of Arab women and to assert the validity of her own Arab and American worldview. She offers herself a space for agency, a space she has hitherto been denied and maintains a liberatory role for herself as an Arab-American woman.

Arab-American women are not absent or missing or erased from the American scene. Shakir gives voice to Arab-American women and engages them in a conversation. The most striking point about *Bint Arab* is the diversity of the voices of Arab-American women that it presents and the array of themes it portrays. With each new generation of immigrants, there seems to be new levels of assimilation, reconciliation with Arab identity, and reconnection with roots and generational conflicts. Paula notes that her ethnicity is a "basic tool that [she] used to measure the world."⁴⁷ Shakir lets the reader dwell on whether our ethnic identity is a permanent lens through which we view and make sense of our surroundings. If not, how do we use and remove this lens to create a peripheral understanding of the world we live in, Shakir asks. Another Arab-American woman, Khadija, asserts that the hijab is a protection, but then notes that "these Muslim men were threatened by it."⁴⁸ She states that "How you dress makes a big difference . . . when you dress sexy, you feel sexy, and you go out and anything can happen to you. But when you're all covered up . . . you're so pure and protected in your mind."⁴⁹ One cannot help but pose the following questions. Does adopting a certain style of dress entail adopting a particular set of behaviors, too? In addition, can dressing a certain way make us "ambassadors" to a particular culture or perceived lifestyle?

It can be argued that Arab-American women in *Bint Arab* are not a monolithic, fixed category. Rather, the "autogynationography" narrative shows the potential of a relationship between and across borders, identities, faiths, cultures and traditions. Stuart Hall is right when he sees a close and warm relationship between identity and representation. According to him, "identities are . . . constituted within, not outside representations," which embody discourses and ideologies.⁵⁰ He further says that "identities are never unified and in late modern times, increasingly fragmented and fractured; never singular but multiply constructed across different, often intersecting and antagonistic discourses, practices and positions."⁵¹ Identity is then the result of self-introspection, self-reflection, subjective perception and external circumstances such as the socio-cultural environment.

⁴² Ibid., 46.

⁴³ Ibid., 164.

⁴⁴ Ibid. 164.

⁴⁵ Ibid., 104.

⁴⁶ Ibid., 107.

⁴⁷ Ibid., 92.

⁴⁸ Ibid., 122.

⁴⁹ Ibid., 119.

⁵⁰ Stuart Hall, "Introduction: Who Needs 'Identity'?" in *Questions of Cultural Identity*, ed. P. Du Gay and S. Hall (London: Sage, 1996), 4.

⁵¹ Ibid. 4.

A notion of identity that sees it as unified and fixed is no longer tenable, and especially based on the views of poststructuralists, identity now is conceived as "becoming" rather than "being," evolving, and always in a state of flux, of being re-constructed.⁵² According to Gayatri Spivak, identity is not predetermined but is multifaceted and variable. In her words, "there are many subject positions that one must inhabit; one is not just one thing."⁵³ In this regard, Satya Mohanty argues that "identities are ways of making sense of our experiences. They are theoretical constructions that enable us to see the world in specific ways."⁵⁴ According to her, people with different identities or with hyphenated identities can have different interpretations of who they are and of the world at large.

Bint Arab, which is based on multiple experiences of Arab-American women, is a polyvalent text that unsettles the notion of migration and makes readers rethink their view of the world. The book plunges into the lives of Arab-American women and offers the readers insights difficult to find in Western hegemonic discourses. Chandra Mohanty, who especially focuses on the experience-oriented texts of third-world women, describes such texts as "significant modes of remembering and recording experience and struggles" and as "a site for the production of knowledge about 'lived relations'."⁵⁵ Related to this point, *Bint Arab* helps readers to see reality from the standpoint of the lives of Arab-American women. In other words, it is possible, through an act of self-representation, to provide access to reality, which is, as we know, an interpreted reality within an interpreted world, which is ostensibly mediated by mediatory discourses and by human consciousness. What is important is the way in which *Bint Arab* is read and understood, and the impact it has on readers. Chandra Mohanty is right when she says that "the point is not just 'to record' one's history of struggle, or consciousness, but how they are recorded; the way we read, receive, and disseminate such imaginative records is immensely significant."⁵⁶ *Bint Arab* can show tensions within experience, "tensions that reflect the kinds of agency, community, or consciousness" that hegemonic discourses do not often represent.⁵⁷

⁵² Michele Dillon, *Catholic Identity: Balancing Reason, Faith, and Power* (Cambridge: Cambridge University Press, 1999), 250.

⁵³ Gayatri Spivak, *The Post-Colonial Critic: Interviews, Strategies, and Dialogues* (New York: Routledge, 1990), 60.

⁵⁴ Satya Mohanty, "The Epistemic Status of Cultural Identity: On *Beloved* and the Postcolonial Condition" *Cultural Critique* 24 (1993): 55.

⁵⁵ Chandra Mohanty, "Under Western Eyes: Feminist Scholarship and Colonial Discourses," in *Third World Women and the Politics of Feminism*, eds. Chandra Mohanty, et al. (Bloomington: Indiana University Press, 1991), 33, 35.

⁵⁶ *Ibid.*, 36.

⁵⁷ Shari Stone-Mediatore, "Chandra Mohanty and the Revaluing of Experience," in *Decentering the Center: Philosophy for a Multicultural, Postcolonial, and Feminist World*, eds. Uma Narayan and Sandra Harding (Bloomington: Indiana University Press, 2000), 123.

Part III of *Bint Arab* invokes the history of Muslim Palestinian women immigrants to the United States, who have become reduced to a political body in the grasp of the American state. Stripped of their strength and power, many of these Muslim Palestinian immigrants think of themselves as a "community in exile,"⁵⁸ and they speak longingly of the day of return to a liberated Palestine. The Israeli-Palestinian conflict has remained deeply controversial in part because tensions between Palestinians and Israelis are deeply entrenched in ethnic chauvinism and in a culture of injustice. Even though America is heterogeneous and hybrid, mixing cultures, religions, languages, and ethnicities, its relationship with Palestinian immigrants articulates a version of diasporic and exilic consciousness in the narrative perspective which resists unity, rejects wholeness, and finds joy, and to some degree redemption and healing, in intense perception.

Shakir narrates the particular stories of many Muslim Palestinian immigrants, who are strongly rooted in political and social constructions of the homeland they have left behind and who recover fragments of the past. For sure, telling stories empowers women characters in *Bint Arab* and contradicts what Spivak leads us to expect when she identifies "one of the assumptions of subalternist work: that the subaltern's own idiom did not allow him to know his struggle so that he could articulate himself as its subject."⁵⁹ In moments of self-construction narration, Muslim Palestinian women overcome pressured silences that have amounted to lies about what has happened to them. Emily Shihadeh, to choose a distinguished example, finally gains a voice and presence in America and narrates the story she believed she had to repress in order to secure a place in her new homeland. She has evaded and misrepresented her history to herself and others, and she permits the silences and distortions to pass unquestioned; but then she survives in speech and through humor, which are for her, "almost cathartic."⁶⁰ As she sifts through her life, she feels "as if my arms were tied behind my back and now they're loose."⁶¹ Because she remains in language, she is re-turned as a liberated subject evolving in feminine subjectivity.

For Palestinian women living in America, the so-called threat of "cultural contamination" may seem especially real and the need to resist it more urgent.⁶² Ihsan, who comes from a relatively privileged Palestinian Muslim family, has seen unsettling connections between her personal narrative and communal or national ones.

⁵⁸ *Bint Arab*, 127.

⁵⁹ Gayatri Spivak, "A Literary Representation of the Subaltern: Mahasweta Devi's 'Stanadayini'," in *Subaltern Studies V: Writings on South Asian History and Society*, ed. Ranajit Guha (New Delhi, India: Oxford University Press, 1987), 111.

⁶⁰ *Bint Arab*, 129.

⁶¹ *Ibid.* 129-130.

⁶² *Ibid.*, 135.

Aware of the potential for a changed Arab-American community, she makes visible the legacies of patriarchal arrogance, racism, and gender oppression that run through several generations of Palestinian Americans, and she envisions altered configurations of home in new ways. As she becomes increasingly enlightened by her experiences and the events that have blighted her life and as she comes to find a private safe space away from home, she comes to "feel out of place in the land of one's birth, the very place one has so longed for from far away."⁶³ For Ihsan, one way or another, America has fulfilled the homing promise implicit in the "baseball cap."⁶⁴

The beautiful thing about *Bint Arab* is the collage section which Shakir creates at the very end of her book, a section in which she contextualizes the Arab-American experience and culture and provides a wide range of non-monolithic images of Arab-American women. In that section, Shakir emphasizes that being Arab-American is always a process, a complex structure of experiences, relationships, and activities with specific and changing pressures and limits. The unfolding stories, which reflect retrospectively and introspectively on the new homeland that has shaped the protagonists, are all about Arab-American women known for their intellectual heft, resilience, drive and empathy. These stories, which are so personal and individual, so focused and ferocious, are narrated in first person, and we see the characters at times wrestling with an "I," which they desire to own. Enacting a repeated remembering of the protagonists' minds and hearts, they can be understood as narratives of the formative education of Arab-American women into their roles in the new homeland. When Arab-American women learn new tutorial lessons, they know the new world and their place in it. They know how to re/birth or re/create new selves and to forge new identities.

Intermixed with discriminations of race and class, the Arab-American women in the last section confront sexist hierarchies, double standards, othering and self-censorship, misogyny, and other forms of discrimination against women. Karima feels cast off as a female child; Hind, Leila, and Helen feel stigmatized by their actions; Fatan is overwhelmed by guilt that eats away at her soul every time she ventures out, and Suad admits wholeheartedly that there is a price for everything. These Arab-American women, in addition to many others in the same section, create a home space, speak for themselves, and insist on being heard. They also make clear that the Arab-American identity is always evolving in development and in re/negotiations, and they make visible their social and cultural surroundings and structures. This visibility is crucial to Arab-American women as a step forward toward social

transformation and a rejection of marginalization and silence. It also contributes to the strengthening of their sense of self and personal voice.

Bint Arab features the authentic and agentic voices of Arab-American women who just speak from their heart and who share their experiences and structure of feelings by saying their multiplicity. The book makes visible an Arab-American women-centered community which reflects and perpetuates a habit of seeing, a way of looking at life, its absent presence and its present absence, through the fractured struggles, the grueling pains and the crowning triumphs of Arab-American women. By bringing into view the wide-ranging, lived experiences and polyphonic voices of Arab-American women, Shakir offers a more comprehensive, less distorted, empirically richer vision of the world of Arab-Americans, a space of settled places, locations, and homes, but also a space of diasporic, transnational movements, of border-crossings, of the *unheimliche*.

Arab-American women in *Bint Arab* are people who belong to more than one world, speak more than one language or one cultural repertoire, inhabit more than one identity, and have more than one home. These women have learned to negotiate between cultures, and they have also learned to speak from the in-between of different cultures, always unsettling the assumptions of one culture from the perspective of another, and thus finding ways of being the same as and at the same time different from the others among whom they live.⁶⁵ As an Arab-American writer, Evelyn Shakir, who creates in her multivocal work a space for Arab-American women to make their stories accessible to other American and Arab communities, succeeds in giving birth to images of humanness about Arab-American women. As Gregory Orfalea says, the closer an Arab-American writer "gets to what is real, the closer he [she] gets to justice and redemption."⁶⁶

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⁶⁵ See Homi Bhabha, *The Location of Culture* (London: Verso, 1994).

⁶⁶ Gregory Orfalea, "The Arab American Novel," *MELUS* 31 (2006): 117.

⁶³ Ibid., 134.

⁶⁴ Ibid. 134.

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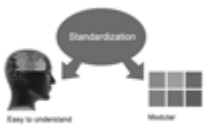
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