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# INTERACCIÓN Y PERSPECTIVA

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# INTERACCIÓN Y PERSPECTIVA

Revista de Trabajo Social

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## INTERACCIÓN Y PERSPECTIVA

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# PRESENTACIÓN

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Como resultado de un esfuerzo del equipo que integra Interacción y Perspectiva Revista de Trabajo Social, presentamos nuestro primer número del Vol.15, el cual corresponde al primer trimestre del 2025. Esperamos que este año, con nuestra nueva imagen y estilo sea lleno de éxito editorial dado los alcances que hemos obtenido en visibilidad y contenido. En este número contamos con veintitrés artículos organizados en seis áreas temáticas de interés para nuestra profesión. Estos artículos, son productos de investigaciones que abarcan una variedad de temas relevantes que reflejan las complejidades de la sociedad contemporánea, desde el bienestar de las personas mayores hasta la calidad de la educación y la violencia de género. Sus hallazgos no solo enriquecen el conocimiento académico, sino que también ofrecen recomendaciones prácticas para abordar los desafíos de la sociedad actual. Estas áreas son:

### ***Política Social e Intervención Social***

La creciente preocupación por el bienestar de las personas mayores en Vietnam ha llevado a un análisis profundo sobre la normativa de seguridad social que les afecta. La población de ancianos en el país está en aumento debido a una mayor esperanza de vida y a la disminución de la tasa de natalidad. A pesar de los esfuerzos del gobierno vietnamita por abordar las necesidades de este grupo, se enfrentan a retos significativos, como la pobreza extrema y el acceso limitado a servicios de salud. Esto resalta la necesidad de implementar políticas más efectivas que garanticen el bienestar de los ancianos en un contexto de economía en desarrollo.

Asimismo, el estudio titulado “Capacitar a los Empobrecidos: Desarrollo de Capacidades y Reducción de la Pobreza en las Comunidades Khmer de Tra Vinh” explora los factores que influyen en la pobreza de las minorías étnicas en Vietnam. Utilizando un enfoque multidimensional de la pobreza, se identifican deficiencias en la capacidad de vida, producción y desarrollo, lo que contribuye a la pobreza en estas comunidades. Las recomendaciones del estudio buscan lograr una reducción sostenible de la pobreza.

El artículo “Perspectivas Teóricas de la Intervención Psicosocial: aplicaciones en Niños, Niñas y Adolescentes en Situación de Calle” analiza la relación entre teorías psicosociales y la intervención social. Utilizando una metodología documental, se sistematizan definiciones y teorías que permiten abordar el fenómeno de la niñez en situación de calle, proporcionando una base conceptual para el Trabajo Social en este ámbito.



## **Familia**

En el ámbito familiar, se han examinado enfoques centrados en la familia para mejorar la socialización y la inclusión de niños con autismo. El estudio resalta el papel fundamental de las familias en el desarrollo sociocultural de estos niños y propone un modelo integral para fortalecer su potencial inclusivo.

Además, se presenta el producto de una investigación sobre el uso de plataformas de mediación basadas en inteligencia artificial para resolver conflictos familiares. El estudio presenta principios para el uso efectivo de la IA en la mediación, analizando tanto sus ventajas como sus desventajas, y buscando un equilibrio ético en su aplicación.

## **Educación y Universidad**

El uso de teléfonos inteligentes como herramientas para fomentar la participación cognitiva creativa entre estudiantes de secundaria ha sido objeto de estudio. A través de una encuesta que evalúa competencias transversales, se identifican tanto las ventajas como las desventajas de estos dispositivos en el aprendizaje, lo que sugiere la necesidad de estrategias educativas que integren la tecnología de manera efectiva.

La investigación sobre el liderazgo del conocimiento en las escuelas establece una correlación positiva entre este liderazgo y el capital intelectual. Los resultados sugieren que el desarrollo de competencias clave en los docentes puede mejorar significativamente la calidad educativa y el rendimiento académico de los estudiantes.

El estudio titulado “Modelo Basado en Competencias para el Desarrollo de Cualidades Personales y Profesionales de los Docentes” analiza cómo las competencias clave se convierten en la base para la formación de docentes universitarios en un contexto educativo innovador. Se identifican requisitos específicos para los docentes que contribuyen a su desarrollo profesional.

La calidad de la educación en línea también ha sido evaluada, diagnosticando el estado actual de este tipo de aprendizaje en instituciones de educación superior. El estudio identifica problemas existentes y propone medidas para mejorar la calidad, con el fin de aumentar la competitividad de los graduados en el mercado laboral.

Por último, se ha indagado sobre las influencias del género en las estrategias de aprendizaje de lenguas extranjeras. Los hallazgos de este estudio revelan diferencias significativas en el uso de estrategias de aprendizaje entre estudiantes de distintos géneros, lo que puede influir en el diseño de programas educativos más inclusivos.

## **Política y Relaciones Sociales**

En el ámbito de la política y las relaciones sociales, el artículo “Desproblematización de las Relaciones Interétnicas e Interconfesionales y Política de Memoria en la República de Tatarstán” destaca la importancia de una actitud responsable hacia el pasado para fomentar la armonía social. La investigación revela cómo las representaciones históricas pueden influir en las relaciones interétnicas actuales.

La evaluación de la calidad de vida urbana en el distrito 12 de Ciudad Ho Chi Minh, Vietnam, investiga los determinantes que afectan la calidad de vida de sus habitantes. A través de un análisis factorial y de regresión, se identifican factores clave que impactan en el bienestar de la población y se proponen estrategias para mejorar la calidad de vida en la zona.

La investigación sobre la Iglesia Ortodoxa Rusa y la invasión rusa a Ucrania analiza la relación simbiótica entre el Estado ruso y la iglesia, así como las repercusiones de este apoyo en las relaciones entre las iglesias ortodoxas a nivel mundial.

### **Violencia**

La violencia contra la mujer en el estado Mérida, Venezuela, ha sido objeto de un análisis exhaustivo que examina sus patrones temporales y espaciales. Mediante un enfoque combinado de métodos cuantitativos y cualitativos, se identifican tendencias preocupantes en el aumento de casos de violencia, lo que subraya la urgencia de implementar medidas efectivas para combatir este flagelo.

Además, el artículo “Asegurando la Igualdad: un enfoque de género neutro para la Ley de Violencia Doméstica en India” aborda las preocupaciones sobre la implementación de la Ley de Protección de las Mujeres contra la Violencia Doméstica. Se discuten las dificultades en su aplicación y la necesidad de revisar cláusulas para mejorar su efectividad y mitigar el daño a todas las partes involucradas.

### **Salud**

El agotamiento profesional es otro tema crítico que ha sido abordado en un estudio que busca identificar factores que influyen en la resistencia al estrés de los profesionales de la salud. Los resultados indican una alta prevalencia de burnout, lo que sugiere la necesidad de desarrollar programas de apoyo psicológico y profesional que fortalezcan la resiliencia de estos trabajadores.

En este constante diálogo entre la teoría y la práctica, confiamos en que estas reflexiones contribuyan a un enriquecimiento profundo en nuestra labor como profesionales del Trabajo Social.

**Raima Rujano**

*Editora*

*Directora del Centro de Investigaciones de Trabajo Social*

# Normativa de seguridad social para las personas mayores en Vietnam: situación y recomendaciones<sup>1</sup>

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<sup>1</sup>This research paper is solely funded by VNU University of Social Sciences and Humanities, Hanoi under project number USSH-2024.43.

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**Resumen.** La población de personas mayores ha ido aumentando en todo el mundo. Esto es consecuencia directa de la mejora de la atención sanitaria y del aumento de la esperanza de vida. Además, el descenso de la tasa de fertilidad ha provocado un rápido envejecimiento de la población. Vietnam no es una excepción a esta tendencia. Este artículo analiza la seguridad social de las personas mayores en Vietnam. Examina cómo el gobierno ha abordado las cuestiones relativas al bienestar de las personas mayores. Se ha establecido que el gobierno de Vietnam ha estado trabajando en las cuestiones de los ancianos, incluida la asistencia social. Además, se cuenta con leyes específicas que abordan cuestiones relativas a las personas mayores. Por otra parte, el gobierno de Vietnam se enfrenta a retos presupuestarios en relación con la atención a sus ciudadanos mayores. Esto se debe a que su población envejece rápidamente. Los datos demográficos muestran que Vietnam tiene una de las poblaciones que envejecen más rápido del mundo. Las estadísticas gubernamentales indican que el número de ancianos ha aumentado muy rápidamente en el contexto de una economía en desarrollo. Los adultos mayores también se enfrentan a muchos retos, como la pobreza extrema, el acceso a la atención sanitaria e incluso la soledad cuando no tienen familia.

**Palabras clave:** seguridad social, ancianos en Vietnam, envejecimiento de la población en Vietnam, personas mayores, atención social a los ancianos.

## Social security regulations for the elderly in Vietnam: status and recommendations

**Abstract.** The population of elderly people has been increasing all over the world. This is a direct result of improved health care and increased life expectancy. Also, a falling fertility rate has led to a rapidly aging population. Viet Nam is no exception to this prevailing trend. This article looks at the social security of the elderly in Vietnam. It looks at how the government of Vietnam has been dealing with issues regarding the welfare of elderly persons. It has been established that the government of Viet Nam has been working on the issues of the elderly, including social assistance. Also, Viet Nam has specific laws that deal with issues regarding the elderly. Moreover, the government of Viet Nam is facing budgetary challenges regarding caring for its elderly citizens. This is because the population of Viet Nam is aging rapidly. Demographic data shows that Viet Nam has one of the fastest aging populations in the world. government statistics show that the number of elderly persons has been rising very fast against a backdrop of a developing economy. Older adults also face many challenges, including extreme poverty, access to healthcare, and even loneliness when they have no family.

**Keywords:** social security, the elderly in Vietnam, aging population in Vietnam, elderly persons, social care of the elderly.

### INTRODUCTION

The world demographics show an increase in the number of elderly persons. By 2020, the number of people aged above 65 years was more than 727 million. This could be attributed to increased life expectancy. It is estimated that the number of older persons (above 65 years) will be more than double the current number, crossing the 1.5 billion mark by 2050. In 2020 older people formed 9.3% of the world population, but with increased life expectancy and dropping fertility levels, this number is estimated to rise to 16.0% by 2050. (United Nations, 2019, cited in UNDESA, 2020) Scherbov and Sanderson (2019), citing Rubinow (1916), state that “Age 65 is generally set as the threshold of old age since it is at this period of life that the rates for sickness and death begin to show a marked increase over those of the earlier years.”

The population of older persons has grown exponentially. This is witnessed against a backdrop of an increase in life expectancy. Between 1950 and 2010, global life expectancy increased from 46 to 68 years. Of the 703 million people aged above 65 in 2019, Eastern and South-Eastern Asia had the highest number (261 million), while Europe and Northern America had a combined 200 million people. The UN projects that by 2050 all parts of the world will register an increase in the number of older people. *Ceteris Paribus*, by 2050 the population of elderly persons in Eastern and South-Eastern Asia is projected to rise from 261 million (2019) to 573 million (2050)- the most significant increase globally. North America and Western Asia are projected to record a fast increase in the elderly population, rising from 29 million (2019) to 96 million (2050), representing a 226% increase. Sub-Saharan Africa could have its population of older persons rise from 32 million (2019) to an estimated 101 million (2050), a 218% increase. Notably, some regions with a significantly



high number of the elderly population are projected to record a relatively small increase. For example, Australia and New Zealand are projected to record an 84% increase, while North America will have a 48% increase in the older population.

On the one hand, more than two-thirds of the global elderly population (1.1 billion people) will be in less developed countries (not including the least developed) by 2050. On the other hand, the least developed countries are estimated to record the fastest growth of the older population by 2050. The United Nations estimates that the older population in the least developed nations will shoot up to 120 million by 2050 from 37 million in 2019, a 225% increase (United Nations, n.d.)

The United Nations, having recognized the challenges that come with aging, decided to draw the world's attention to them. The First world assembly on aging (World Assembly on the elderly) was held on 26th July-6th August 1982 in Vienna, Austria. The assembly was meant to inaugurate a global program for older persons' economic and social security. The assembly resulted in the formulation of The Vienna International Plan of Action on Ageing. This document which the United Nations General Assembly endorsed in 1982 (Resolution 37/51) (it had been adopted earlier in the year), formed a framework for formulating policies and programs on aging. The document contained 62 recommendations on how countries could deal with aging populations. The recommendations covered health and nutrition, protection of elderly consumers, housing and environment, family, social welfare, income security and employment, and education (United Nations, n.d.).

According to the UN General Assembly (16 December 1991), in 1992 (the tenth anniversary of the International Plan of Action on Ageing), the United Nations General Assembly adopted resolution 46/91 of 16<sup>th</sup> December 1991- United Nations Principles for Older Persons. The formulation of the United Nations Principles on Ageing was informed *among other things* by a need to:

- 1) Uphold the dignity and worth of the human person as a human right;
- 2) The fact that older persons are diverse and vary from one individual to the other, from country to country, and within an individual country which calls for the formulation of appropriate responses to their challenges;
- 3) There is a rise in life expectancy, and more people are attaining advanced age in better health than before;
- 4) There is a need to afford willing and capable older citizens a chance to participate in meaningful economic engagement and social activities;
- 5) As people grow older and frail, their care strains their families, and therefore the families need support.

Hence, the United Nations Principles for Older persons captures these needs under the categories:

Helping the elderly to maintain independence or a semblance of the same, helping them keep participating in the community, helping the elderly attain self-fulfillment, and maintaining their dignity. The eighteen (18) United Nations Principles for Older persons as adopted on 16<sup>th</sup> December 1991 are:

### **Independence**

- 1) Older persons should have access to adequate food, water, shelter, clothing, and health care through income, family and community support, and self-help.

- 2) Older persons should have the opportunity to work or access other income-generating opportunities.
- 3) Older persons should be able to participate in determining when and at what pace withdrawal from the labour force takes place.
- 4) Older persons should have access to appropriate educational and training programs.
- 5) Older persons should be able to live in environments that are safe and adaptable to personal preferences and changing capacities.

### **Participation**

- 1) Older persons should remain integrated into society, actively formulate and implement policies that directly affect their well-being, and share their knowledge and skills with younger generations.
- 2) Older persons should be able to seek and develop community service opportunities and serve as volunteers in positions appropriate to their interests and capabilities.
- 3) Older persons should be able to form movements or associations with older persons. Care
- 4) Older persons should benefit from family and community care and protection under each society's system of cultural values.
- 5) Older persons should have access to health care to help them maintain or regain the optimum level of physical, mental, and emotional well-being and prevent or delay illness onset.
- 6) Older persons should have access to social and legal services to enhance their autonomy, protection, and care.
- 7) Older persons should be able to utilize appropriate levels of institutional care providing protection, rehabilitation, and social and mental stimulation in a humane and secure environment.
- 8) Older persons should be able to enjoy human rights and fundamental freedoms when residing in any shelter, care, or treatment facility, including full respect for their dignity, beliefs, needs, and privacy and the right to make decisions about their care and the quality of their lives.

### **Self-fulfillment**

- 1) Older persons should be able to pursue opportunities to fully develop their potential.
- 2) Older persons should have access to the educational, cultural, spiritual, and recreational resources of society.

### **Dignity**

- 1) Older persons should be able to live in dignity and security and be free of exploitation and physical or mental abuse.
- 2) Older persons should be treated fairly regardless of age, gender, racial or ethnic background, disability, or another status and be valued independently of their economic contribution (UN General Assembly, 1991).

During the 73rd World Health Assembly on 3<sup>rd</sup> August 2020, the Decade of Healthy Ageing: the plan of action was endorsed. Later the same year, on 14<sup>th</sup> December 2020, the United Nations General Assembly adopted it as Resolution 75/131. The adoption of the resolution led to the UN Decade of Healthy Ageing (2021-2030). The resolution noted the number of people aged above 60

was set to rise to 1.4 billion from 1 billion - a 38% increase. It also noted that the aging population was facing new health challenges that were not there before, e.g., Covid-19. The resolution also acknowledged that an aging population directly impacted housing, healthcare, social protection, etc. (UN General Assembly, 2020). The World Health Organization (WHO) proposes the following action areas during the United Nations Decade of healthy Ageing (2021-2030):

- i. Age-friendly environments - There is a need to create a conducive social and physical environment for the elderly. The social environment should consider healthy ways of aging once the elderly can no longer do the things they used to enjoy doing. The physical environment should, among other things, consider the elderly's aging bodies and declining abilities.
- ii. Combat Ageism- Many societies globally have stereotypes and prejudices about the elderly. There is a need to create a friendly environment where the elderly can thrive without discrimination because of their age. The elderly could still contribute positively if given the appropriate opportunities.
- iii. Integrated care- The elderly deserve unfettered age-appropriate care. They should have access to curative, comforting, or even end-of-life care to help them live in dignity.
- iv. Long-term care- As the process of aging kicks in, some of the elderly experience physical and mental deterioration. Therefore, they deserve sufficient support as they continue their day-to-day activities because they may not care for themselves (World Health Organization, n.d.).

### **Social care for the elderly in some ASEAN Countries**

The number of older persons in ASEAN has been rising steadily. This steady growth has also created a dire need for the care of older persons. It is necessary for every state to come up with policies that ensure that the older persons in its population are taken care of. Unlike in the past, with healthcare improvement, life expectancy has increased. Also, it is noteworthy that many people who attain the retirement age of sixty are usually strong and can positively contribute to society if given a chance.

During the 7th ASEAN ministerial meeting of the ministers in charge of Social welfare and development in the ten ASEAN member countries (Seventh ASEAN ministerial Meeting for Social Welfare and Development -7th AMMMSWD), the BRUNEI DARUSSALAM DECLARATION ON STRENGTHENING FAMILY INSTITUTION: CARING FOR THE ELDERLY was adopted on 25th November 2010 in Bandar Seri Begawan, Brunei Darussalam. The declaration noted, among other issues:

- i. The need for ASEAN to focus on the welfare and development of its people, including the vulnerable and disadvantaged groups, as set out in the Cha-am Hua Hin Declaration on the Road map for the ASEAN Community (2009-2015);
- ii. The need to focus on the promotion of the well-being and lives of the citizens of ASEAN countries by ensuring that everyone has fair access to opportunities for development, social welfare, and justice as stipulated in the ASEAN charter;
- iii. The declaration also noted that the increase of older persons in ASEAN had a notable social impact. This challenge that has been rising from an increase in life expectancy has called for social welfare programs to adequately take care of economically poor older persons;
- iv. The declaration further noted the need for ASEAN countries to work hand in hand to care for older persons in their populations.

The 2010 Brunei Darussalam Declaration on Strengthening Family Institution: Caring for the Elderly reads in part:

“DO HEREBY: AGREE to take concerted efforts to promote the quality of life and well-being of the elderly as well as to reduce the social risks faced by the elderly, as follows:

- 2 a) Develop a social support system and encourage the development of education programmes to enhance the abprogramsamilies to take care of the elderly;*
- b) Provide appropriate care and support, including a community volunteer approach and other forms of alternative family and community care arrangements, to the elderly;*
- c) Promote the quality of life of the elderly by creating conditions that enhance their self-reliance and ability to be self-reliancemically active;*
- d) Provide life-long opportunities for individual development, self-fulfillment, and well be itself-fulfillment examples, access to welfare and social services, resources, skills training, lifelong learning, and participation in the community;*
- e) Achieve secure, active, and healthy aging by reducing the incidence of poverty among the elderly;*
- f) Promote quality health care, support, and social protection for the elderly, including preventive and rehabilitative health care;*
- g) Support capacity building of primary health providers, social workers, caregivers, and volunteers in delivering care to the elderly;*
- h) Promote the awareness and ability of the younger generation to live a healthy lifestyle, nurture a life course approach to growing older and respond to the issues relating to ageing;*
- i) Facilitate the conduct and exchange of researches and studies in gerontology and geriatrics; and*
- j) Strengthen inter-sectoral collaboration with the relevant ASEAN bodies and promote closer partnerships with the civil society, private sector, older persons' associations and the elderly themselves, to promote the well-being of the elderly” (ASEAN, 2010).*

The Brunei Darussalam 2010 declaration is evidence that ASEAN is committed to:

- a) sensitizing families on how best to take care of older persons amongst them. Older persons' needs vary, and they become more dependent as they advance in age. It, therefore, is imperative that families are equipped with the requisite knowledge on how to best take care of the older members of their families.
- b) The ASEAN states are committed to providing alternative care to older persons. This commitment involves using community-based volunteers and other forms of care for the elderly as an alternative to family-based care. This means that ASEAN states have acknowledged that family-based care of older persons might be overwhelming to their families, hence the need to step in and offer assistance as and when required.
- c) ASEAN states have recognized that older persons might have relevant skills or knowledge to offer to the community. The states, in acknowledging this, have committed to creating opportunities for older persons to participate in appropriate economic activities and possibly remain self-reliant. This is a recognition that with improved healthcare, more older persons attain retirement while still firm and could be engaged in productive work.
- d) ASEAN states have also noted that retirement should not be a sentence to solitude and poverty. The community has pledged to avail life-long care to the elderly through social welfare. Older



persons tend to be plagued by many health challenges as they fail with age. However, welfare cheques will alleviate this frailty for the remainder of their years. Moreover, some older persons find themselves facing solitude. By committing to creating opportunities for older persons to participate in the community, ASEAN states will ease the burden of solitude that older persons might experience in their sunset years.

- e) Poverty among older persons is a significant headache globally. With failing health due to age, older persons need a lot of support, and financial support is critical at this age. ASEAN countries could give this critical support by creating a reliable social welfare program to support members of their populations as they age. The social welfare programmes could either be contributory based on employer-employee contributions, Self contributions for the self-employed, or state-funded pension schemes. Pensions are a crucial way to support older members of society.
- f) In full recognition of the need for readily available and suitable healthcare for older population members, ASEAN states have committed to availing adequate healthcare to them. Unlike their younger years, older persons have more healthcare needs as their bodies weaken with age. It is a commitment by the ASEAN community to provide adequate preventive and rehabilitative care as they face the inevitable challenge of ailments that arise with the aging process.
- g) ASEAN states are also committed to supporting primary healthcare givers, social workers, and community volunteers who care for the elderly. For this cadre of caregivers to deliver sterling healthcare to the elderly, they need to be empowered sufficiently in terms of knowledge and economic support. ASEAN states have recognized the vital role caregivers play as they dispense their duty of caring for older persons. Hence, they are committed to supporting them in every way possible. With support, the workers will not only be equipped with all the knowledge and skills required to perform their work, but they will also be motivated.
- h) ASEAN states have also realized that line in retirement requires lifelong preparation. As a result, ASEAN has adopted an approach for sensitizing young people on the importance of leading a healthy lifestyle in their younger years in anticipation of age. This is especially important because some lifestyle choices young people make in their youth affect them significantly in their older years. The choices could range from physical health choices to financial health well-being decisions (social welfare contributions). When the youth are sensitized in preparation for old age, they will be less of a burden to the state, for they will have made wise choices in preparation for retirement.

After the 2010 Brunei Declaration, the Department of Older Persons (DOP), Ministry of Social Development and Human Security, Thailand, took the initiative to facilitate follow-up review reports. The report was to show the status of care provision for older persons in the 10 ASEAN countries plus China, Japan, and the Republic of Korea. The College of Population Studies (CPS), Chulalongkorn University, Thailand, was appointed to conduct the two-year research in 2016. The resultant document was “Care for Older Persons in ASEAN+3: The Role of Families and Local and National Support Systems,” launched in 2017. The full report and summarised booklet were launched during the May 14-16, 2017, Bangkok Conference held at the Dusit Thani Hotel. *“At this event, country experts from ASEAN+3 countries presented an initial overview of the current situation of older person care in their respective cocountries. Altogether, 11 countries agreed to participate in this project and one or more rerepresentatives from each country attended. The objective of this conference was to kick off the project and to gather initial information for each participating country on care needs, care provision, the most important issues related to care of older persons, legal circumstances and challenges in conducting research on this topic” (Loichinger & Pothisiri, 2018, p2).*

ASEAN has recorded a change in the age group demographics. Previously, ASEAN countries had a population reflecting high fertility and high mortality, the latter being attributable to, among other things, inadequate healthcare. However, by 2015 the trend had changed significantly to low-fertility coupled with low mortality. As a result, the population demographic in ASEAN is changing from a young population to a rapidly aging population. It has also been noted that increased life expectancy does not necessarily mean that elderly persons are enjoying good health. There are cases where the elderly are suffering from extreme health challenges due to the rise in life expectancy and the infirmities associated with old age. It has also been noted that increased life expectancy does not necessarily mean that elderly persons are enjoying good health. There are cases where the elderly are suffering from extreme health challenges due to the rise in life expectancy and the infirmities associated with old age (Loichinger & Pothisiri, 2018).

Brunei Darussalam has quite a low proportion of its population aged above 60. However, studies show that the percentage is set to rise noticeably by 2050. The current trend shows that the working-age population (the young) is reducing progressively. This means the number of elderly is increasing due to increased life expectancy. The effect of the increased aging population is that Brunei Darussalam (like every other ASEAN country) will have to adjust to cater to the older population by providing appropriate healthcare, housing, and care providers for the elderly. According to the World Health Organization (2016), as cited in Loichinger and Pothisiri (2018), the life expectancy in Brunei Darussalam is 76.3 years (men) and 79.2 years (women). This data shows clearly that women live longer than men in Brunei. *“Statistics have shown that the proportion of older women has risen significantly with women aged 60 years to 79 years comprising 3.3% of the total population while men comprised 3.2%. Further, women aged 80 years and above comprised 0.4% as compared to men who only comprised 0.3% of the total population”* (Department of Statistics, 2016, as cited in Loichinger & Pothisiri, 2018, p.19).

Brunei Darussalam is an Islamic Sultanate. This indicates that for a long time, the primary caregivers for the elderly were the immediate family members because of the close-knit nature of the society. However, this reality has changed over time because of the increased life expectancy juxtaposed with the dropping fertility rate meaning that the number of young adults is reducing. Also, there is an increasing number of widows because women tend to outlive their husbands. In the face of this new challenge, the family, the immediate community, the government itself, Non-governmental organizations, and private sector players remain the primary caregivers for elderly persons.

*“In line with the directions of the Madrid International Plan of Action on Aging, and the Global Strategy and Action Plan on Aging and Health (2016-2020) for active aging, the government carried out a review of the National Plan of Action for Older Persons in 2017”* (Loichinger & Pothisiri, 2018, p. 28).

The government plays a significant role in caring for the elderly in Brunei Darussalam. It helps in financial support to community groups that care for the elderly. Moreover, it provides invaluable support through financing and training professional care providers for the elderly in order to improve their skills and competence. These include organizing workshops on the care of older persons for the members of the Village consultative council through the Ministry of Health and the ministry of culture. Also, in recognition of the critical role played by volunteers in the care of older persons, the government of Brunei Darussalam trains them to care for older persons. The volunteers are also trained on how to train other volunteers who are involved in caring for the elderly. These volunteers are equipped with competencies such as counseling or even caring for older people with dementia.

Furthermore, in acknowledgment of the crucial role played by family caregivers, the government of Brunei is also actively supporting them by facilitating workshops such as Advanced Dementia and Counselling (Loichinger & Pothisiri , 2018).

According to UN estimates, the population of LAO PDR stood at 7,073,016 in 2019. As per 2017 estimates, the number of older persons aged 65 years and above formed 3.89% of the population, with 125,682 males and 151,800 females. Compared to previous data, the number of elderly persons is rising steadily. In 2015 the number of older persons over 65 was 3.9% of the population of LAO PDR; this number is expected to grow, and it's projected that by 2035 older persons over 65 will be an estimated 6.5% of the population of LAO PDR. Also, With increased life expectancy, the older persons in Lao PDR sometimes have to battle with challenges such as losing function resulting from old age, heart disease, stroke, diabetes, and mental health (Phouminidr Bouathep, 2019).

Just like in Brunei, the elderly are revered in LAO PDR. In this society, the elderly are cared for by their families during old age until they die. The elderly play a vital role in the community during social and religious events and even within the local authorities. However, Lao PDR faces challenges concerning the care of older persons. To begin with, LAO PDR's legislation on the care of older persons has some weaknesses, and a comprehensive overhaul is required. In addition, there is a challenge in that there is no sufficient data on challenges associated with aging, such as health conditions, diseases, poverty, and other infirmities borne of old age.

Moreover, LAO PDR has yet to set up a comprehensive mechanism to promote the welfare of the elderly at the sub-national level. At the same time, its community-based health insurance system was only launched recently. Finally, Lao PDR has insufficient social amenities for the elderly (gyms), especially in remote rural areas, and an inadequate number of old-age caregivers, such as community-based volunteers and social workers who can come in and offer assistance on a case-by-case basis. In LAO PDR, the legislation dealing with the elderly is 2004, The National Policy towards the Elderly. This decree, that was endorsed in 2004, covers issues such as medical treatment, rehabilitation, and welfare of the elderly (Phouminidr Bouathep, 2019).

Having noted that Lao PDR does not have a specific law dealing with the needs of the elderly, some recommendations have been made to rectify the situation.

- 1) "Consider creating regulation through law or decree on older persons.
- 2) Renew the national policy for the elderly.
- 3) Formulate a national strategy and action plan for the needs of an aging society.
- 4) Establish a non-contributory minimum social pension for older people who are not covered by the formal social security system.
- 5) Provide non-cash benefits for the older population, such as free health care, housing and transportation.
- 6) Explore different targeting options, e.g., targeting all older adults without formal pensions or targeting only the most vulnerable: those living in poverty, older persons without family support, or those who have a disability." (Loichinger & Pothisiri , 2018).

Malaysia's population could very well be termed a "young country" compared to many other countries globally. However, statistics show this aging holiday is not permanent. It is estimated that the population of Malaysia will comprise 15% of people above 60 years by 2035 (Md Isa et

al., 2022). Older people made up 6.3% of the population of Malaysia by 2000. This population is expected to grow to 4.9 million (12.0%) by 2030. Keyes (2017), cited in Md Isa et al. (2022), notes that Malaysia is now advancing toward becoming an elderly population. With this increase in the elderly population, the country is now pressed towards dealing with the healthcare needs of its older people and providing facilities for the elderly. Malaysia must start planning toward providing and maintaining appropriate facilities for older people.

In cognizance of its aging population, the government of Malaysia has formulated policies aimed at guarding the welfare of the elderly. For example, the National Policy for Older Persons was adopted in 2011. This policy provided guidelines to the relevant government ministries on the elderly. Also, the Malaysian government has instituted social welfare programmes for older citizens, such as institutions to take care of the elderly, offering financial assistance to the elderly, and creation of specially designed activity centers for the elderly whose services include driving the elderly to various places and also proving the elderly with devices that ease their day to day to day life. The government of Malaysia has also adopted an approach of creating shelters (Rumah Seri Kenangan) where elderly citizens who do not have any family or financial support live. *“A report by the Department of Social Welfare (2014) stated that there are 14 government-funded old persons’ homes, known as Rumah Seri Kenangan (RSK) and Rumah Warga Tua (RWT), which offer shelter and protection for 2,553 residents. These homes offer satisfactory care and support in the form of rehabilitative and counseling services for the residents”* (Visvanathan, Zaiton, Sherina, & Muhamad, 2004, as cited in Loichinger & Pothisiri, 2018). The main criterion for admission to older people’s homes is a lack of family support. Then the other criteria include that: One must be a Malaysian Citizen aged 60 and above, One must not have a mental illness, one must be unable to support themselves financially, and one must be free of any contagious disease. There are cases of older persons who have family members to care for them but are extremely poor. They are usually given a form of monthly financial assistance known as Bantuan Orang Tua, totaling to RM300 (Loichinger & Pothisiri, 2018).

## METHODS

The writing of this article was based on a library-based collection of data. It involved collecting information on the aging population in the world, specifically in Vietnam. Data were obtained from United Nations publications (including resolutions), journals, and Vietnamese official government publications.

## RESULTS AND DISCUSSION

### Social- Security

Vietnam’s Social Insurance Scheme would cater to a pension upon retirement. Currently, the social insurance scheme is only mandatory for workers employed by Vietnamese enterprises. Employees employed by other entities participate in the optional social insurance. The downside is that this cadre of employees hasn’t been two pay three times more than those employed by Vietnamese enterprises. Ironically, many employees do not want to pay the nominal contribution for social insurance. This social insurance scheme has only been popularized in the past two decades, which could explain its low uptake. Also, some employees do not participate in the social insur-



ance scheme because they work in far-flung areas, e.g., farmers working in the remote mountainous regions of Vietnam. moreover, for citizens over 75 or 80 years, the Government gives them monthly social allowance irrespective of whether they contributed to the social insurance or not (ASL Law Firm, 2022).

According to Tuan (2016), Vietnam's population is among the fastest aging globally. This situation has brought challenges such as providing social security, a dependable income, and healthcare. With advancing years, many people face the challenge of declining health. This raises a need for costly medical care finances that many older people do not have. In Vietnam, many older people have neither a pension nor health insurance. Therefore, Vietnam needs to broaden its social security net for the elderly.

According to Reardon (2022), poverty among the elderly is a glaring reality in Vietnam. This is a critical social and economic issue considering that Vietnam has one of the highest numbers of the world's older adults. In 2020 the number of older adults rose to 7.9%, up from 4.9% in 1975. in the decade spanning 2009-2019, the number of people over 60 rose by 2%. The World Bank supposes that Vietnam could be the world's fastest-aging population. Reardon (2022) further writes that,

“This aging is due to an increase in life expectancy, which rose by 21.6 years from 1950-1955 to 2010-2015, as well as a decrease in fertility rates in developing countries, from 6.1 children in 1950-1955 to 2.7 children to 2010-2015. By 2050, the percentage of Vietnamese people older than 60 could be one-third of the population, doubling from 11.9 million to 29 million. Among other implications, an aging population in Vietnam could devastate the quality of life for elderly Vietnamese people, especially those already in poverty.”

Also, due to poverty, many older adults work well past retirement age. Citing United Nations data aired on Channel News Asia, Reardon (2022) notes that about 40% of elderly Vietnamese are still working. It is estimated that out of every ten elderly, seven are working in the informal sector. Moreover, the meager money they make from this work is insufficient to cater to all their basic needs. With advancing years, the older adults in Vietnam experience failing health and, consequently, more medical needs. It is noted that about 39.9% of the elderly are poor and need government pensions. However, the pension is limited, and only one out of five people qualify for state support. For any elderly below 80 years to qualify for a state pension, they must show definitive proof of being poor. This lack of sufficient support pushes more older adults into poverty because of the expenses associated with aging. Reardon (2022) also avers that elderly people living in rural Vietnam are more susceptible to poverty than those living in Urban areas. Also, from August 2019- April 2020, the World Bank and the Japanese International Cooperation Agency came together to help Vietnam set up structures for supporting the elderly. The three-phase program was benchmarked on the policies for the care of the elderly in Thailand.

### **Social Care of the Elderly in Vietnamese Law**

The rights of the Elderly in Vietnam are encapsulated in the Law on the Elderly (law no. 39/2009/QH12) of Vietnam, which was adopted on 23/11/2009. Article 2 of the law of the elderly defines the elderly as citizens aged 60 and above. Also, Article 3 of the law on the elderly provides the Rights and obligations of the elderly. Article 3 of the law stipulates that:

The elderly have the following rights:

- a) To be guaranteed basic food, clothing, lodging, movement, and healthcare needs;
- b) To decide to live with their children, and grandchildren or to live separately at their own will;
- c) To be given priority in the use of services under this Law and other relevant laws;
- d) To be provided with conditions to participate in cultural, educational, physical training, sports, entertainment recreation activities;
- e) To be provided with conditions to work in suitability to their health and professions and other conditions to play their role;
- f) To be exempt from contributions to social activities, except voluntary contributions;
- g) To be given priority in the receipt of relief in cash or in kind, healthcare, and lodgings to overcome when they meet with difficulties due to consequences of natural disasters or other force majeure circumstances;
- h) To join the Vietnam Elderly Association under the Association's charter;
- i) Other rights defined by law.

### **Social- care achievements and Challenges in Vietnam**

By 2016 the number of people aged above 65 years was 7% of Vietnam's population. The poverty level among the elderly was high, and 22% of the elderly were among the poor. The Government of Vietnam (in an attempt to compact this worrying trend of poverty, launched reforms targeting the old age pension scheme in 2007. Vietnam passed the law of social insurance and the social pension scheme. Vietnam has a social pension for the elderly. The scheme covers the vulnerable elderly aged between 60-79 years. It is a cover that cushions the elderly within this age bracket who live alone or with elderly spouses without support from their relatives and the disabled. This scheme extends to all the elderly aged above 80 years. The elderly above 80 years who do not receive a pension or monthly social insurance allowance are eligible to apply for a social pension allowance under this scheme. The law supports this pension framework for the Elderly (2009). The law extended coverage of the targeted population. It is, however, noted that there are some gaps, including the legal definition of disability and poverty (United Nations Economic and Social Commission for Asia and the Pacific (ESCAP), 2019).

While addressing the Viet Nam Association of the Elderly on 15th March 2022, the Minister of Labor, Invalids and Social Affairs, Dao Ngoc Dung, said that the number of older adults in Viet Nam is more than 11.47 million people. This number represents 12% of the population of Viet Nam. 7.66 million older adults live in rural areas. Over 500,000 older adults in Viet Nam do not have health insurance Cards. The Ministry has plans to amend the Law on the Elderly by 2024. The intended amendments include lowering the age at which the elderly access social insurance. Also, further amendments will be made to the Law on Social Insurance. The amended law was to be submitted to the National assembly in October 2022.

The minister also noted a need to give the elderly jobs depending on their health and abilities. The minister noted that life expectancy has increased in Viet Nam. The Government has continuously improved the legal framework and policies regarding the elderly in Viet Nam. Also, the state has increased the amount of money the elderly receives as a monthly pension from VND90,000 (US\$3.9) to VND360,000 (US\$15.8) per month. Some pensioners receive above VND 1 million (USD 44) monthly. He also noted a challenge regarding an increase in elderly living alone and a worrying trend of the number of elderly getting abused. The president of the

Viet Nam Association of the Elderly noted that the Party and State paid attention to the welfare of the elderly. Moreover, Viet Nam's prime minister issued decision number 2156/QĐ-TTg operationalizing the National Action Programme for the elderly 2021-2030 on 21st December 2021 (Vietnam Social Security, 2022).

According to Vu, Tran, and Dang (2020), the prime minister of Vietnam had earlier approved the Decision. 1781/QĐ-TTg for the years 2012-2020. The decision aimed at improving the old care persons were receiving, mobilizing care activities for the elderly, and giving the elderly roles to play under the country's socio-economic potential. In 2013, The Ministry of Health included the number of beds for the elderly as a key performance indicator as it worked on improving access to healthcare services. Through circular 2248/BYT-KCB of 2018, the Ministry of health standardized geriatric departments at Viet Nam's provincial hospitals. This is in line with the Ministry's response to the rising need for health care among the elderly. Unlike some Asian countries like Japan and Malaysia, Viet Nam does not have longitudinal data on its elderly population. Also, Viet Nam needs to establish a framework for collecting scientific data to track the health and health care for the elderly. "The Longitudinal Study of Ageing and Health in Viet Nam (LSAHV) is expected to establish baseline data and succeeding data on OPs. Data from the LSAHV will allow a comparison between Viet Nam and other ASEAN and aging societies to gain an understanding of the health status of OPs. Comparing aging studies will help each country learn about the successes and failures of policies and programs for OPs" (Smith, 2012, p4 cited in Vu, Tran & Dang, 2020).

According to the Vietnam National Committee on Aging (2019), the Ageing population in Viet Nam has reached a critical point, directly impacting the nation's economy. In Viet Nam, fertility levels have been falling steadily since the mid-1960s. Until the 1960s, the Total Fertility Rate (TFR) -the number of children born to a particular woman in her fertile years (15-49 years) was an average of 6-7 children. As a result of concerted family planning campaigns and more women getting educated, the total fertility rate has been dropping. With improved healthcare services in Viet Nam, the mortality rate had fallen with life expectancy rising.

The government must mobilize resources to ensure the elderly continue living active and healthy lives. Elderly persons are defined as those aged above 60. The aging population impacts all members of the nation, and the Government should develop policies that take care of not only the elderly but also younger members of the population. Currently, Vietnam's policy is geared towards the welfare of the elderly while neglecting the younger members. On December 31, 2017, the Government passed resolution No. 137/NQ-CP on the Government's Program of Action for implementing Resolution No.21-NQ/TW of 25 October 2017. "... there is a need to undertake specific tasks such as drafting the Law on Population; promulgating the amendments and supplements to the Law on the Elderly; and developing the national program on older people to 2030 and the project on health care for older people to 2030 to submit to the National Assembly and the Government in 2019-2020 (Vietnam National Committee on Aging, 2019).

The elderly have some age-related challenges in Viet Nam. The first significant challenge is Financial security. By 2016 the number of elderly persons living in abject poverty was increasing with age. "According to VNAS 2011 (ISMS, 2011), the most important source of income for older persons remains assistance provided by their offspring (32 percent). This is followed by employment income (29 percent), pensions (16 percent), and monthly stipends from the Government (9 percent). Savings and support from partners and friends account for the remaining 14 percent of the income of older persons"(Vietnam National Committee on Aging, 2019).

Presently Viet Nam has two ways of supporting its older population. There is also social insurance (this pension is based on contributions) and Social assistance (non-contributory pension). By 2016 the number of elderly persons receiving contributory pensions was less than 20%. The average pension was a 3.4 Million VND for private sector pensioners and 4.26 million VND for government pensioners. Also, by 2016 only 21.3% of employees in Viet Nam were contributing to a pension scheme. This scenario means that quite many older adults will retire without a contributory pension. As a result, their care will burden the country's budget. In Vietnam, the average pensioner receives pensions for 24.1 years. The combined factors of early retirement and increased life expectancy are straining social insurance funds. The state also pays a social allowance to older persons living alone or those in extremely poor homes and the elderly over 80 years who do not have a pension or any other support. By 2016 among the 60-79 age bracket, only 0.95% were on a pension, while among those over 80 years, 16% received a social allowance. The allowances might not be much, but the beneficiaries are glad to receive them. Towards the end of 2017, 1.57 million elderly persons received a social allowance. On the same note, 1.4 million elderly were benefiting from the war merit support given to war veterans (Vietnam National Committee on Aging, 2019).

According to Viet Nam National Committee on aging (2019), the population's health has increased noticeably in Viet Nam. The same is reflected in the increased life expectancy. However, the health system has not been adapting fast enough to deal with concerns related to an aging population sufficiently. In 2016, the number of senior departments in provincial and central hospitals was 50, and 302 geriatric clinics. The waiting time for treatment is usually long. There are inadequate routine health exams and insufficient guidance on healthy aging at the local level.

Regarding Social Care which covers medical services and social support, by 2011, about 1.5 million Vietnamese needed assistance in activities of daily living like eating, grooming, etc. Data projected that in 2019 the number of older adults in need of support in activities of daily living would rise to 4 million and nearly 10 million by 2049. In Vietnam, the government presently runs social protection centers, social houses, and some community-based voluntary care. Those who qualify for care within such centers are beneficiaries of the social assistance scheme—mainly older persons who live alone. The care centers are home to about 10,000 elderly persons. The challenge is that a very high number of older adults need social care, but they cannot access it because they live in communities where it is non-existent. Vietnam is yet to create a network of qualified caregivers to give direct services to senior citizens in hospitals and at their homes (Viet Nam National Committee on Aging, 2019).

Regarding appropriate Living arrangements, many elderly persons continue to live with their families. By 2017, there were 427 centers taking care of elderly persons, those with disabilities, and orphans. Out of these, there were 20 private centers. The centers are expensive, charging between 400-1000 USD/month. The Government also finances social institutions, but they only admit lonely older adults with no families. By 2017, more than 10,000 elderly persons were living in private and state-funded care centers. There are also some pagodas and churches that take care of the elderly. The state is encouraging the construction of more privately-owned care homes by granting tax breaks and even construction loans (Viet Nam National Committee on Aging, 2019).

The state is also working on creating an enabling environment for the elderly. The enabling environment means the elderly have access to conducive housing, appropriate infrastructure design, affordable housing, etc. Social institutions and the state have been working on ensuring the elderly live in decent houses. Recent data shows that only 0.45% of the elderly in Vietnam live in poor houses. The state is promoting the creation of an appropriate environment for the social and physical well-being

of the elderly. The Law on the Elderly stipulates that senior citizens should receive discounts on public transport, participate in cultural activities, sporting meets, and access public facilities. The Government of Viet Nam on 2018 passed Decision No. 691/QĐ-TTg on the framework for the 2018-2020 rural program. It deals with ways of improving infrastructure, dealing with the main challenges, and solving pressing social challenges (Viet Nam National Committee on Aging, 2019).

The Government of Viet Nam is also mindful of the challenges regarding the loneliness and isolation that elderly persons sometimes go through. As the elderly advance in age, their health starts declining, and it hampers their movement. One way the state assists on this front is to encourage the elderly to form Older People Associations (OPA). These community-based organizations for older people help in improving their well-being. The Viet Nam Association of the Elderly, which was formed in 1995, has been overseeing OPAs. More than an estimated 2.5 million elderly persons take part in activities meant for the elderly.

## CONCLUSION

The article shows that Vietnam has a robust care system for the elderly. However, there are still gaps that need to be addressed. There is a high number of elderly who do not benefit from social assistance. Also, the 80 years required to qualify for social assistance is quite high and should be reviewed.

It is recommended that

- (i) Viet Nam should increase the amount of money it gives the elderly through pensions.
- (ii) The age of 80 years requirement for one to qualify for social assistance is too high and should be lowered.
- (iii) The Government should invest more in creating departments that deal with the elderly in state-owned hospitals
- (iv) The Government should also build more care homes to care for lonely older adults.

## Declaration

The authors report there are no competing interests to declare.

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# Capacitar a los empobrecidos: desarrollo de capacidades y reducción de la pobreza en las comunidades Khmer de Tra Vinh

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**Resumen.** La pobreza sigue siendo un importante motivo de preocupación en numerosos países de todo el mundo, y en Vietnam persiste, sobre todo entre las minorías étnicas. Este estudio explora los factores que influyen en la pobreza de las minorías étnicas del distrito de Tra Cu, provincia de Tra Vinh, en el delta del Mekong vietnamita, utilizando la teoría del enfoque basado en las capacidades de Amartya Sen, un enfoque multidimensional de la pobreza y el marco de medios de vida sostenibles del DFID. Se realizaron revisiones teóricas para comprender las teorías relacionadas con la pobreza. La investigación emplea un método cuantitativo, analizando los datos de 420 participantes mediante cuestionarios. Se utilizó el SPSS 25.0 para obtener el alfa de Cronbach, el análisis factorial exploratorio (AFE) y los resultados del modelo de regresión lineal. Los resultados indican que las deficiencias en la capacidad de vida, la capacidad de producción y la capacidad de desarrollo contribuyen a la pobreza de las minorías étnicas en el distrito de Tra Cu, provincia de Tra Vinh. En particular, la capacidad de desarrollo ejerce la influencia más significativa en la pobreza de los hogares, seguida de la capacidad de vida y la capacidad de producción. A partir de estos resultados, se proponen recomendaciones para ayudar a los hogares empobrecidos a lograr una reducción sostenible de la pobreza.

**Palabras clave:** etnia jemer, alivio de la pobreza, soluciones, enfoque de capacidades, Vietnam.

## Empowering the impoverished: capacity building and poverty reduction in Tra Vinh's Khmer communities

**Abstract.** Poverty remains a significant concern in numerous countries worldwide, and within Vietnam, it persists, particularly among ethnic minorities. This study explores the factors influencing the poverty of ethnic minorities in Tra Cu District, Tra Vinh Province, Vietnamese Mekong Delta, utilizing Amartya Sen's capability approach theory, a multidimensional poverty approach, and the DFID's framework of sustainable livelihoods. Theoretical reviews were conducted to comprehend poverty-related theories. The research employs a quantitative method, analyzing data from 420 participants through questionnaires. SPSS 25.0 was utilized for Cronbach's Alpha, Exploratory Factor Analysis (EFA), and Linear Regression model results. Findings indicate that deficiencies in living capability, production capability, and development capability contribute to the poverty of ethnic minorities in Tra Cu District, Tra Vinh province. Notably, development capability exerts the most significant influence on household poverty, followed by living capability and production capability. Based on these findings, recommendations are proposed to assist impoverished households in achieving sustainable poverty reduction.

**Keywords:** Khmer ethnic, poverty alleviation, solutions, capability approach, Vietnam.

### INTRODUCTION

Poverty represents a formidable impediment to individual, communal, and national development. The underprivileged often encounter restricted access to critical social services, including employment, education, healthcare, and information, hindering their prospects of breaking free from the shackles of poverty. As elucidated by the World Bank, poverty is not merely defined by low income and consumption but also encompasses aspects such as low educational attainment, compromised health, inadequate access to fundamental services, and precarious living conditions (World Bank, 2018).

Education emerges as a pivotal determinant of development opportunities, as underscored by Tierney, who highlighted the constrained developmental prospects of those with limited educational access (Tierney, 2015). Nations grappling with suboptimal education systems encounter challenges in sourcing an adept workforce. A distressing surge in global poverty, exacerbated by the Covid-19 pandemic-induced economic downturn, saw the number of individuals living in extreme poverty rise to an estimated 50 million between 2019 and 2020 (Development Initiatives, 2021). As of 2021, an alarming 698 million people, constituting 9% of the global population, subsisted on less than 1.9 USD per day (Development Initiatives, 2021).

The etiology of poverty is diverse, encompassing both objective factors such as deficient infrastructure, climatic complexities, and subjective elements including lack of knowledge, inadequate investment, low educational attainment, disease, and compromised health. Alex attributes poverty in Africa to the limited ability of the impoverished to influence social processes, public policy, and resource allocation, coupled with restricted access to essential skills, knowledge, education, and

personal development (Alex, 2014). Factors contributing to poverty in Nepal, as outlined by Prasad Acharya et al, include inadequate human capital, absence of remittances, large family sizes, absence of land ownership, and restricted access to nearby markets (Prasad Acharya et al., 2022).

Localized studies, such as Huynh's (2011) exploration of non-agricultural households in Duc Hoa District, Long An province, identified average education levels, limited access to credit sources, and the duration of schooling as prime factors influencing poverty and low income (Huynh, 2011). Vien's (2012) investigation into farmers in Tan Hiep District, Kien Giang province, identified variables such as the number of household laborers, farming land area, attendance at agricultural extension sessions, road accessibility, total capital, and water access as determinants of low income (Vien, 2012). Truong (2013) delved into the causes of low income in border communes in Tay Ninh province, pointing to household occupation, work experience, education levels, household labor numbers, dependency ratios, farming land area, income-generating activities, and access to credit as pivotal factors (Truong, 2013).

The capability approach, as advocated by Hong Ha Nguyen (2017) and Diep Thanh Tung (2017), emerges as a potent strategy for empowering the impoverished to break free from the shackles of poverty. Recommendations include organizing vocational training courses, formulating targeted credit policies, developing specialized infrastructure, promoting cultural and religious structures, and enhancing healthcare facilities (Hong Ha Nguyen, 2017; Tung, 2018). While Vietnam has made strides in poverty reduction, certain regions, including Tra Vinh province, continue to grapple with persistent poverty. Tra Vinh, a province in the Vietnamese Mekong Delta, is characterized by a substantial Khmer ethnic population, constituting 31.5% of the provincial populace (Nguyen & Phuoc, 2010). Notwithstanding concentrated efforts in socio-economic development and poverty alleviation, Tra Vinh Province still harbors areas facing enduring poverty challenges. At the close of 2019, Tra Vinh Province housed 9,214 impoverished households, representing 3.22% of the total households (H. H. Nguyen & Kien, 2022). By the conclusion of 2020, Tra Vinh Province retained Tra Cu District as its sole impoverished District, with two extremely challenged communes in coastal and island regions (Bich Nguyen, 2021). In response to this persisting challenge, this research aims to identify the factors influencing poverty among ethnic minorities in Tra Cu District, Tra Vinh province, it points out the specific methods and lessons for improving the capacity of Khmer poor people in the poverty reduction policy, effective countermeasures to improve these capabilities. Utilizing the capacity approach, the study endeavors to propose sustainable poverty alleviation solutions.

## THEORETICAL REVIEW

### **Amartya Sen's capability approach theory**

Amartya Sen's Capability Approach delves into the concept of capability as the amalgamation of the ability to perform functions or achieve goals. Essentially, capability signifies the real freedom individuals possess to impart meaning to their lives. It refers to the array of valuable functions that an individual can effectively access, representing their effective freedom to choose different combinations of functions or ways of life that they value (Hick, 2012). This broad concept encompasses an individual's ability or strength to accomplish specific functions. Sen posits that this capacity constitutes human freedom, manifesting as real opportunities for well-being, and reflecting the freedom

to lead one type of life over another. He emphasizes the multifaceted nature of human capacities, extending beyond a singular dimension, allowing a focus on various functional aspects of life such as literacy, health, or political freedom.

Sen argues that evaluating people should center on their capacity to live well, rather than solely on material wealth or happiness. Human development, according to Sen, involves expanding people's capacity to choose. In this context, poverty signifies the exclusion of fundamental opportunities and options for human development. Basic elements of human development, such as a long, healthy, and active life, good living conditions, freedom, decency, confidence, and respect from others, are considered essential. Poverty, in Sen's view, extends beyond the mere lack of essential conditions for material life; it encompasses the deprivation of basic capabilities. Premature death, severe malnutrition, persistent diseases, illiteracy, and other vulnerabilities reflect this deprivation. Sen crucially distinguishes between poverty as a lack of capacity (capacity poverty) and poverty in terms of low income (income poverty), contending that these two perspectives are interconnected.

### **Multidimensional Poverty Approach**

As defined by the United Nations, poverty is the inadequacy of minimum capacity to participate effectively in social activities (David, 2005). It extends beyond material insufficiencies to include aspects such as insufficient food, clothing, education, medical care, land for cultivation, and employment opportunities. Poverty encompasses insecurity, lack of rights, exclusion, vulnerability to violence, living in precarious conditions, and lacking access to clean water and sanitation.

Multidimensional poverty is evaluated through both income and non-income criteria. Concerns related to malnutrition, illiteracy, disease, unhappiness, and despair contribute to the concept of multidimensional poverty. Lack of economic participation and a voice in society or politics can lead to exclusion, preventing individuals from enjoying the benefits of socio-economic development. Multidimensional poverty, indicated by a lack of basic social services, is measured by the international Multidimensional Poverty Index, encompassing health, education, and living conditions. This index complements traditional income-based poverty measurements.

There is a broad consensus among countries, politicians, and scholars that poverty is a multidimensional phenomenon, indicating an insufficiency or unsatisfactory level of basic human needs. Multidimensional poverty represents a state in which individuals fail to meet at least their fundamental life needs.

### **DFID's framework of sustainable livelihoods**

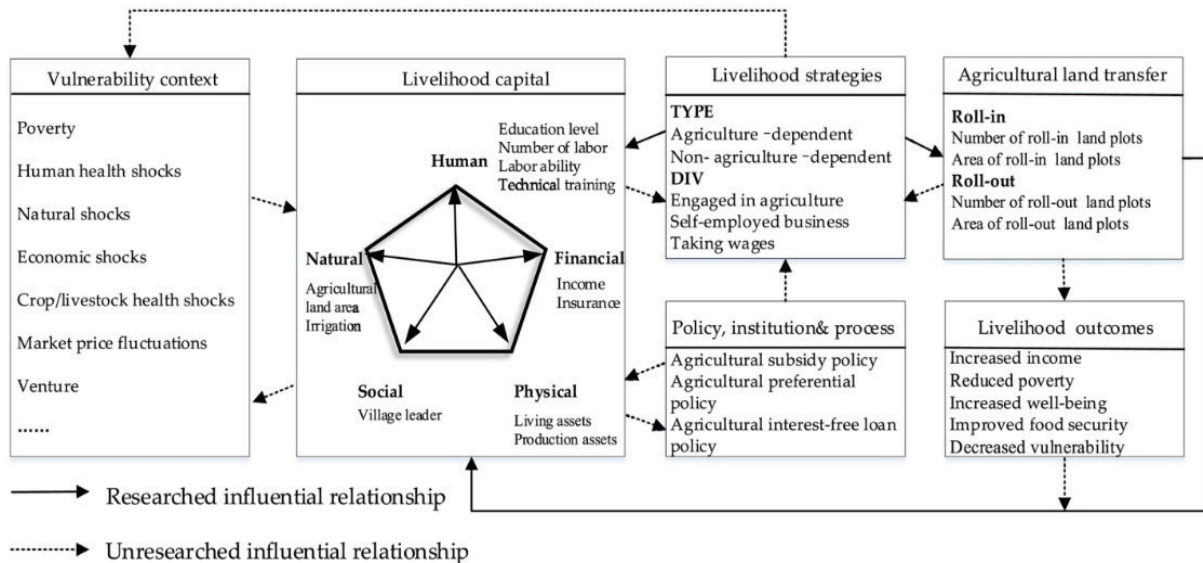
The concept of livelihood has been a central concern for forums and scholars globally, providing foundational principles to address issues such as hunger eradication, poverty reduction, job creation, and the improvement of living standards. The United Kingdom Department for International Development (DFID) defines livelihood as encompassing "the capabilities, resources, and activities necessary for a means of living for people" (Department for International Development (DFID), 1999). It signifies the integration of natural, economic, social, and cultural resources held by individuals, households, or social groups. These resources can either generate income to enhance material living standards or be exchanged to meet diverse life needs. Chambers and Conway describe livelihood as inclusive of the capabilities, resources, and activities essential for an individual's means of living (Chambers & Conway, 1992).



The DFID's framework of sustainable livelihoods, detailed in the "Sustainable Livelihoods Guidance Sheets" published in 1999, aims to promote policies and actions for sustainability and poverty reduction (Department for International Development (DFID), 1999). The key components of this analytical framework can be summarized as follows:

Firstly, the livelihood framework considers factors that directly impact livelihoods, encompassing: 1) the priorities individuals recognize in the process of livelihood development; 2) the livelihood strategies they choose to pursue those priorities; 3) the institutions, policies, and socio-political organizations crucial for their access to assets or opportunities and for the resulting livelihood outcomes; 4) the livelihood approaches of individuals and households towards the five types of capital and their effective utilization of all capital types; 5) living conditions, which include economic, technological, demographic trends, shocks, and seasonal variations (Ashley & Carney, 1999).

**Figure 1.** DFID's framework of sustainable livelihoods  
(Department for International Development (DFID), 1999)



Secondly, the livelihood analysis framework consistently places people and their livelihoods at the center of livelihood development, emphasizing their pivotal role in the development process.

Thirdly, the livelihoods framework recognizes that policies, institutions, and processes significantly impact access to and utilization of assets, thereby influencing livelihoods. Moreover, the framework of sustainable livelihoods analysis is considered a comprehensive approach in the examination of livelihoods and sustainable livelihoods development. It emphasizes that people do not exist in isolation within an area or community. Studies have underscored the necessity to identify livelihood development opportunities and limitations related to livelihoods from multiple perspectives, including region, level, and sector. This involves applying livelihood analysis across regions, sectors, social groups, and families to understand the diverse factors affecting people, recognize the multitude of strategies employed to secure their livelihoods, and understand the various outcomes they pursue.

Fourth, people's livelihoods are analyzed concerning land ownership and access to capital or capital assets. The household livelihood analysis framework revolves around two central concepts. First, the concept of livelihood is often understood and used in different ways and at different levels. Second, the concept of "capital" for livelihood is crucial. The Sustainable Livelihoods Analytical Framework posits that people utilize various types of household livelihood capital to make a living. Theoretical research suggests that individuals rely on five types of capital assets—or forms of capital—to ensure livelihood security, reduce poverty, and eradicate poverty. These include physical capital, financial capital, social capital, human capital, and natural capital. These types of capital represent both inputs and outputs in the household livelihood development process.

Finally, the sustainable livelihoods framework exhibits both strengths and weaknesses. In terms of strengths, Caroline Moser has summarized three main points: 1) A person-centered approach transforms the household livelihood framework, incorporating diverse groups' participation in the livelihood development process; 2) The cross-sectoral focus allows livelihood users to address all policy issues relevant to the poor in each sector, covering access to livelihoods, financial services, markets, labor, fair employment opportunities, and personal security; 3) An interdisciplinary approach recognizes multiple social entities with different sources of income, challenging the assumption that rural residents are exclusively farmers (Moser & Dani, 2008). However, the household livelihood framework also faces weaknesses, notably: 1) At the organizational level, the framework's emphasis on multiple domains makes its application more challenging; 2) At the political level, the livelihood analysis framework has not received due attention, neglecting gender, political, market relations, and factors affecting sustainable livelihoods; 3) In practice, the household livelihood framework struggles to effectively explain the connection between micro and macro levels, where people use different types of capital to earn a living and escape poverty.

## METHODOLOGY

The research aims to investigate the impact of living capacity, production capacity, and development capacity on the poverty of impoverished households in Tra Cu District, Tra Vinh Province, Vietnam. Subsequently, the study proposes solutions to alleviate poverty in these households.

The participant pool comprised 420 Khmer households, representing the most economically challenged households across five communes (Tan Hiep, Ham Giang, Ngai Xuyen, Kim Son, and An Huu Quang) in Tra Cu District, Tra Vinh Province. The researcher employed a convenient sampling method to collect data. A questionnaire, utilizing a five-point Likert scale (ranging from 1 for strongly disagree to 5 for strongly agree), was directly distributed to the participants. The questionnaire comprised 19 scales categorized into three groups of independent variables (living capability, production capability, and development capability) and one group of dependent variables (causes of poverty).

Upon data collection, a quantitative method was applied to analyze the gathered results using SPSS ver 25. Cronbach's Alpha reliability and the exploratory factor analysis (EFA) method were employed to assess the scales. According to Peterson, a scale is deemed acceptable and well-evaluated if it satisfies two concurrent conditions: Firstly, the overall Cronbach's Alpha coefficient must exceed 0.7. Secondly, the corrected item-total correlation, representing the correlation coefficient through total variables, should be greater than 0.3 (Peterson, 1994).

Furthermore, a Linear Regression Model was utilized to investigate the impact of independent variables on the poverty status of Khmer households in Tra Cu District, Tra Vinh Province.

**TABLE 1.** Research Methodology

Classification	Item
Target	Poor households in Tra Cu District, Tra Vinh Province.
Sampling procedure	Convenient sampling method.
Sample size	420.
Questionnaire	Likert scale, directly survey.
Quantitative method	Cronbach's Alpha coefficient > 0.7. EFA > 0.3. Linear Regression Model: check correlation between independent variables and dependent variable.

## RESULTS AND DISCUSSIONS

Out of the 420 questionnaire papers distributed, 403 were deemed valid, with the remaining considered invalid. The research results are outlined below:

### *Validity Verification of Scale (Exploratory Factor Analysis)*

Table 2 illustrates that the Cronbach's Alpha values for all scales of independent variables exceeded 0.80, satisfying the research requirements. All independent variables were deemed suitable for inclusion in the rotation matrix analysis.

**TABLE 2.** Validity Verification of Scale (Independent variables).

		Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
LC	LC1	11.4690	11.280	.827	.863	.864
	LC2	11.6476	11.866	.805	.820	.870
	LC3	11.9429	12.099	.838	.908	.862
	LC4	11.9801	11.010	.856	.930	.856
PC	PC1	25.0819	23.304	.815	.928	.875
	PC2	25.1315	23.110	.834	.951	.873
	PC3	24.9752	24.557	.872	.964	.869
	PC4	24.8859	25.320	.847	.952	.871
	PC5	24.7692	25.815	.826	.930	.872
	PC6	24.8859	26.678	.824	.921	.874
	PC7	24.6725	27.261	.791	.883	.876

**TABLE 2. Continuación**

		Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
DC	DC1	15.1960	15.909	.855	.923	.850
	DC2	15.8437	16.286	.803	.882	.860
	DC3	15.2804	17.541	.856	.932	.848
	DC4	15.1563	17.784	.846	.933	.850
	DC5	14.8610	21.020	.742	.776	.861

Note: LC: Living capability; PC: Production capability; DC: Development capability.

Table 3 further verifies the validity of the scale for the dependent variable, indicating that all Cronbach's Alpha coefficients for the scales exceeded 0.8, surpassing the threshold of 0.70. Additionally, all scales exhibited Correlated Item-Total Correlation greater than 0.3, qualifying them for inclusion in the matrix rotation analysis.

**TABLE 3. Validity Verification of Scale (Dependent variable).**

		Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
COP	COP1	8.3871	1.531	.904	.832	.834
	COP2	8.4442	1.879	.842	.769	.896
	COP3	8.1216	1.629	.798	.660	.920

Note: COP: The causes of poverty.

***Factors Analysis on Factors Affecting***

**TABLE 4. KMO and Bartlett's Test.**

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.751
Bartlett's Test of Sphericity	Approx. Chi-Square	15948.659
	df	120
	Sig.	.000

KMO, measuring the suitability of factors analysis, yielded a value of 0.751, surpassing the acceptable threshold of 0.5. The Bartlett sphericity verification (df = 91, sig. = 0.000) confirmed the appropriateness of factors analysis.

**TABLE 5.** Total Variance Explained

Initial Eigenvalues			Extraction Sums of Squared Loadings		
Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
14.059	67.871	67.871	14.059	67.871	87.871
6.225	25.444	93.315	6.225	25.444	93.315
1.409	2.071	95.386	1.409	2.071	95.386

**TABLE 6.** Rotated Component Matrix<sup>a</sup>

	Component		
	1	2	3
PC2	.861		
PC4	.854		
PC1	.822		
PC5	.820		
PC3	.814		
PC6	.806		
PC7	.772		
DC2		.835	
DC4		.794	
DC1		.761	
DC3		.756	
DC5		.750	
LC1			.811
LC3			.791
LC2			.761
LC4			.622

Extraction Method: Principal Component Analysis.  
 Rotation Method: Varimax with Kaiser Normalization.

<sup>a</sup>Rotation converged in 6 iterations.

Table 5 reveals three factors with eigenvalues greater than 1.0, explaining a total variance of 95.386%. The rotation matrix categorizes the 16 scales into three groups of factors affecting poverty (Table 6).



**Regression Model**

**TABLE 7.** Model Summary<sup>b</sup>

R	R Square	Adjusted R Square	Std. Error of the Estimate	Durbin-Watson
.841 <sup>a</sup>	.707	.705	.19440	1.983

<sup>a</sup>Predictors: (Constant), Development capability, Production capability, Living capability.

<sup>b</sup>Dependent Variable: The causes of poverty.

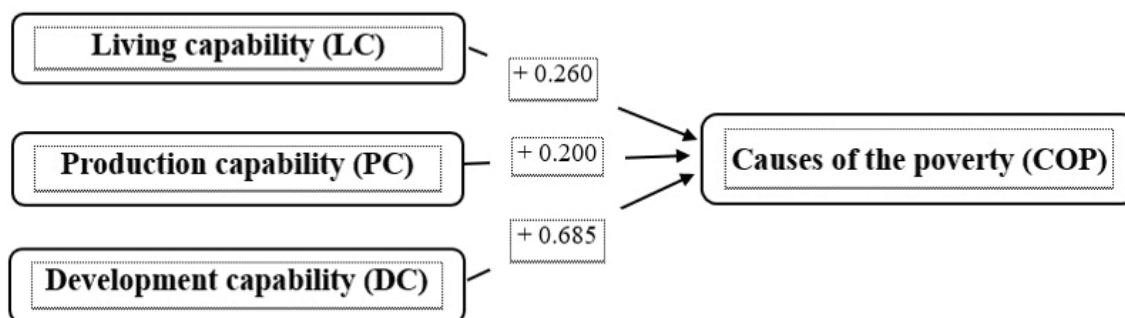
**TABLE 8.** Coefficient<sup>a</sup>

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
1 (Constant)	1.748	.197		8.890	.000
Living capability	.146	.058	.260	2.536	.012
Production capability	.152	.039	.200	3.886	.000
Development capability	.416	.074	.685	8.293	.000

The regression model aimed to unveil the relationship between independent and dependent variables. Table 8 shows that three independent variables—Development capacity (DC), Living capability (LC), and Production capability (PC)—positively and significantly influence the poverty of poor households. Development Capacity exerted the strongest influence (Beta coefficient adjusted by 0.685), followed by Living Capability (Beta coefficient adjusted by 0.260) and Production Capability (Beta coefficient adjusted by 0.200). The regression equation illustrating the poverty of poor households in Tra Cu District is presented as follows:

$$COP=0.685*DC+0.260*LC+0.200*PC$$

**CHART 1.** The Research Result



## DISCUSSIONS

Quantitative results from the questionnaire indicate a positive correlation between Living Capability (LC), Production Capability (PC), Development Capability (DC), and the poverty of poor households in Tra Cu district, Tra Vinh Province. The lack of these capabilities contributes to poverty. Development capacity demonstrated the most substantial influence on poverty (Beta coefficient  $B=0.685$ ), followed by Living capability ( $B=0.260$ ) and Production capability ( $B=0.200$ ). Living capability encompasses factors such as house size, housing structure, transport infrastructure, health care, and drinking water. Production capability includes arable land, mechanization level, agricultural knowledge, resilience to natural disasters, and occupational capability. Development capacity involves demographics, educational attainment, language proficiency, access to information, self-reliance, community participation, and motivation to escape poverty.

This aligns with existing studies by Nguyen Quang Tuyen and Nguyen Thi Ngoc Mai (Q. T. Nguyen & Nguyen, 2016), Negash, Etsay, and Aregay (Negash et al., 2019), Hong Ha Nguyen (Hong Ha Nguyen, 2017), Ha Hong Nguyen and Nhan Van Nguyen (H. H. Nguyen & Nguyen, 2019), and Le Dinh Hai and Nguyen Lan Huong (Hai & Huong, 2022). Trani et al emphasize health, education, employment, material well-being, social participation, psychological well-being, and physical security as dimensions of poverty. Lack of access to health care and education, unemployment, and insecurity contribute to poverty (Trani et al., 2015). Akona suggests a positive relationship between household size and poverty, a component of Living capability (Akona, 2014). Borko includes factors like land size, access to credit, and market access in Production and Development capability, all negatively associated with poverty and he mentions land shortage, soil fertility, market access, and off-farm employment opportunities as dimensions of poverty (Borko, 2017).

## CONCLUSION

This research adopts a multidimensional approach to understanding poverty, considering various aspects affecting households, such as land scarcity, limited healthcare access, inadequate education, insufficient transportation, lacking infrastructure, and restricted capital access. The study incorporates Amartya Sen's capability approach, focusing on living capability, production capability, and development capability. The primary objectives were to identify factors influencing poverty in Tra Cu District, Tra Vinh Province, and propose solutions for sustainable poverty alleviation. The findings reveal a positive relationship between living capability, production capability, development capability, and poverty. Development capability emerges as the most influential, followed by living capability and production capability.

Given word and time constraints, the research primarily relied on questionnaires as the research instrument, targeting households in Tra Cu District, Tra Vinh Province. Future research could enhance the methodology by incorporating interviews and secondary research, expanding the sample size to include households from other Districts in Tra Vinh Province. Recognizing potential psychological impacts on questionnaire responses is essential for ensuring data accuracy.

## RECOMMENDATIONS

To facilitate sustainable poverty reduction, several recommendations are proposed:

Firstly, it is necessary to have separate policies for each group of poor/near-poor households suitable to the circumstances of the household and each specific location. The State needs to review and classify groups of poor/near-poor households according to their ability to escape poverty in order to have appropriate support measures. For example, households that are not or are unlikely to be able to escape poverty, such as those who are unable to work due to illness or old age, need to strengthen policies for “fish”. On the contrary, households with working capacity need to support “fishing rods” such as loan support for production development, vocational training in accordance with market requirements, etc. It is necessary to limit cash policy support. Households that are not chronically poor need to clearly define the duration, route of support and support conditions to avoid dependence.

Second, it is necessary to review and adjust the implementation of credit policies to ensure that the program achieves its goals. Although credit policy plays an important role in the state’s poverty reduction, there are still many limitations. The State needs to assess and categorize borrowers in a clear and transparent manner and clearly grasp the borrowing purposes of households. Loan sources should be diversified with many different borrowing and repayment methods, considering the increased loan term and level in accordance with the household’s borrowing needs and purposes. At the same time, it is necessary to give more autonomy to households receiving credit support. Besides, it is necessary to have a mechanism to closely monitor the purposes of using loans of households and to handle cases of improper use of loans.

Third, it is necessary to develop criteria for assessing poor households/out of poverty in the direction of multidimensional poverty approach to properly identify the status of households. The state should be more flexibility in formulating criteria for selecting poor households/out of poverty suitable to the locality. It is necessary to base on the situation of the locality, to develop appropriate criteria to evaluate households, for areas with high living standards, it is necessary to raise the poverty line, towards building a multidimensional poverty line related to aspects such as health, education, housing, market access, etc.

Fourth, there should be policies to encourage investment to create more off-farm jobs to help diversify income sources for people. Local governments need to have policies to encourage investment or support local small businesses to expand production to diversify jobs, associated with stable income from available resources and the characteristics of each locality. Accordingly, households with little land or those with abandoned fields link together and apply the model of growing clean vegetables to export to foreign countries.

Fifth, the policy of subsidizing education does not stop at tuition fee exemption or reduction for poor/near-poor households. Investment in education is an opportunity to help the poor improve their lives and raise their incomes. Therefore, the education subsidy policy needs to expand more support, create conditions for children to go to school such as subsidizing part of the cost of school supplies, scholarships for poor students who overcome difficulties with a large number and higher value. At the same time, it is necessary to propagate in the direction of helping poor households realize the long-term benefits of education, encouraging households to send their children to school.

In conclusion, implementing these recommendations requires a collaborative effort between the government, local authorities, and communities, emphasizing flexibility and adaptability to address the unique challenges faced by households in Tra Cu District and similar regions.

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# Perspectivas teóricas de la intervención psicosocial: aplicaciones en niños, niñas y adolescentes en situación de calle

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**Resumen.** El objetivo de este ensayo es analizar la relación entre la Teoría Psicosocial de Erickson, la Teoría Ecológica de Bronfenbrenner y el quehacer del trabajador social, al momento de diseñar y desarrollar una intervención social para atender casos de niños, niñas y adolescentes en situación de calle. La metodología es documental, siguiendo a Hernández S, et al. (2021), usando fuentes documentales primarias y originales, considerando los resultados de las investigaciones de las autoras; así como, fuentes documentales secundarias, impresas y electrónicas. El proceso de análisis implicó, elaborar una tesis motivadora, descubriendo la antítesis del planteamiento y ofreciendo una síntesis. Esta se sistematiza aquí brindando algunos criterios para desarrollar la necesaria fundamentación, que proporcione una base conceptual y teórica focalizada en los aspectos psicosociales, para comprender y abordar el fenómeno de los niños, niñas y adolescentes en situación de calle, incluyéndose definiciones básicas, sus representantes, teorías y métodos. Luego de esta síntesis, se cierra con unas reflexiones, cumpliendo con el objetivo del ensayo al haber analizado la relación entre las teorías mencionadas y el quehacer profesional del trabajador social, al momento de diseñar y desarrollar una intervención social para atender casos de niños, niñas y adolescentes en situación de calle.

**Palabras clave:** Teoría Psicosocial de Erickson, Teoría Ecológica de Bronfenbrenner,  
Intervención Psicosocial, Trabajo Social, Niños, Niñas y Adolescentes.

## **Theoretical perspectives of psychosocial intervention: applications in boys, girls and adolescents in the street situation**

**Abstract:** The objective of this essay is to analyze the relationship between Erickson's Psychosocial Theory, Bronfenbrenner's Ecological Theory and the work of the social worker, when designing and developing a social intervention to attend to cases of children and adolescents in street situations. The methodology is documentary, following Hernández S, et al. (2021), using primary and original documentary sources, considering the results of the authors' research; as well as secondary documentary sources, printed and electronic. The analysis process involved developing a motivating thesis, discovering the antithesis of the approach and offering a synthesis: This is systematized here, providing some criteria to develop the necessary foundation, which provides a conceptual and theoretical basis focused on psychosocial aspects, to understand and address the phenomenon of street children and adolescents, including basic definitions, their representatives, theories and methods. After this synthesis, it closes with some final reflections, fulfilling the objective of the essay, having analyzed the relationship between the aforementioned theories and the professional work of the social worker, when designing and developing a social intervention to attend to cases of children and adolescents in street situations.

**Keywords:** Erickson's Psychosocial Theory, Bronfenbrenner's Ecological Theory, Psychosocial Intervention, Social Work, Children and Adolescents.

### **INTRODUCCIÓN**

Este ensayo, contiene el producto de una investigación documental, desde una perspectiva analítica, interpretativa y crítica de las autoras, en búsqueda de una fundamentación teórica pertinente para aplicar estrategias de intervención social. Este ha sido tema de investigación, por años, en su trayectoria como docentes-investigadoras de la Universidad Tecnológica del Chocó "Diego Luis Córdoba". Facultad de Ciencias Sociales y Humanas. Programa Trabajo Social. El objetivo es analizar la relación entre la teoría psicosocial de Erickson, la teoría Ecológica de Bronfenbrenner y el quehacer del trabajador social, al momento de desarrollar una intervención social con niños, niñas y adolescentes (en adelante NNA), en situación de calle.

La importancia de la integración de estas perspectivas teóricas radica en la necesidad de contar con una base sólida de conocimiento para la planificación y ejecución de proyectos de intervención social. Al integrar diferentes enfoques teóricos, de autores clásicos y contemporáneos, se pueden obtener contrastes y coincidencias para abordar los problemas sociales y lograr así, una comprensión más completa de las necesidades y demandas de las personas y comunidades; esto potencia la calidad y efectividad de los proyectos de intervención social, asegurando, mayor satisfacción y bienestar para los entes de interés.

La metodología que se empleó para este ensayo, es documental, el cual es un enfoque valioso e imprescindible para obtener conocimiento en una investigación-intervención. Aquí se sigue principalmente, a Hernández, et al. (2021), para quienes la investigación documental consiste en detectar, obtener y consultar la bibliografía y materiales que contienen otros conocimientos y/o informaciones recogidas de realidad similar, de modo que puedan ser útiles para los propósitos del estudio. Se tomaron aquí, fuentes documentales primarias y originales, al considerar resultados de las investigaciones de las autoras; y, fuentes documentales secundarias, o trabajos en los que se hace referencia a la obra de algún otro autor. Algunas de tipo impreso y, además, fuentes electrónicas. El proceso de análisis implicó, primeramente, identificar el eje de interés en este ensayo, su objetivo y justificación, en segundo momento, la búsqueda de fuentes y su inminente lectura. Con el cúmulo de información obtenida, se hizo necesario estructurar un esquema de contenido. Con esto claro, se pasó al análisis, elaborando la tesis motivadora, descubriendo la antítesis del planteamiento y concluyendo con la síntesis, sistematizada aquí en varios sub-puntos.

Consecuentemente, se ofrece una fundamentación focalizada en los aspectos psicosociales, para abordar el fenómeno de los NNA en situación de calle. Esto incluye: 1. Tesis y antítesis acerca de la fundamentación teórica para proyectos de Intervención Social. Seguidamente, a modo de síntesis, se ofrece como punto 2. Definiciones Básicas: ¿A qué se denomina NNA en situación de calle?, así como un sub punto analizando su problemática, y, también, se ofrece una síntesis de las principales perspectivas pertinentes para la intervención psicosocial, sus representantes, teorías y métodos. Luego de esta síntesis, se cierra con las Reflexiones Finales, cumpliéndose con el objetivo del ensayo.

## DESARROLLO

### **Tesis y antítesis acerca de la fundamentación teórica para proyectos de Intervención Psicosocial con niños, niñas y adolescentes en situación de calle**

En toda fundamentación teórica, para proyectos de intervención social es crucial para proporcionar una base sólida y coherente para el diseño, implementación y evaluación de programas y acciones destinadas a abordar problemas sociales en comunidades específicas. Por ende, se asume que, al integrar las perspectivas y consideraciones de teóricos en la fundamentación teórica de los proyectos de intervención social, estos se pueden desarrollar de manera más informada, efectiva y ética; contribuyendo así, a crear modelos específicos para cada población en estudio; dado que no hay receta para la intervención social. Sólo así, se irá en pro del bienestar y la calidad de vida de las personas y comunidades. Toda fundamentación teórica debe contener, (dependiendo del énfasis que quiera lograrse), varios enfoques teóricos importantes; entre, estos no deben faltar: Principio del formulario.

— Teorías sobre Modelos de Intervención: dado que desea ser efectivos en contextos de la población objetivo; lo cual, incluye modelos de prevención, de intervención en crisis, terapia comunitaria, promoción de la salud, entre otros. Es importante seleccionar modelos que estén respaldados por evidencia empírica y que se ajusten a las necesidades y características de la población objetivo. Cuando se refiere a modelos de intervención en Trabajo Social, se entiende que estos han evolucionado a lo largo del tiempo, en respuesta a las demandas y cambios sociales; y a los enfoques etnográfico y ecológico que están asumiendo las ciencias de lo humano.

Estos modelos de intervención son fundamentales para brindar un servicio eficaz y de calidad. Son enfoques teórico-prácticos utilizados por los profesionales para abordar las necesidades de los individuos, grupos o comunidades a quienes prestan servicios; proporcionan directrices y estrategias específicas para los trabajadores sociales, basados en el conocimiento y la experiencia acumulada en la disciplina. Principalmente, facilitan, la identificación de problemas, establecer metas y planificar las intervenciones. Los Modelos de Intervención en Trabajo Social, de mayor utilidad, provienen de modelos epistémicos que han impactado el mundo de las ciencias y, por ende, el nivel académico; por lo cual, en estos sectores donde el Trabajo Social interviene (Familias, Casos, Grupos, Comunidad, e incluso, a nivel Institucional), esta ha de realizarse según el enfoque epistémico, sea este conductista, cognoscitivista, constructivista, psicoanalítico; funcionalista, sistémico, humanista, ecológico; socio crítico, entre otros.

— Teoría del Constructivismo. Esta es entendida como una perspectiva epistemológica, es decir, una manera de organizar los datos de la experiencia mediante relaciones, transformaciones y estructuras para comprender la realidad empírica. El constructivismo, como postura cercana a la Psicología de Piaget (1952) y la Escuela de Palo Alto, cuestiona las prácticas tradicionales y los intercambios que se organizan desde las certezas, ya que desde estas disminuyen las posibilidades de que surjan nuevas realidades, y se propone romper con la ilusión de un diseño unitario homogéneo, para así entrar en los variados ámbitos de la vida cotidiana en una perspectiva multidimensional de los fenómenos. Giambattista Vico (1971) para contraponer el conocimiento por vía de la razón y referirse al mundo real, dijo que los seres humanos solo pueden conocer lo que ellos mismos han creado (Vico, G. 1971, citado por Von Glasersfeld, 2000). El constructivismo es un modo de pensar hipotético y no una descripción ontológica del mundo. En este sentido, sería un intento serio por tratar de separar la epistemología de la ontología; ya que, de lo contrario, el conocimiento cumple una función: “encaja en el mundo tal como lo vemos, y no en el mundo como debería ser.” (Von Glasersfeld, 2000:128).

El autor llama racionalidad a lo que uno ha construido como tal; y, en este sentido, está referido a la racionalidad. Aportes de Vygotsky (1896-1936) enfatizan el contexto social histórico y en que la exigencia del pensamiento es fuente de transformación. Así, la ocupación del conocimiento con niños/as con capacidades diferentes – auditivas, visuales y motoras – lo lleva a plantear fuertes críticas a la Psicología del sujeto que aprende. Afirma Vygotsky, que el conocimiento depende de estructuras que van más allá de la suma de las partes, y que se desarrollan en un marco interactivo, y necesitan niveles precedentes de maduración para la aparición de nuevas estructuras. En resumen, es en el marco interactivo, en la relación con otro, que es posible el desarrollo efectivo de las funciones mentales para la intervención en lo personal, familiar, comunitaria.

— Teorías de Intervención Psicosocial: Madariaga M (2018), cuyo trabajo consiste en la aplicación de la psicología social en contextos de intervención, integrando métodos y conceptos de diversas ciencias sociales; principalmente, se basa en la integración de conocimientos de Psicología, Sociología, Antropología y Trabajo Social, para abordar problemas sociales complejos, partiendo de determinados fundamentos básicos, tales como: la multidisciplinariedad, que combina métodos y conceptos de diversas disciplinas para una comprensión holística de los problemas sociales; la intervención de cobertura, tanto a nivel individual (micro) como comunitario (macro), abordando problemas desde la terapia individual hasta el desarrollo comunitario; el enfoque en las redes sociales del individuo, como la familia, la escuela, y la comunidad; y no solo se centra en la intervención correctiva, sino también en la prevención y la promoción de la salud y el bienestar social. Es de vital

importancia incluir este tipo de teorías, porque ayudan a comprender los procesos cognitivos, emocionales y conductuales que subyacen según las edades (o ciclos) de los NNA, y visualizar así, los problemas psicosociales que subyacen, según lo que psicológicamente se espera de ellos, de acuerdo a su desarrollo psico emocional y social.

— Teorías con enfoque de derechos humanos. Uno de los enfoques epistémicos más utilizados es el enfoque de derechos humanos, que enfatiza la importancia de garantizar los derechos fundamentales de estos NNA, como el derecho a la protección, la educación y la participación. (Defensoría de la Niñez. Colombia. 2022). Otro enfoque común, es el enfoque de desarrollo comunitario, que busca fortalecer las comunidades y brindar oportunidades para que estos jóvenes puedan salir de la situación de calle. También, se utilizan enfoques basados en la prevención, la rehabilitación y la inclusión social. Estos enfoques teóricos proporcionan herramientas y estrategias para abordar de manera integral las necesidades de esta población y promover su desarrollo y bienestar. (González, 2022).

— Teoría del desarrollo resiliente. Un destacado teórico en el campo del desarrollo resiliente es Cyrulnik, (2022), quien ha realizado significativas contribuciones al estudio de la resiliencia, especialmente en contextos de trauma infantil y adversidades severas. Esta teoría se centra en la capacidad de los individuos para enfrentar y superar adversidades, transformando el dolor en una fuerza motora para el crecimiento personal. Cyrulnik introduce el concepto de “tutor del desarrollo”, enfatizando la importancia de una figura de apoyo que cree en el niño y lo ayude a descubrir y valorar sus aptitudes. Es aquí donde se encuentra la vinculación con el rol del trabajador e interventor social. Los factores clave que promueven la resiliencia incluyen vínculos afectivos fuertes, reglas claras, confianza, y acceso a recursos educativos y recreativos. El autor argumenta que, la resiliencia no sólo es la capacidad de resistir las adversidades, sino también, de encontrar un nuevo sentido y dirección en la vida tras experiencias traumáticas. Este enfoque multidimensional integra aspectos psicológicos, sociales y educativos para promover el desarrollo resiliente, coincidiendo con la teoría ecológica de Bronfenbrenner.

— La teoría del trauma y el estrés traumático infantil. Para los profesionales del Trabajo Social, es crucial integrar la comprensión de esta teoría, pues ella permite comprender cómo el trauma afecta a los niños y adolescentes en la planificación y ejecución de proyectos de intervención, para crear entornos seguros y de apoyo, promover la resiliencia y recuperación en los jóvenes afectados. Para profundizar en esta teoría se sigue a Perry, (2014), quien se enfoca en cómo los eventos traumáticos impactan el desarrollo y funcionamiento cerebral de los niños; destacando que esto ocasiona cambios en su comportamiento, emociones y capacidades cognitivas. El autor subraya la importancia de entender las diferencias en las respuestas al trauma según la edad y el desarrollo del niño, y cómo estos factores influyen en su recuperación; lo cual es coincidente con las explicaciones de los niveles de desarrollo que ofrece Erickson, (1950), los cuales explican las respuestas de NNA según sus edades.

El trauma infantil ocurre cuando un niño enfrenta eventos violentos, peligrosos o extremadamente estresantes que no pueden superar por sí mismos. Estos eventos pueden incluir negligencia, abuso físico o sexual, desastres naturales, violencia comunitaria, accidentes graves, y la pérdida de seres queridos. Los efectos del trauma pueden manifestarse en síntomas como ansiedad, depresión, dificultades para dormir, problemas de comportamiento, y en casos severos, trastorno de estrés postraumático (TEPT). Según explica el autor, coincidiendo con otros investigadores en el campo psicosocial, (Samhsa, 2021), se ha identificado que el estrés traumático puede interferir significativamente con la vida diaria del niño y su habilidad para relacionarse con otros, lo cual puede tener



impactos de inmediato, como abandonar los escenarios donde se desarrollan los eventos traumáticos, y a largo plazo, acarrear problemas de salud mental y física, dificultades académicas; e incluso, existe una gran probabilidad de involucrarse en actos delictivos, consumo de sustancias adictivas, entre otras variantes, del escenario de NNA en situación de calle.

La tesis aquí planteada busca enfocar, desde una perspectiva epistémica integral las teorías sobre proyectos de intervención social que considere la mirada de múltiples fuentes de conocimiento, enfoques teóricos y disciplinas (psicología, sociología, pedagogía, etc.), para obtener una comprensión más completa de la situación en estudio; así como, considerar al sujeto afectado no sólo como un individuo aislado, sino en relación con su entorno cultural-social, familiar, escolar y comunitario. Asumiendo que, abordar los problemas sociales desde una única perspectiva teórica, implica como antítesis no considerar la complejidad y multidimensionalidad de los procesos sociales que se atienden desde la intervención social. Así, predominaría la fragmentación o la adopción de enfoques unidimensionales, en lugar de combinar y sintetizar diferentes enfoques teóricos, para obtener una comprensión más completa y desarrollar intervenciones más efectivas. La fragmentación implica limitarse a una sola teoría o marco conceptual, lo cual, puede conducir a intervenciones superficiales o parciales, sin llegar a las causas subyacentes de los problemas, y/o que pasan por alto aspectos importantes de la experiencia humana. Asimismo, dificulta la colaboración entre disciplinas y limita las soluciones innovadoras y holísticas a los desafíos sociales.

## DEFINICIONES BÁSICAS

### ¿A qué se denomina niños, niñas y adolescentes en “situación de calle”?

Esta respuesta sigue vigente y tiene múltiples interpretaciones marcadas por enfoques históricos, económicos, sociológicos, antropológicos y más. Se proponen aquí categorizaciones y diferenciaciones sobre las definiciones de NNA en situación de calle, las cuales han sido estudiadas por diversos autores e investigadores, brindando diversas categorías; por ende, desde la experiencia como investigadoras en el área, se ofrece aquí la categorización de “niños **en** la calle”, “niños **de** la calle” y “niños **en situación** de calle”.

**NNA en la calle:** son aquellos niños y niñas que pasan una cantidad significativa de tiempo en la calle, pero que mantienen un contacto regular con sus familias. Usualmente, estos niños trabajan en la calle durante el día y regresan a sus hogares para dormir. Su habitabilidad “**en**” calle “relativa. Por una parte, incluye a NNA que deambulan en varias formas de alojamiento temporal (refugios, casas de albergue o casas de amigos); y por otra parte, están aquellos que tienen casa, pero no un hogar; ya que no se les ofrece seguridad y calidad de vida; por ende, usan la calle como forma de evasión y sobrevivencia ante su realidad. Según UNICEF (2005), los “niños **en** la calle” realizan actividades económicas (ventas, limpiar coches o pedir limosna) y mantienen conexión con su familia, aunque sea disfuncional; sin embargo, mantienen contacto regular con sus familias y en regresar a casa.

**NNA de la calle:** Son aquellos con un nivel de habitabilidad en la calle “absoluta”, se refiere al grado de mayor marginalidad, viven en la calle y dependen de ella para todas sus necesidades; e incluiría a aquellos que viven bajo los puentes o en edificios abandonados, quienes consideran la calle como su hogar principal. Han perdido o abandonado el contacto con sus familias y viven permanentemente en las calles. En un estudio de Thomas (2015), se describe a los “niños de la calle” como

aquellos que encuentran en la calle no sólo su espacio de trabajo; sino también, su lugar de residencia y comunidad. Estos NNA a menudo forman lazos sociales con otros niños en situación similar.

**NNA en situación de calle:** Este término es más amplio e incluye, tanto a los “NNA en la calle” como a los “NNA de la calle”. En otras palabras, se toman en cuenta a NNA que duermen en la calle, en albergues temporales, o que tienen una residencia inestable; y de hecho, puede incluir también, tanto a los que tienen contacto con sus familias como a los que no, dependiendo de su nivel de vulnerabilidad y exposición a la vida en la calle. En resumidas cuentas, se refiere a cualquier menor cuya vida y bienestar están profundamente afectados por la falta de un hogar seguro y adecuado, y que pasa una cantidad significativa de tiempo en la calle, ya sea trabajando, viviendo, o ambas cosas. Según un informe de la UNESCO (2018), “niños en situación de calle” es un término inclusivo que reconoce la diversidad de experiencias de los menores en estas circunstancias, y no se limita estrictamente a dónde duermen o pasan la mayor parte del tiempo, sino que abarca la vulnerabilidad y riesgo asociados con su situación.

En todos los casos, sucede que, atraviesan por situaciones como víctimas, (manipulados por grupos delictivos o insurgentes), y expuestos a riesgos y al deterioro de su salud física, mental y emocional. Por estas y otras razones, la situación de NNA en condición de calle, es una emergencia humanitaria que requiere atención urgente. Es fundamental implementar políticas y programas integrales que aborden las causas de esta problemática y brinden apoyo y protección a estos niños y adolescentes para garantizar su desarrollo y bienestar.

### **La problemática en torno a niños, niñas y adolescentes en situación de calle**

La situación de los NNA en situación de calle en Latinoamérica es alarmante. Esta población se enfrenta a una serie de desafíos y vulnerabilidades que afectan su bienestar y desarrollo. Existen diversos factores que contribuyen a la situación de calle en NNA en Latinoamérica. La pobreza es uno de los principales factores, ya que muchas familias no tienen los recursos suficientes para brindar un hogar estable a sus hijos. El abandono y la violencia familiar también juegan un papel importante, ya que muchos NNA huyen de situaciones de maltrato o negligencia. Además, la falta de acceso a servicios básicos como educación y salud; así como la discriminación y exclusión social, contribuyen a que terminen viviendo en las calles. Es necesario abordar estos factores de manera integral y en una mirada psico social y ecológica, para comprender el proceso a profundidad y para prevenir y atender la situación de calle en esta población, mediante proyectos de intervención psicosocial.

La problemática, en países como Colombia y Venezuela, se ve agravada por una serie de factores socioeconómicos, políticos y familiares que profundizan su vulnerabilidad. La economía de las regiones, marcada por limitadas oportunidades de empleo y bajos niveles de productividad, contribuye, significativamente, a la pobreza que afecta a muchas familias, llevando a un ciclo de desesperanza y falta de recursos. Este entorno económico desfavorable limita las posibilidades de los padres para proveer adecuadamente a sus hijos, resultando en casos de desatención, negligencia o abandono, y empujando a los niños hacia la calle en busca de sustento o escape; dado que se ve limitado, su acceso a necesidades básicas, como alimentación adecuada, salud, y educación.

Además, en países como Colombia y Venezuela, la disfuncionalidad familiar, exacerbada por la presión económica, es otro factor crítico que contribuye a la problemática. Los conflictos familiares, la violencia doméstica, y la falta de un ambiente seguro y amoroso, empujan a los niños a buscar refugio en las calles. Este ambiente disfuncional no sólo les priva de la estabilidad emocional, sino

que también obstaculiza su desarrollo social y educativo, preparando el escenario para un futuro de dificultades y limitaciones. Los abusos y conflictos familiares actúan como factores determinantes que llevan a niños, niñas y adolescentes, a abandonar sus hogares. Este tipo de entorno familiar, conducen a estos jóvenes a situaciones de alto riesgo y vulnerabilidad, contribuyendo a que busquen refugio en las calles, donde enfrentan riesgos aún mayores. (Capriati A, 2015).

La situación de los NNA en la calle en Venezuela ha sido agravada por la crisis socioeconómica y política que ha afectado al país en los últimos años. Según informes de diversas ONG, se estima que miles de niños y adolescentes en Venezuela viven en situación de calle producto de factores como el desempleo que afecta sus familias, la inseguridad alimentaria, la ausencia de servicios públicos básicos, así como de salud, de educación y la desintegración familiar producto de la migración masiva. Algunas organizaciones como UNICEF (2023), estiman que podría haber entre 10,000 y 12,000 niños en esta situación en todo el país, especialmente en áreas urbanas y metropolitanas.

Es así que, tanto en Colombia, como en Venezuela, en esta población de NNA en situación de calle, emerge el consumo de sustancias psicoactivas; como una preocupante realidad. Este se asume, tanto como una forma de escapismo, como por la influencia del entorno callejero. La exposición temprana a las drogas y el alcohol no sólo tiene graves repercusiones en su salud física y mental; sino que también, aumenta la vulnerabilidad, hacia el riesgo de explotación, abuso y comisión de delitos. Este ciclo de consumo y dependencia dificulta cualquier esfuerzo de reintegración social y recuperación. (Human Rights Watch, 2020). Como agravante, según informaciones recogidas de la Revista Semana, (19 de enero de 2023), regiones de Colombia, como el Departamento del Chocó, es reportado como epicentro de conflictos sociales y ambientales, en disputa por mantener los cultivos ilícitos y la minería ilegal; todo lo cual, ha exacerbado las tensiones con los pobladores locales indígenas y afrocolombianos y con las autoridades de la región; pues, se enfrenta una situación alarmante de orden público, con episodios de violencia, como ataques a la policía y enfrentamientos armados en áreas urbanas, toma de pueblos, lo que causa terror entre los residentes; ya que, estas ocasiones son aprovechadas por los grupos insurgentes, o grupos delictivos, para secuestrar niños y jóvenes, a modo de reclutamiento forzado para incorporarlos a sus filas y/o muchas otras formas de explotación.

- ***Factores de riesgo psicosocial en el contexto de NNA en situación de calle.***

Según la reciente investigación de Muñoz y Martínez, (2024), denominada Factores que influyen en la situación de calle en los NNA del barrio San Agustín. Istmina. Chocó-Colombia, se tipificaron los factores de riesgo, principalmente, en el ambiente personal, familiar (violencia doméstica, abuso y abandono); siguiéndole los de índole social (escuela y comunidad-sociedad). Encontraron que, estos riesgos son procedentes de familias con importantes índices de la pobreza y falta de recursos, y, además, encuentran en el escenario socio-comunitario, rechazo, violencia, maltrato físico y psicológico. Las consecuencias en NNA, generalmente, desemboca en problemas de salud mental, desarrollo emocional y social deficiente, dificultades en el aprendizaje, abandono escolar y, en el peor de los casos, vulnerabilidad ante grupos delincuenciales o transgresores, (quienes les usan contra su voluntad o persuadiéndoles), o acuden a las drogas y al alcoholismo, como vía de evasión de su cruda realidad. En estos casos, las intervenciones y políticas públicas son escasas; pues, se espera la atención integral de estos NNA, mediante programas de atención y rehabilitación, para la prevención del abandono familiar, proyectos de inclusión social y educativa de los niños/as en situación de calle.

Estos hallazgos, coinciden con los criterios del Instituto sobre alcoholismo y farmacodependencia-IAFA, de Costa Rica, el Centro de Atención Integral para la Discapacidad CAID, (2022), y otra investigación del contexto en Colombia, de los autores Velasco (2023), para quienes los factores de riesgo psicosocial son aquellas situaciones sociales, psicológicas, culturales, familiares, que aumentan el riesgo al consumo de sustancias. Los resultados de la investigación de Velasco, indican que los NNA que experimentaban conflictos en su dinámica familiar tenían un mayor riesgo de involucrarse en el consumo de drogas. Resalta la necesidad de abordar la dinámica familiar y la comunicación como componentes clave de los programas de prevención esos riesgos están representados por circunstancias que favorecen la ocurrencia de daño físico y emocional, lo cual está condicionado por los lugares en los que se encuentren, las instituciones a las que tienen acceso, las personas con quienes interactúan, las ocupaciones que realizan y el consumo de drogas. De este análisis, se sintetizan estos riesgos:

- **Riesgos personales:** Personalidad introspectiva, dificultad para expresar sentimientos y manejar las emociones; disponibilidad de dinero sin control; desinformación sobre el riesgo; baja percepción de riesgo sobre sustancias psicoactivas, (creencia: el consumo no genera daños); desatención parental y familiar.
- **Riesgos familiares:** Miembros de la familia consumidores modeladores e incitadores al consumo. Ausencia de comunicación y confianza entre la familia, ausencia de límites en la dinámica familiar. Comunicación cerrada, irrespetuosa o ausente. Límites rígidos o ausencia de estos. Ausencia de figuras de autoridad involucradas en su desarrollo.
- **Riesgos educativos:** Distribución dentro del centro educativo y sus alrededores, Grupos de compañeros consumidores, ausencia de control en la dinámica escolar.
- **Riesgos comunitarios (socioculturales):** Presión social y grupal para el consumo, justificación social del consumo, ventas libres y disponibilidad de las sustancias. Exposición a mensajes de “ventajas” del consumo. Tráfico libre de drogas-.
- **Riesgos referidos a factores políticos:** implicando con ello, decisiones de Estado-gobierno, nivel de impulso en la ejecución de políticas públicas, políticas económicas y aspectos concernientes al cumplimiento de lo establecido para evitar los factores de riesgo del consumo. En definitiva, son muchos los factores de riesgo que pueden incidir en que una persona consuma sustancias psicoactivas.

Lamentablemente, estos riesgos suceden en países como Colombia y Venezuela, en el más absoluto desobedecimiento de los derechos humanos. Esto se afirma, dada su relación con las definiciones y preceptos jurídicos que garantizan la Protección Infantil. (Rodríguez, et al. 2007). El Código de la Infancia y adolescencia, -Unicef- Colombia, (2007), se guía por lo establecido en la Convención sobre los Derechos del Niño, en el Convenio 182 de la OIT sobre las Peores Formas de Trabajo Infantil, en los protocolos adicionales de la Convención sobre los Derechos del Niño relativos a la participación de menores de 18 años en conflictos armados, y a la prohibición de la venta, la prostitución infantil y la pornografía; en la Convención contra la Delincuencia Transnacional Organizada, relativo a la protección y erradicación de la trata de personas, especialmente de NNA y mujeres.

Se analiza, en consecuencia, que los proyectos de Intervención Social son determinantes, para sensibilizar, informar y educar a los niños, niñas, familias y comunidad para que asuman el cambio y la conducción adecuada legal, social y psicológicamente, para evitar el consumo, y lograr una mejor cali-

dad de vida. Ello implica que, todos (escuela, familia y comunidad), deben estar más atentos al desarrollo de los niños/niñas, y a sus procesos de ocio, diversión, deportes, escolarización, socialización y sobre los espacios en los cuales se desenvuelven; cerrando así, las posibilidades del consumo de sustancias psicoactivas que afectarán no sólo su desarrollo psicosocial, sino que afecta a la familia y a la sociedad.

### **Intervención Psicosocial. Representantes, teorías y métodos**

Realizar un análisis de los factores intervinientes en la situación de calle de los NNA, en cualquier contexto geográfico, conduce a estudiar las teorías del desarrollo humano y del desarrollo psicosocial. El origen de la Intervención Psicosocial está ligada a la Psicología Clínica, al Psicoanálisis, a la Psicología Cognitiva y la Teoría de Modificación de Conducta. La intervención psicosocial se define, como un proceso mediante el cual se aplican técnicas y estrategias psicológicas para promover el bienestar emocional y social de las personas en diferentes contextos sociales y comunitarios. La Teoría del Desarrollo Psicosocial es, en sí misma, una teoría del desarrollo humano con un enfoque multidisciplinario que se ha desarrollado a lo largo de varias décadas, con la contribución de autores y disciplinas, como Psicología, Sociología, Antropología y Trabajo Social.

La Teoría del Desarrollo Psicosocial es fundamental para el quehacer del Trabajo Social; ya que, permite una mejor comprensión del desarrollo humano, al ofrecer un marco para entender cómo las personas crecen y cambian en cada etapa del desarrollo a lo largo de sus vidas, y cómo estos procesos pueden ser influenciados por factores sociales, culturales y ambientales. Consecuentemente, se utiliza esta teoría para diseñar intervenciones que apoyen el desarrollo de las personas y las comunidades. Por otra parte, se utiliza para evaluar las necesidades y fortalezas de las personas en diferentes etapas de su vida, lo que ayuda a identificar las intervenciones más adecuadas a sus necesidades. Al unísono, esta teoría permite conocer el individuo, y cómo cada etapa presenta un conflicto o desafío que debe ser resuelto para avanzar en el siguiente estadio. Estos desafíos pueden ser, tanto internos (búsqueda de identidad), como externos (adaptación a los cambios en el entorno):

#### **- Teoría del Desarrollo Psicosocial de Erik Erikson. (1902-1994)**

Interesa destacar que, para la intervención con NNA, la Teoría del Desarrollo Psicosocial de Erikson se ha hecho imprescindible. Esta, pasó a ser una de las teorías más influyentes y aceptada, mundialmente, en el área la intervención psicosocial; dado que, sus planteamientos son fundamentales en la sociedad actual; en correspondencia con su capacidad para brindar una comprensión profunda y completa de los procesos de crecimiento, cambio y madurez de las personas a lo largo de su vida. Las teorías del desarrollo humano, permiten entender, cómo se desarrollan los individuos física, cognitiva, moral y emocionalmente; así también, cómo se forman sus identidades y se relacionan con su entorno. Por ende, un marco teórico sólido, contribuye a la creación y aplicación de políticas y programas en pro del bienestar y el desarrollo óptimo de las personas.

La Teoría del Desarrollo Psicosocial, surge a partir de la reinterpretación que hace Erikson de la teoría de Sigmund Freud (1856-1939), basada principalmente, en las fases psicosexuales para explicar el desarrollo evolutivo del individuo. Erikson, (1968), más que rebatir estas fases, las complementa, subrayando los aspectos sociales del ser humano, entendiendo que, la consciencia del individuo acerca de su “interacción social” es la garantía para el desarrollo de diferentes etapas evolutivas. Y, afirma además Erickson, (1950) que, el paso por las etapas vitales como ser humano, da pie al desarrollo de competencias, las cuales se ven determinadas por lo que el autor denomina un “conflicto”, que permite el desarrollo individual, e, ineludiblemente, lo conducen al cultivo del “ego”.



Por ello, Erickson, (1950) enfatizó que, primeramente, en un proceso de intervención psicosocial, debe entenderse el 'yo'. Asumiéndole como potencialidad organizadora del ser humano, y que le da las herramientas necesarias para resolver los problemas que puedan provenir de factores genéticos, culturales, históricos y/o sociales. Esto ha de suceder durante todo el desarrollo de la personalidad; dígase desde la infancia hasta la vejez. Así que, puede afirmarse que Erickson, respecto a las etapas de desarrollo, integró la dimensión social al desarrollo del individuo, como garantía del crecimiento psicológico, adicionando estas ideas a los aportes de Freud, sin subvalorarles.

Para Erickson, las etapas del desarrollo humano son imprescindibles para adaptar cualquier proyecto social; principalmente, los de orden educativo, social, de salud, o que involucren la comprensión de las capacidades de cada individuo, según las etapas que atraviesa. Destacó la importancia de las interacciones sociales y culturales en su teoría del desarrollo psicosocial y propuso ocho etapas de desarrollo del ser humano; cada una caracterizada por una situación de crisis psicosocial, que debe ser resuelta para un desarrollo saludable. Los estadios que explica Erikson, se pueden sintetizar así:

- 1) **Confianza vs Desconfianza** (de 0 a 18 meses): Etapa sensorio-oral. Ocurre en el primer año de vida, cuando los bebés comienzan a desarrollar confianza básica en sus cuidadores principales, de quienes dependen completamente para satisfacer sus necesidades básicas, como alimentación, confort y seguridad. Si los cuidadores son sensibles y responden de manera consistente a las necesidades del bebé, se establecerá una sensación de confianza en el mundo y en los demás. Pero, si los cuidadores son negligentes o no están disponibles, este desarrollará desconfianza en su entorno y en las personas que lo rodean. Esta etapa depende de la relación o vínculo con la madre, y determinará los futuros vínculos con las personas a lo largo de su vida, ayudando a crear la autoconfianza, seguridad y satisfacción.
- 2) **Autonomía vs Vergüenza y duda** (desde los 18 meses hasta los 3 años): Etapa de la niñez (estadio anal-muscular de la niñez temprana). Aquí, inicia el desarrollo cognitivo y muscular (control de esfínteres), proceso que desarrolla la vergüenza y la duda; pero, sobre todo, la sensación de autonomía e independencia. Es una etapa crucial para el desarrollo de la confianza en sí mismos y la independencia. Los adultos desempeñan un papel importante al brindar un ambiente seguro y alentador que permita a los niños explorar y hacer cosas por sí mismos. Si se les permite tomar decisiones y realizar actividades apropiadas para su edad, desarrollarán un sentido saludable de autonomía. Sin embargo, si se les limita, excesivamente, o se les avergüenza por sus intentos de independencia, experimentando sentimientos de vergüenza y duda en sus habilidades.
- 3) **Iniciativa vs Culpa**. (desde los 3 hasta los 6 años de edad): Estadio genital-locomotor o la edad del juego. Es un periodo crucial en el desarrollo psicosocial, según la teoría de Erikson, la cual se presenta durante la segunda infancia y se caracteriza por el enfrentamiento entre el deseo de autonomía e independencia por parte del niño/a y la experimentación de la vergüenza y la duda. Durante esta etapa, los niños/as comienzan a desarrollar su propia voluntad y deseo de tomar decisiones, lo que les permite explorar el entorno y desarrollar habilidades básicas. Sin embargo, también pueden experimentar momentos de vergüenza y duda; especialmente, cuando sus acciones no tienen los resultados esperados o no encuentran reforzamientos positivos. En esta etapa, es fundamental el apoyo y la guía de padres y cuidadores para generar auto confianza.
- 4) **Laboriosidad vs Inferioridad** (entre los 6-7 años hasta los 12 años): (Estadio Intermedio, de la latencia). En este estadio, los niños/niñas muestran un interés por el funcionamiento de

las cosas, e intentan llevar a cabo muchas actividades para ir descubriendo su mundo; por lo que, es una excelente etapa para la estimulación positiva que brinda la escuela, y que debe mantenerse en la familia o por el grupo de amigos. El niño/niña puede desarrollar sensación de inferioridad o inseguridad, en caso de que se le compare, o que no reciba refuerzos positivos. Esta es considerada etapa intermedia de la infancia, y es cuando los niños se enfrentan al conflicto entre la industriosisidad y la inferioridad, donde deben desarrollar una sensación de competencia y habilidades útiles. Es una etapa crucial para la identidad.

Es importante resaltar que, esta es la etapa donde más frecuentemente los niños y niñas acuden a la calle. En esta etapa del desarrollo, los niños y niñas, comienzan a mostrar un mayor interés y dedicación en completar tareas y actividades, empiezan a reconocer su identificación por tareas u oficios; e incluso, a identificar el aburrimiento y el desinterés por actividades escolares. En este período, tienen la potencialidad de desarrollar habilidades específicas y buscan oportunidades para demostrar su competencia. Siguiendo a Erickson, de no disfrutar un ambiente favorable, (en el hogar o en la escuela), van al terreno de la frustración, a desarrollar minusvalía y complejo de inferioridad. En esta etapa los NN, necesitan sentirse autónomos, mostrándose capaces de realizar actividades por sí mismos.

En consecuencia, se interpreta que, psicológicamente hablando esta etapa, le ofrece al niño/niña la fortaleza para tomar decisiones de sobrevivencia, de huida, o de respuestas que cree conveniente ante cualquier situación en la cual se siente amenazado o en peligro. Precisamente, porque en esta etapa son más sensibles a la crítica y a la comparación con otros, así mismo son capaces de autogestionar su sobrevivencia. Además, pueden experimentar una mayor conciencia de sus limitaciones y pueden emerger y superar la sensación de inferioridad, buscando alternativas autogestionadas. Por ello, los NNA, si perciben que no cumplen con sus expectativas, salen a la calle. Ciertamente, durante la etapa de “Laboriosidad vs Inferioridad”, los niños/niñas experimentan un rápido desarrollo cognitivo y social. Su pensamiento se vuelve más lógico y pueden concentrarse en tareas por períodos más largos. También, comienzan a desarrollar un sentido de identidad y una comprensión más profunda de sí mismos y de los demás. Socialmente, forman amistades fuera del círculo familiar y tienen interacciones más complejas. Este desarrollo psicológico contribuye, significativamente, a su formación personal y a la construcción de su sentido de valía y competencia. Como puede observarse, esta etapa tiene un impacto crucial en la formación de la personalidad de los NNA, pues tienen la oportunidad de desarrollar y fortalecer su sentido de competencia, habilidades y logros personalmente significativos. Si la estructura familiar es estable, el ciclo escolar marcha con fluidez, y no hay sucesos de alto impacto en esta fase de la niñez, entonces lograrán superar los desafíos propios de esta etapa y experimentan éxito en sus esfuerzos. Según Erickson, es probable que desarrollen un sentido positivo de sí mismos y una mayor confianza en sus habilidades. Pero, como se ha encontrado en la condición de los NNA en la calle; si experimentan una falta de apoyo, de fraternidad familiar, fracaso o deserción escolar, o dinámicas donde la familia lo estigmatiza y lo compara con sus pares, desarrollan sentimientos de inferioridad y baja autoestima, con secuelas en su personalidad hasta la edad adulta.

- 5) Exploración de la Identidad vs Difusión de roles (entre 12 a los 20 años): (Etapa de la adolescencia y de la **identidad yoica**). Aquí, se hacen la pregunta ¿quién soy? ¿qué quiero ser? Empiezan a mostrarse más independientes y a tomar distancia de los padres acercándose más a los amigos. Durante esta fase, los adolescentes enfrentan importantes desafíos en cuanto a la construcción de su identidad y la definición de los roles que desempeñarán en la sociedad. Es un momento

de búsqueda, experimentación y confusión en el que los jóvenes exploran diferentes aspectos de sí mismos y de su entorno para determinar quiénes son y cómo encajan en el mundo. Durante este período, se enfrenta un ejercicio diario por establecer una **identidad coherente y estable**, basada en la **exploración de diferentes roles y valores, muchas veces, retando los implantados en casa**. Esto implica reflexionar sobre sus capacidades, intereses, valores y metas. Generalmente, durante esta etapa los jóvenes experimentan una crisis, pues se sienten confundidos o inseguros acerca de su futuro y sobre su papel en la sociedad, o al tratar de comprender su lugar en el mundo. Por ello, es común que esta etapa, experimenten diferentes roles y actividades para probarse y auto descubrirse, ver qué les interesa en lo vocacionales, en cuanto a relaciones de amistad, a relaciones sexuales, y a grupos sociales, principalmente. Si la etapa se supera con éxito, logran una concreción de la identidad y coherencia en sus estudios, sus relaciones interpersonales, familiares; y metas claras; porque descubrieron quiénes son y qué quieren en la vida, lo cual les garantiza una fluida adaptación en el mundo, convirtiendo la identidad personal en una herramienta funcional para adaptarse al mundo y establecer relaciones significativas.

- 6) Intimidad frente al Aislamiento (Comprende desde los 20 años hasta los 40): (Etapa de Adulto temprano). La forma de relacionarse con otras personas se modifica, se empieza a priorizar por las relaciones más íntimas, se asumen compromisos con naturalidad, se busca reciprocidad, seguridad, compañía, confianza.
- 7) Generatividad vs Estancamiento (entre los 40 hasta los 60 años): (Etapa de Adulto intermedio). En este lapso, la persona se dedica a su familia. Se busca ser productivo y se mira hacia el futuro. Se teme al estancamiento. Se aviva el deseo de ser y sentirse útil.
- 8) Integridad del “yo” frente a la Desesperación (desde los 60 años hasta la muerte): (Etapa de Adulto tardío o de madurez). Generalmente, en esta etapa, el individuo deja de ser productivo y, además, el estilo de vida se ve alterado; por ejemplo: aparecen enfermedades propias de la vejez, los amigos y familiares fallecen, llega la jubilación, el nido queda vacío, etc.; en consecuencia, es etapa de muchos duelos para afrontar.

Se afirma, en consecuencia, que la Teoría del Desarrollo Humano es fundamental para la profesión del Trabajo Social, porque posee una interpretación del ser humano en su conformación psico social, que permite a los trabajadores sociales comprender las distintas etapas del desarrollo o del ciclo vital en la que se encuentran los sujetos de intervención, desde la infancia hasta la vejez; y cómo los individuos enfrentan desafíos y cambios en cada etapa. Con base en esto, los trabajadores sociales diseñan intervenciones específicas que se adaptan a las necesidades y características de cada individuo en su contexto de vida.

Es así como, al entender cómo el desarrollo humano influye en la calidad de vida y el bienestar de las personas, los trabajadores sociales pueden intervenir de manera efectiva para mejorar las condiciones sociales, emocionales y físicas de sus clientes; abordar las desigualdades y problemas sociales que pueden afectar a las personas y por ende, a las comunidades, permitiendo a los trabajadores sociales abordar estas cuestiones de manera más efectiva; ya que se parte de un marco conceptual sólido para comprender, intervenir y promover el bienestar de las personas y comunidades con las que se trabaja.

Estos NNA en situación de calle, han experimentado roles y responsabilidades atípicos para su edad, por ejemplo, suelen asumir roles de cuidador para hermanos menores, buscar formas de contri-

buir económicamente en la calle en roles de latoneros, cargador de bultos (a espaldas) en el mercado, carretilleros, recoge basuras, limpiadores de patios y de negocios, vendedores ambulantes de confites, principalmente, lo cual se observó en niños menores de 12 años<sup>1</sup>. Estas acciones desafían las valoraciones tradicionales de desarrollo y comportamiento esperado en cada etapa; además, la influencia de la calle en su desarrollo psicológico conduce a una adaptación a entornos ajenos a su hogar, más bien hostiles, desarrollándose en ellos, resiliencia y habilidades de supervivencia; pero también, siempre están expuestos a riesgos psicosociales, como consecuencia de la explotación y/o el abuso.

Para analizar la perspectiva psicológica de los roles y tendencias que deben manifestar NNA, hoy día, se debe ampliar y estudiar sus interconexiones con otras disciplinas, pues este es un fenómeno complejo; por lo cual hay que considerar, tanto las teorías clásicas del desarrollo humano, como nuevas teorías que trabajan la resiliencia y los mecanismos de adaptación y supervivencia ante las circunstancias únicas y desafiantes que enfrentan NNA en situación de calle. Comprender, cómo estos factores interactúan es crucial para brindar apoyo efectivo y diseñar intervenciones en pro del bienestar y desarrollo integral.

También, está la teoría psico social de Mucchielli (1994), de gran impacto, ya que hace importantes precisiones para esta rama de la Psicología. Por su parte, aporta que los fenómenos psicosociológicos son de facto, “una construcción colectiva”, de grupos, de personas y que sólo existe por, para y dentro de la colectividad; por ende, hay que reconocer que estos fenómenos actúan sobre los pensamientos y conductas del individuo.

A raíz de estos aportes, la explicación científica sobre el desarrollo de los seres humanos y su personalidad se ha ido extrapolando hacia lo sociológico; dígase, hacia el interés por el quehacer del individuo en los contextos sociales donde se desarrolla. La Intervención Psicosocial se define, además, como el ámbito aplicado de la Psicología, conjugadas en sus métodos y conceptos, con otras ciencias abarcentes de lo sociológico como: la Sociología, el Trabajo Social, la Antropología. Esta conjunción, permite integrar teorías y métodos para actuar sobre las redes sociales; por ejemplo: la familia, la escuela, la comunidad, organizaciones, instituciones, estructuras sociales económicas y políticas, en pro del bienestar de los individuos, a través del cambio social (Moreno y García, 2021).

A partir de estas definiciones, la Intervención Social utiliza un modelo ecológico relacional, que considere el análisis de los factores físicos, culturales, económicos y políticos que condicionan la estructuración de las redes sociales. Esto se define, a partir de enunciados científicos que afirman que los factores mencionados, condicionan también, la conducta individual; dado que, las redes sociales son los mediadores entre el individuo y su entorno socio-cultural y natural. (Bronstein, 2020).

- ***La perspectiva de la Teoría Ecológica de los Sistemas de Bronfenbrenner (1917-2005)***

Bronfenbrenner, (1979) dio cuerpo a su teoría ecológica y sistémica, desde la crítica a la psicología evolutiva de su época y a la investigación tradicional. Su teoría forma parte de las teorías dialécticas contextuales que explican el cambio de conducta del individuo a través de la influencia

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<sup>1</sup> Resultados del trabajo de Grado para obtener el título en Trabajo Social. Tutorado por Caicedo, Metodóloga, Perozo D. Autores: Kenia Muñoz A y Yemith Y. Martínez M, titulado: Factores que influyen en la situación de calle en los niños, niñas y adolescentes del Barrio San Agustín. Istmina. (Chocó-Colombia). (2024).

del entorno o medio; siendo, por lo tanto, un cambio multidireccional (según la cultura un individuo será de una manera de ser diferente a otro), multicontextual y multicultural. Puede afirmarse, además, sin lugar a equívocos, que Bronfenbrenner, estuvo influenciado por las tesis de Kurt Lewin, (1936) y de Barker y Wright, (1954), quienes, desde antes a su postura, defienden una visión integral, compleja, sistémica y naturalística del desarrollo del proceso psicológico, el cual responde a la influencia del ambiente o entorno ecológico. Sin embargo, al decir de Tudge et al. (2021), Bronfenbrenner, se deslinda mediante ciertas críticas, cuando afirmaba que las situaciones clínicas son muy controladas desmereciendo su validez, no reflejan la realidad de las experiencias de vida; y ven más el acercamiento de la ecológica a contextos educativos y de desarrollo social, de familiares y entornos sociales donde interactúan NNA para influir en su desarrollo integral.

El modelo que propone Bronfenbrenner, puede aplicarse en el ámbito de la Psicología, la Sociología, el Trabajo Social y, más recientemente, en la Medicina y otras ciencias; pues parte de la base que el desarrollo humano se da en interacción con las variables genéticas y del entorno, y afirma que estos diferentes sistemas conforman las relaciones personales; pues, según esta Teoría Ecológica, el sistema ambiental es el entorno del individuo, e influye, en sus cambios y en su desarrollo cognitivo, moral y relacional.

Tudge et al. (2021), plantea que, a partir de la teoría de Bronfenbrenner, surge una nueva concepción del desarrollo humano; pues entiende que el fenómeno de la continuidad y cambio de características del ser humano se basa en sus componentes bio-psico-socio-espiritual, (grupal o individual). Además, el desarrollo humano, es reconocido como un proceso que deriva de las características integrales de las personas, incluyendo la genética y el ambiente, dentro de una continuidad de cambios a través del tiempo.

También, López, y Hernández (2022), estudiaron procesos de intervención social en casos de violencia familiar, en una mirada desde el trabajo social. También, Martínez y Pérez, (2023), analizaron las consecuencias a largo plazo de la violencia doméstica en el desarrollo infantil, debiendo tocar los procesos de relaciones familiares abusivas. Es interesante, que en sus estudios consideraron las relaciones del barrio y la escuela, así como, los valores, la cultura, y las creencias que prevalecen en su ecosistema.

Es importante acotar, que algunos científicos han cuestionado la teoría de Bronfenbrenner, opinando que esta visión ambientalista no atiende suficientemente, los factores biológicos y cognoscitivos del desarrollo y los cambios de la personalidad. Sin embargo, se reconoce que su énfasis está en el contexto del desarrollo humano, dado que es el espacio en el que se puede realizar intervención directa y externa. Por ende, esta teoría se utiliza cuando se amerita la realización de Proyectos de Intervención, pues da un mejor y más amplio entendimiento de cómo funcionan los sistemas en el ambiente ecológico social, y de la corresponsabilidad en la problemática que afecta a los sujetos objetivo.

En resumen, el postulado básico de Bronfenbrenner (1976:15), consiste en que “el funcionamiento psicológico de las personas está, en gran medida, en función de la interacción de ésta con el ambiente o entorno que le rodea”. Lo que sí resulta original, desde los postulados de este autor, es tener en cuenta el ambiente “ecológico” que circunscribe al sujeto. Esto lleva a considerar el desarrollo humano como una progresiva acomodación entre un ser humano activo y sus entornos inmediatos (también cambiantes). Pero este proceso, se ve influenciado, sobre todo, por las relaciones que se establecen entre estos entornos y por contextos de mayor alcance en los que están incluidos esos entornos.



### Los subsistemas de Bronfenbrenner

De menor a mayor globalidad, Urie Bronfenbrenner nombra varios sistemas que envuelven al núcleo primario, entendido como el mismo individuo. Por lo que, es de suma importancia estudiar este autor, para quien, en el estudio del desarrollo humano, es fundamental comprender las múltiples dimensiones y contextos que influyen en la formación de la identidad y el crecimiento personal. Desde una perspectiva ecológica, diferentes sistemas interactúan para moldear la experiencia individual y colectiva. He aquí, los diversos sistemas que componen el entorno de desarrollo humano, desde la perspectiva de Bronfenbrenner (1976), y que completa el visión psicosocial que se obtiene de Erickson y que abarca, desde los aspectos humanos más íntimos hasta las influencias globales.

- **Ontosistema:** abarca las características intrínsecas de cada individuo, incluyendo factores biológicos, de salud, genéticos y psicológicos. Aquí reside el autoconcepto, los afectos y las habilidades personales que contribuyen a la identidad única de cada persona.
- **Microsistema:** representa el nivel directo e íntimo del individuo: familia, padres y escuela; donde se forma la base de la identidad y se establecen las primeras relaciones sociales.
- **Mesosistema:** interrelaciones entre diferentes entornos, cruciales en el desarrollo social y emocional, como la relación entre la familia y la escuela, o entre la familia y los amigos.
- **Exosistema:** son las influencias externas o indirectas que impactan en el individuo, como el trabajo de los padres o las relaciones con los profesores y tienen influencia significativa
- **Macrosistema:** comprende las condiciones sociales, culturales y estructurales más amplias de la región, las cual, influyen en los sistemas más pequeños y en la vida cotidiana.
- **Cronosistema:** se refiere a la dimensión histórica del desarrollo humano, a la evolución cultural y a los cambios del entorno, lo cual, impacta su personalidad y sus experiencias.
- **Globosistema:** representa la influencia del sistema mundial en el desarrollo humano; incluyendo fenómenos como el cambio climático, eventos geopolíticos, guerras.

Según el autor, para realizar un análisis completo, integral, ecológico de lo social, deben tomarse en cuenta todas las esferas del sistema, ya que están interrelacionadas; lo cual garantiza al ser humano sus relacionamientos y determinan su personalidad, su psiquis, su sociabilidad. (Bronfenbrenner, 1979).

#### - ***La Teoría de Intervención Psicosocial***

La Teoría de la Intervención Psicosocial es un enfoque que busca comprender y abordar los problemas sociales y psicológicos de las personas desde una perspectiva integral, considerando tanto los aspectos individuales como los contextuales y sociales. Esta teoría se basa en la idea de que los problemas de las personas no pueden separarse de su entorno social y cultural, y por lo tanto, requieren intervenciones que aborden estas dimensiones de manera conjunta. Uno de los principales autores en el campo de la intervención psicosocial es Pichon-Rivière, (1969), destacado psiquiatra y psicoanalista argentino. Su enfoque se centra en la noción de grupo operativo y la idea de que los grupos son sistemas vivos que pueden ser utilizados como herramientas terapéuticas para promover el cambio y el crecimiento personal. El objetivo de la Intervención psicosocial, es crear condiciones personales y sociales que favorezcan el bienestar mediante métodos que permitan una mejor combinación entre la dirección y la participación de los individuos en dichas redes sociales, favoreciendo el cambio cognitivo, social y afectivo del grupo. El bienestar posee tres dimensiones, a saber: Bienestar subjetivo, psicológico y social.

- Bienestar subjetivo. Su máximo representante es Ed Diener, de la Teoría Hedonista, quien lo define, como: “Las evaluaciones cognitivas y afectivas que una persona hace en torno a su vida... es un concepto amplio que incluye la experiencia de emociones, bajo nivel de emociones negativas y alto nivel de satisfacción con la vida” (Diener, 1984:84); se asume, que es un balance entre satisfacciones e insatisfacciones. Los descriptores son: satisfacción, afecto positivo y afecto negativo; Y, lo clasifica como: bienestar afectivo y cognitivo.
- Bienestar psicológico. Su máxima representante es la psicóloga Carol Ryff (1998), proponente de muchas nociones importantes de los actuales modelos de Psicología Positiva y hace una de las más brillantes aportaciones a la noción de bienestar humano. Los descriptores son: auto aceptación, relaciones positivas con los otros, autonomía, dominio del entorno, objetivos vitales y crecimiento personal. En su definición se sostiene que, la satisfacción y la autoestima residen en las metas y objetivos que el individuo se plantea y trata de conseguir. La autora propone 6 dimensiones y su escala para medirlas: auto aceptación, relaciones positivas, propósito en la vida, crecimiento personal, autonomía, dominio del entorno.
- Bienestar social: Es entendido como la valoración de las circunstancias y el funcionamiento dentro de la sociedad. Se propone que, también es necesaria la libertad personal para elegir entre diferentes formas de vida de acuerdo con sus habilidades, características y competencias. Los descriptores son integración social, aceptación social, contribución social, actualización social y coherencia social.

Tal como lo expresan los autores estudiados, se entiende entonces, que la Intervención Psicosocial es una acción profesional programada metodológicamente, con actividades y tareas sistematizadas en un cronograma y con un plan operativo, para atender un colectivo, en pro de lograr su bienestar subjetivo, psicológico y social, con el fin de incentivar un cambio social y mejorar su situación personal, la familiar, del grupo y de la comunidad. Este bienestar, está influenciado por los factores de la ecología social.

## REFLEXIONES FINALES

Se intenta buscar la vinculación entre la Teoría de Desarrollo Humano de Erickson, la Teoría Ecológica de Bronfenbrenner y el papel de trabajador social, para intervenir en casos de NNA en situación de calle. En este sentido, se asume que, una teoría psicosocial que plantee ocho etapas para el desarrollo humano, en la cual, cada una representa un “conflicto” específico que debe ser resuelto por cada individuo, para alcanzar un nivel saludable de desarrollo, ha de tener una gran influencia en el Trabajo Social, ya que proporciona un marco teórico y práctico para comprender y abordar las necesidades y desafíos de las personas en diferentes etapas de su vida. Algunas de estas etapas incluyen la confianza frente a la desconfianza, la iniciativa frente a la culpa, la identidad frente a la confusión de roles y la integridad frente a la desesperación. Comprender estas etapas es fundamental para el Trabajo Social, ya que permite identificar las necesidades y desafíos que las personas pueden enfrentar en diferentes momentos de su vida. Además, esto se vincula con los subsistemas que plantea Bronfenbrenner, dado que representan el contexto donde se gesta toda la situación de estos NNA en situación de calle; pues se impacta desde el núcleo primario, hasta las esferas de los sistemas (microsistema, mesosistema, exosistema y macrosistema), los cuales están interrelacionados. Por ende, para realizar un análisis completo, integral, ecológico de lo social, deben tomarse en cuenta todas las esferas del sistema, asumiendo al ser humano como ente social integral en desarrollo, lo cual se logra asegurando la sustentabilidad de los ecosistemas en el que habita.

La Teoría de Desarrollo Humano de Erickson y la Teoría Ecológica de Bronfenbrenner, han influido en el Trabajo Social ofreciendo un enfoque integral, centrado en las etapas de desarrollo vividas al momento de la intervención con individuos. Los trabajadores sociales utilizan los conceptos y principios de esta teoría para comprender cómo las experiencias pasadas y las interacciones sociales afectan el desarrollo de una persona, y así diseñar intervenciones pertinentes para un desarrollo óptimo y mejoren el bienestar social.

Se puede afirmar, a modo de reflexión final, que el desarrollo humano es un proceso complejo que se ve influenciado por una variedad de factores y sistemas interconectados. No sólo de aspectos psicológicos, sino de factores interconectados de varios sistemas en el contexto de todo individuo; en otras palabras, desde los aspectos más íntimos de la identidad personal hasta las influencias globales. Así, se asume que, cada sistema juega un papel importante en la formación de la experiencia humana y, en este caso, en la situación de los NNA en situación de calle. Los profesionales del Trabajo Social, al comprender estos sistemas y sus interrelaciones, obtienen una visión más completa del desarrollo humano, para así trabajar por un futuro más equitativo y sostenible, con propuestas viables.

Complementariamente, en casos de NNA en situación de calle, la teoría de Desarrollo Humano de Erickson, proporciona un marco de referencia para comprender las etapas de desarrollo del individuo en estudio, en las cuales se puede haber interrumpido su proceso normal de competencias cognitivas, reforzamientos psicológicos, y emocionales, habilidades motrices, cuyas carencias o debilidades afectan, negativamente, debido a su falta de cuidado y de entornos inseguros. Los trabajadores sociales pueden utilizar esta teoría para diseñar intervenciones sobre las necesidades específicas de cada niño/niña o adolescente, brindando oportunidades para superar las dificultades pasadas y promoviendo un desarrollo saludable en todas las áreas: física, emocional, social y cognitiva. De allí que, estas teorías han tenido una gran influencia en el Trabajo Social, ya que proporcionan un marco teórico y práctico para comprender y abordar mediante estrategias de intervención social, las necesidades y desafíos de las personas en diferentes etapas de su vida.

Luego de estas reflexiones, se concluye que, la combinación del enfoque psicosocial de Erickson con la teoría ecológica-sistémica de Bronfenbrenner, proporciona un marco integral para comprender y abordar las necesidades de NNA en situación de calle. Se plantea en consecuencia que las formas en que estos enfoques pueden integrarse en una intervención psicosocial, parten de considerar los siguientes aspectos:

- Realización de un análisis del entorno inmediato, hasta el más amplio: Según se explicó previamente, la teoría de Bronfenbrenner enfatiza la importancia de considerar múltiples niveles de influencia en el desarrollo de un individuo, desde el entorno inmediato (microsistema) hasta el contexto cultural y social más amplio (macrosistema). Erickson explica lo que se espera pro natura, de las habilidades, físicas y cognitivas, e incluso afectivas, de los individuos en cada etapa de su vida. Al aplicar estos enfoques para interpretar los casos en estudio, los profesionales tendrán herramientas para examinar los entornos específicos en los que viven y cómo y porqué operan de determinada manera los NNA en situación de calle; así como, las influencias cercanas, hasta la de los contextos más amplios de la sociedad, en sus decisiones, comportamientos, sentimientos y acciones.
- Identificación de sistemas de apoyo y riesgo: utilizando el modelo ecológico de Bronfenbrenner, los profesionales pueden identificar los sistemas de apoyo que pueden fortalecer a los NNA en situación de calle, como la familia, amigos, escuelas y organizaciones comunitarias.

Al mismo tiempo, analizando los subsistemas en torno a los NNA, pueden identificar los sistemas de riesgo, como la falta de vivienda, la pobreza, la exposición a la violencia o el abuso, que tienen un impacto negativo en su desarrollo.

- Intervención centrada en el desarrollo: al combinar el enfoque psicosocial de Erickson con la teoría de sistemas de Bronfenbrenner, los profesionales pueden diseñar intervenciones adaptadas a las necesidades y capacidades únicas de cada NNA en situación de calle, teniendo en cuenta su etapa de desarrollo, relaciones significativas y contexto ambiental. Esto puede incluir, actividades para fomentar la resiliencia, el desarrollo de habilidades sociales y emocionales, y la construcción de relaciones de apoyo.
- Trabajo en red y colaboración: al considerar los múltiples niveles en torno a la vida de un NNA en situación de calle, los profesionales pueden construir una red de apoyo para el Plan de Intervención, sensibilizando una variedad de sectores; incluidas organizaciones comunitarias, gubernamentales, escuelas y servicios de salud, para dar un apoyo integral y coordinado; abordando sus necesidades complejas y multifacéticas de manera efectiva.
- Cumpliendo con el objetivo de este ensayo, se presentó un análisis de la relación existente entre la Teoría Psicosocial de Erickson, la Teoría Ecológica-Sistémica de Bronfenbrenner y el quehacer del trabajador social, al momento de diseñar y desarrollar una intervención social para atender casos de NNA en situación de calle, todo a los fines de contribuir al avance teórico y científico en esta área del conocimiento.

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# Enfoques centrados en la familia para mejorar la socialización y la inclusión de los niños con autismo<sup>1</sup>

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**Resumen.** Este artículo examina las estrategias centradas en la familia destinadas a mejorar la socialización y la inclusión de los niños con trastornos del espectro autista (TEA). Hace hincapié en la crianza eficaz como factor crucial para fomentar interacciones positivas dentro de la familia y con la comunidad en general. Mediante un análisis en profundidad de estudios recientes, se destaca el papel fundamental de las familias en el desarrollo sociocultural de los niños con TEA. El objetivo principal era desarrollar un modelo y una estrategia globales para reforzar el potencial inclusivo de estas familias. En el estudio se emplearon diversas metodologías, como la revisión bibliográfica, el análisis comparativo, el análisis experimental de datos sobre la dinámica familiar y métodos estadísticos como la prueba chi-cuadrado de Pearson. Además, se utilizaron técnicas de modelización para crear herramientas metodológicas y de contenido para apoyar el desarrollo del potencial inclusivo. Los resultados incluyen la creación de un modelo unificado para evaluar y mejorar el potencial inclusivo de las familias con niños con TEA. Contiene una base de criterios estructurados e indicadores claros de la eficacia parental, organizados en grupos de competencias como las competencias informativas, comunicativas, valorativas, personales y educativas. El estudio identificó correlaciones significativas entre las autoevaluaciones y las evaluaciones de expertos en estas áreas. El artículo presenta un enfoque programático, estructurado en cinco bloques temáticos, que proporciona actividades específicas y orientación para el apoyo familiar.

**Palabras clave:** niños con trastornos del espectro autista, potencial integrador de la familia, perfil de competencias, crianza eficaz, socialización.

## Family-centered approaches to enhancing socialization and inclusion of children with autism

**Abstract.** This article examines family-centered strategies aimed at improving the socialization and inclusion of children with autism spectrum disorders (ASD). It emphasizes effective parenting as a crucial factor in fostering positive interactions within the family and with the community at large. Through an in-depth analysis of recent studies, the critical role of families in the sociocultural development of children with ASD is highlighted. The main objective was to develop a global model and strategy to strengthen the inclusive potential of these families. Various methodologies were used in the study, such as literature review, comparative analysis, experimental analysis of data on family dynamics, and statistical methods such as Pearson's chi-square test. In addition, modelling techniques were used to create methodological and content tools to support the development of inclusive potential. The results include the creation of a unified model to assess and enhance the inclusive potential of families with children with ASD. It contains a base of structured criteria and clear indicators of parental effectiveness, organized into groups of competencies such as informative, communicative, evaluative, personal and educational competencies. The study identified significant correlations between self-assessments and expert assessments in these areas. The article presents a programmatic approach, structured in five thematic blocks, that provides specific activities and guidance for family support.

**Key words:** children with autism spectrum disorders, integrative potential of the family, competency profile, effective parenting, socialization.

### INTRODUCTION

The family, as a crucial element of the social institution of society, serves as the subject of numerous interdisciplinary studies. Within the context of psychological and pedagogical research, the focus is on children with disabilities and their immediate surroundings, integrated into the modern educational and sociocultural space. Children with autism spectrum disorders (ASD) require a tailored approach due to their significant increase and the active development of inclusive practices in contemporary society, as well as the proactive involvement of their parents. This issue is relevant across all racial, ethnic, and socio-economic groups. The rise in diagnoses is partly attributed to advancements in screening diagnostics, clinical assessment methods, and diagnostic testing (World Health Organization, 2013).

Currently, there is a lack of large-scale, longitudinal studies in the context of psychological and pedagogical support for children with ASD in the sociocultural space. Clear boundaries for educational and social inclusion have not been established, complicating the choice of family strategies. Overall, the level of inclusive culture in society is noted to be low. Consequently, effective parenting, as a sociocultural phenomenon, requires the construction of an evaluation model and the development of resources and potential capabilities for both the child and the family. Existing experiences in supporting families with ASD often do not fully consider the environmental factor, where the established rehabilitative potential in the system of child-parent relationships and overall interpersonal interactions within families is paramount (Chemerilova et al., 2021). There is a need for scientific

substantiation of new strategies and the modeling of applied developments aimed at optimizing the support process for parents raising children with ASD through the study of the phenomenon and measurable aspect characteristics of the inclusive potential of families.

ASDs are traditionally viewed as developmental conditions of the nervous system, characterized by social communication difficulties, challenges in social interaction, and restricted, repetitive behaviors (Courchesne et al., 2020). The World Health Organization (WHO) identifies ASD as a progressive global public health issue. Promising studies delve into the differential diagnosis of autism and similar conditions and provide reasonable explanations for the significant increase in the number of children diagnosed with ASD in the past decade (Chereneva et al., 2022).

Researchers often emphasize the heightened socio-psychological vulnerability of children with ASD and their total dependence on family members, particularly parents and siblings (Fiske & Austin, 2022). The experiences of parents with autistic traits themselves have been studied, revealing challenges in raising children and obtaining professional services (Marriott et al., 2022). The socio-psychological maladaptation of parents often hinders the socialization of children with ASD. Consequently, researchers increasingly focus on the intervention of specialists in developing skills and competencies related to stress management, reducing psycho-emotional dysfunctions, and optimizing personal, family, and child functioning, which overall enhances parental effectiveness and resilience (Schwartzman et al., 2022).

Parents frequently encounter difficulties in independently solving problematic situations, and often lack the competencies, resources, and technologies necessary for actively participating in the development and upbringing of a child with ASD. This necessitates a systematic analysis of the family's potential capabilities and resources to develop and timely implement quality assistance for the child and their immediate environment, thereby improving the quality of life (Hosseinpour et al., 2022).

The modern family is seen as a vital subject of the educational and sociocultural space, holding primary socialization functions. For individuals with ASD, the family remains the main foundation for organizing and sustaining life activities, acting as a factor in managing existing challenges. In recent research, the problems of families with children with ASD are the focus of numerous scientific and applied studies. Issues of providing comprehensive assistance to parents raising children with ASD, from initial consultation and addressing the acceptance of the child's diagnosis to discussing developmental interaction, are presented in various studies (Baenskaya, 2022).

The external and internal locus of studying the characteristics of families raising children with ASD is explored in the works of S.A. Morozov and colleagues. Their research on parents' attitudes towards their children's development with autism reveals significant problems identified by parents during interactions with their children, such as communication difficulties, speech development issues, stereotypical behaviors and habits, low levels of independence, and challenges integrating into social situations. The authors emphasize that parents of children with ASD do not always recognize intellectual problems as significant, often relying on the common understanding that autism and intellectual disability are not linked. This indicates a different level of parental competence in understanding their child's characteristics, necessitating objective assessments in the system of competent consultation for parents and the child's immediate environment (Morozov et al., 2021).

In the social profile of families raising children with ASD, obtained from the study by S.A. Morozov and S.G. Chigrina (2022), it is noted that parents, in the majority of cases, have higher

education, yet over half are unemployed and lack self-realization. In terms of professional engagement, psychological-pedagogical professions are most frequently mentioned. One-third of families have a child with ASD as their only child. Research into intra-family relationships has highlighted difficulties related to behavioral problems and raising children with ASD, as well as a lack of qualified assistance. Indicators of positive and negative reactions to the acceptance of the child's characteristics in micro- and macro-environments are of interest (Morozov et al., 2023).

The conceptual space of the inclusive potential of the family is based on several fundamental positions. Under current conditions, real inclusion touches on two main research areas: the resources of the child with health limitations and the family as an actor in the child's social development and inclusive processes (Alekhina, 2017).

V.V. Tkacheva (2016) defines the family as a determinant, fundamentally incorporating several crucial elements: medical-rehabilitation, sociocultural, psychological-pedagogical, correctional-educational, moral-ethical, and material-economic. In this context, concepts such as potential—a combination of available means and opportunities—and resources, considered as potential possibilities to be actualized and utilized, converge. Human resources (mental and external) are linked to the understanding of potential, including the family as a subsystem of the social.

In Russian disability studies, it is shown that parents are the primary resources resolving issues of correctional education, upbringing, and socialization of children from early childhood. It is essential to involve not only parents but also other family members in the circle of psychological and pedagogical work (Razenkova et al., 2022). Parents must receive reliable information about their child and be able to competently utilize the family's resource potential. The resourcefulness of the family is determined by an active life stance, competence, and expertise regarding their child and interactions with support specialists and other parents of children with disabilities, as external support. It is crucial to pay attention to the assessment, development, and replenishment of internal resources of parents and other family members (Pavlova, 2022).

E.M. Starobina (2018), in turn, studying the resources and possibilities of families, combines them into rehabilitative potential as a generalized indicator of several characteristics, highlighting several key components: social, psychological-pedagogical, medical, and professional-labor. The rehabilitative potential of the family was incorporated into the family-oriented rehabilitation model for children with disabilities (Pavlov, 2020), and considered as a crucial characteristic of the family in the system of psychological-pedagogical and medico-social rehabilitation. This involves certain mental resources, which are structural components of personality (motivational, emotional, self-assessment, and communicative) (Afonkina & Omelchenko, 2019).

Through understanding rehabilitative potential, Yu.A. Afonkina (2016) approached the understanding of inclusive potential, using it in the context of social inclusion, implying a broader conceptual field. This represents an integrative result of the relationships and potential capabilities of individuals with disabilities as direct initiators and autonomous implementers of various social processes, synthesizing the possibilities and resources of social environments.

In the framework of the presented scientific research, an author's interpretation of the inclusive potential of families raising children with disabilities is formulated as an integrative formation of external and internal resources, determining the overall functionality of the family and parental effectiveness in the processes of including the child in various educational and sociocultural spaces (Kashtanova et al., 2023). Structured indicators, criteria, and assessment indicators of the family's

inclusive potential are required to enhance parental effectiveness in interacting with educational and other organizations for the socialization of children. The focus of this article is on families raising children with ASD.

## **MATERIALS AND METHODS**

This study employed a comprehensive and structured approach to analyze the potential capabilities of modern families with children with disabilities, particularly those raising children with Autism Spectrum Disorder (ASD). The methods included a detailed literature review, comparative analysis, experimental data analysis, and advanced statistical processing.

### **Participants**

The study involved a sample of 50 families raising children with ASD, recruited through special education centers and autism support groups. The sample provided a diverse representation across different socio-economic backgrounds.

### **Data collection**

Data were collected through multiple methods to ensure a thorough understanding of the families' inclusive potential:

- **Structured Interviews:** Conducted with parents to gather qualitative insights into their experiences and challenges.
- **Standardized Questionnaires:** Used to assess parental competencies and family functionality.
- **Observational Assessments:** Conducted by trained professionals to objectively evaluate family interactions and child behavior.

### **Statistical analysis**

For statistical processing, Pearson's chi-squared test was used to analyze contingency tables. This test was chosen to determine the significance of associations between different variables.

### **Ethical considerations**

Ethical approval for the study was obtained from the Institutional Review Board of the Nizhny Novgorod State Pedagogical University named after K. Minina (Russia). Participants were informed about the purpose of the study, their rights, and the confidentiality of their data. Informed consent was obtained in writing from all participants. Measures were taken to ensure the anonymity and privacy of the participants throughout the research process.

### **Technological aspects**

The study utilized modeling techniques to develop the content and methodological support for fostering the inclusive potential of families raising children with ASD. A unified model for analyzing and assessing the inclusive potential of families raising children with various disabilities, including ASD, was created. Comparative analysis of individual indicators was used to determine the degree of influence of various factors on the effectiveness of child support.



A criteria-based assessment framework was developed, highlighting specific groups of competencies and indicators of parental effectiveness, which were included in specially designed forms for different respondent groups. These forms enable qualitative and quantitative assessment based on the Likert scale. Studying the inclusive potential involves a comprehensive analysis of subjective assessments (author's questionnaire "Self-assessment of Parental Inclusiveness") and expert evaluations of the family's inclusive potential conducted by specialists supporting the child and family to objectify the obtained data. This results in two profiles (self-assessment and expert), whose processing includes mandatory correlation with information from personal records. Quantitative results allow building a competency profile of the family (Kashtanova & Kudryavtsev, 2024).

The proposed model for assessing the inclusive potential of families raising children with disabilities has a structured criteria base and clear indicators of parental effectiveness. The selection of competency groups embedded in the mechanism for assessing inclusive potential is scientifically grounded and allows a systematic evaluation of the family's capabilities and resources from the perspective of educational and sociocultural processes. The following registry of competencies was established: informational, communicative, value-meaning, personal, and educational.

## RESULTS

The study results indicate high levels of statistical significance in the self-assessment of criteria indicators and expert evaluation in specific competency categories. Analyzing the channels of potential assistance from specialists and organizations, state educational organizations (57.5% of respondents) are considered the most accessible and active partners. Parents rated the effectiveness of interaction with public organizations relatively low.

Only 32.5% of respondents highly rated their overall informational competence, whereas almost 80% of parents indicated a low level of competence in regulatory and social protection areas. There is also a pronounced need for knowledge about the patterns, characteristics, and technologies of development and support for children with ASD.

Regarding communicative competencies, the focus is on the culture of social interaction and the interaction between parents and specialists supporting the child with ASD. About 40% of respondents rated their skills in conflict-free communication, prevention, or constructive resolution of conflict situations as low. However, there is a high percentage of coincidence between expert and subjective assessments of the level of interaction between parents and specialists, indicating homogeneity of views and positions and readiness for cooperation.

In the group of value-meaning competencies, two key points are emphasized: the attitude towards the "condition" and the so-called generational continuity. Some studies indicate a high level of general psychological stress among parents raising children with ASD, partly associated with overemphasis on symptoms, the tendency to overestimate the significance of individual symptoms and the child's overall condition. The child's condition is perceived as something beyond their control (Kisova & Koneva, 2022).

The initial reaction of parents to the diagnosis is also noteworthy. Parents often exhibit increased anxiety, expressed in seeking answers to the question, "Why did this happen to us and our child?" This frequently leads to searching for someone to blame within the family or among medical staff. Confusion and helplessness drive parents to seek non-traditional forms of assistance (Filippova & Letyagin, 2022).

The perception of the diagnosis is also tied to the process of identifying the child with the diagnosis, and the parent, primarily the mother, with the child. “My child, I, and autism are intertwined into one inseparable whole!” This position is shared by about 42% of respondents. Attention is also drawn to the concern of almost 30% of respondents about the lack of unconditional acceptance of the child by family members and close surroundings. Regarding generational continuity, the analysis of self-relations and expert evaluations indicates high intergenerational confrontation, conflict with their parents and the parents of their spouse, which is relevant for 40% of respondents. About 50% are concerned with the issue of genuinely including the child in the extended family’s socio-cultural space.

Analyzing the realm of personal inclusive competencies, several key positions are highlighted. First, there is a discrepancy between parents’ and specialists’ subjective assessments regarding the component of self-education. Nearly 60% overestimate their need and readiness to acquire new knowledge and skills in the areas of education, development, and upbringing of the child. More than 70% of parents highly rate their own level of general cultural development, but these ratings coincide with specialists’ opinions in only 15% of cases. It is also worth noting the insufficient level of personal maturity, manifested in inadequate criticality, proactive position, responsibility, and readiness for an open conversation about the family and child’s problems, low adaptability, and self-regulation (50% of respondents).

The most important applied aspect can be called the group of educational competencies, determining the ability of parents and close relatives to solve tasks of upbringing and spiritual-moral development; use the environment’s opportunities to achieve educational results; organize interaction within the family and beyond, support and develop the child’s activity, initiative, independence, and creative abilities. Deficiencies include a lack of skills, techniques, and means of constructive interaction with the child in different tasks and activities, noted by about 65% of respondents. The problem of ensuring special conditions, organizing space and a developmental environment in the context of home education, concerns 52% of parents. Also relevant is the issue of effective educational resources, with about 48% of parents not having formed a unified effective system for encouraging and stabilizing desired behavior.

A new reality in modern science and practice is the demand for developing the content component of the culture and ethics of inclusion as a complex multifactorial and multi-subject process. The shift in predicate in these phrases “inclusive culture” and “culture of inclusion” corresponds to the shift in emphasis and the replacement of the dominant “inclusiveness” with the dominant “culture.” A person constantly implements cultural scenarios, i.e., some formalized algorithms of life activity determined by social and environmental conditions, public experience, values, norms, and rules of behavior. A special place among cultural scenarios is occupied by scenarios of certain activities, as they generally predetermine the nature, goals, norms of behavior, and interaction of people in any sphere of life. One such cultural scenario in modern society is the culture of inclusion.

According to respondents participating in the survey, the psychological component of the culture of inclusion, primarily the desire, ability, and aspiration of a person to understand others, consider and respect their interests, habits, moods, sincerely respond to their feelings and experiences, understanding and accepting the characteristics and uniqueness of another person and oneself – 65.5% of respondents.

A fairly high self-assessment of their own level of inclusion culture is given by about 82% of the surveyed parents, which significantly exceeds the similar assessments of specialists, teachers working in the system of accompanying children with ASD and their families. It is particularly noteworthy the dominance of a passive-consumer, “object” position demonstrated by 65% of the surveyed parents of children with ASD. They position themselves as some “recipients” of this very culture, demonstrated by practical steps from others. About 85% of all surveyed parents highlight the behavior and attitude of others as the main reason for the educational and social inclusion of children with ASD. An inadequately high assessment by parents and family members of their own level of inclusion culture and a pronounced external locus of control with reduced subjective criticality can become a serious barrier to the socio-personal development of both the child with ASD and the family as a whole. This position correlates with a qualitative analysis of the provided results of assessing the personal, communicative, and educational competence of parents raising children with ASD.

Based on the structure of the competency profile of the experimental group and the overall picture of the evaluation indicators, the main directions of corrective and developmental and advisory-educational activities with parents raising children with ASD as the target group of the study were determined. The program of activities is divided into blocks according to the groups of competencies. The most important thematic vector is the axiological aspect, integrating value-meaning competencies, besides informational, communicative, personal, and educational competencies are included.

Block 1 “Value-Meaning” is aimed at making parents of children with ASD aware of the potential opportunities and negative consequences of the condition. The following positions are considered important:

- Formation of parents’ readiness to openly discuss the problems of their child and family, correlating with parents’ acceptance of the child’s condition.
- Emphasizing the importance of maintaining and transmitting family values, and fostering the family’s role in spiritual communication.
- Actualization of intergenerational relationships within the family as a basis for preventing negative consequences of the condition.

Basic content and implementation tools:

- Primary group training (formation of a conscious attitude towards the condition, increasing the level of acceptance, and perception of the situation of a “special child”/ “feeling and experiencing ‘otherness’”).
- Group training “Are we the right parents?!” (working through the criteria of family well-being and educational potential of well-being).
- Practicum “Life balance wheel” (identifying value-meaning priorities and distributing resources of each family member).
- Seminar “Fathers and children – connection or conflict of generations” (actualization of parent-child relationships in the context of an extended family system of several generations, identifying the degree of unity and functionality of the family).

Block 2 “Informational” aims to activate parents’ efforts to create and organize special conditions aimed at developing the potential opportunities of a child with ASD. The main guidelines are:

- Increasing parents' awareness of parent communities, medical, psychological-pedagogical, and social support.
- Determining the parent's own influence on the regression of developmental challenges.

Basic content and implementation tools:

- Lecture "What is important to know about autism" (educating parents about the patterns of development of children with ASD, their special educational needs, and the need to create special conditions).
- Round table "Routes of assistance" (analyzing real and potential resources and sources of "assistance" for parents raising children with ASD).
- Seminar "Comprehensive support and assistance for families raising children with ASD" (informing parents about the support and assistance available from various societal institutions).

Block 3 "Communicative" has the goal of forming a culture of social interaction and ecological relationships within the family raising a child with ASD. The following positions are defined:

- Formation of parents' abilities to build productive interactions with teachers and specialists.
- Emphasizing the importance of building positive relationships with other parents (of neurotypical children, children with ASD, and other developmental groups).
- Orienting parents in a variety of communicative means.

Basic content and implementation tools:

- Training seminar "Culture of inclusion" (forming parents' ideas about the culture of inclusion and the importance of generational continuity in this matter).
- Training "Do we communicate ecologically?!" (forming parents' skills in conflict-free communication and social interaction culture).
- Practicum "Family mapping" (building a schematic representation of the family based on identifying its needs, determining connections with other families, social organizations, institutions).
- Webinar "Productive cooperation" (identifying the need and readiness of parents to cooperate with specialists, increasing the productivity and intensity of interaction).
- Training "Masters of communication" (equipping parents with information on traditional and alternative means of communication, forming skills to recognize the child's non-verbal signals).

Block 4 "Personal" focuses on parents' analysis of their own personality traits and determining personal maturity. The basic constructor includes:

- Finding a stable source of psychological support and emotional relief for parents.
- Forming optimistic attitudes and positive thinking in parents.
- Accumulating parental resources.

Basic content and implementation tools:

- Practicum “Self-knowledge – the key to development” (creating conditions for parents to analyze their personality traits and the risks of realizing their own incompetence).
- Lecture “The highest qualified parent” (identifying indicators of successful parenting, updating criteria for their competence in parenting issues).
- Training “Problem solving and self-care” (identifying current difficulties experienced by parents raising children with ASD, working through the algorithm for solving arising problems, and forming useful ways of self-care).
- Webinar “Territory of personal growth” (determining parents’ trajectory of self-development, addressing issues of de-identification, idealization, and the syndrome of personal importance).

Block 5 “Educational” relates to identifying and using rational educational strategies by parents raising children with ASD. The main directions include:

- Developing parents’ educational potential.
- Forming mentorship in family relationships.
- Analyzing the involvement of the immediate environment in the educational process and helping to activate their efforts.
- Unveiling the potential of the family’s adaptive educational resources.

Basic content and implementation tools:

- Webinar “Basics of special family pedagogy” (informing parents about the features of family upbringing of children with ASD, updating the main educational strategies and methods of education).
- Lecture “Compensatory upbringing and adaptive parenting – territory of potential opportunities” (demonstrating to parents special methods of interaction with a child with ASD, forming skills in designing a subject-developing environment).
- Round table “Parent tutoring – pros and cons” (discussing the feasibility of parent tutoring, helping parents solve problematic situations).
- Practicum “Fair of positive practices” (identifying and actualizing the resources of the family and the close environment of parents raising children with ASD).

## CONCLUSION

The positions proposed in the article form a unified system for assessing and developing the inclusive potential of the family, which expands the possibilities for creating and implementing necessary special conditions and meeting the special needs of children with ASD in the process of their active inclusion in sociocultural and educational spaces. The family and immediate environment constitute a powerful potential resource, providing access to various means and forms of comprehensive support for the child with ASD. One of the main mechanisms ensuring psychological and pedagogical support for the child is the system of parental competencies.



The analysis of the positions presented in the article, reflecting the content and specifics of the competency profiles of parents raising children with ASD, aligns with modern conceptual positions that consider parental competence as a basic condition for their education, upbringing, and socialization (Tkacheva, 2023). The formation of targeted settings in parents for understanding the main substantive aspects of their own culture of inclusion, the inclusive potential of the family and immediate environment, as well as the rehabilitative-adaptive potential of their own child. The technological solutions aimed at developing inclusive potential, presented in the form of thematic blocks reflecting separate groups of competencies, can be used in the system of comprehensive family support for those raising children with ASD.

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# Principios de uso de plataformas de mediación basadas en inteligencia artificial para resolver conflictos familiares

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**Resumen.** El rápido desarrollo de la tecnología permite integrar la inteligencia artificial en la resolución previa de litigios entre cónyuges. La IA, sus ventajas e inconvenientes y la necesidad de minimizar las consecuencias negativas de su uso han sido objeto de intenso debate. El artículo presenta los resultados de un estudio destinado a desarrollar un sistema de principios para el uso de plataformas de mediación impulsadas por IA en la resolución de disputas familiares. El objetivo principal es analizar las ventajas e inconvenientes de dichas plataformas y elaborar principios para el uso eficaz de la IA en la fase previa al juicio. El estudio se basa en el análisis de investigaciones seleccionadas según criterios específicos y examinadas cuidadosamente mediante métodos de analogía y comparación. Los resultados muestran las características clave de las plataformas impulsadas por IA, incluidas ventajas como la rapidez, la eficacia, la accesibilidad y la objetividad. Las desventajas incluyen la violación de la confidencialidad, el riesgo de errores y la falta de flexibilidad y capacidad de respuesta emocional. Los principios para el uso de la IA en la mediación incluyen el respeto de la legalidad, la objetividad, la transparencia, la precisión, la fiabilidad, la protección de datos, el apoyo al aprendizaje y el desarrollo, el control del usuario y el cumplimiento de las normas éticas.

**Palabras clave:** mediación, tecnologías digitales, inteligencia artificial, principios de utilización de la inteligencia artificial, acuerdos, derechos, responsabilidades.

## Principles of using mediation platforms based on artificial intelligence in resolving family disputes

**Abstract.** The rapid development of technology allows integrating artificial intelligence into the pre-trial settlement of disputes between spouses. AI, its advantages and disadvantages, and the need to minimize the negative consequences of its use have been the subject of intense debate. The article presents the results of a study aimed at developing a system of principles for using AI-powered mediation platforms to resolve family disputes. The main objective is to analyze the advantages and disadvantages of such platforms and to develop principles for the effective use of AI at the pre-trial stage. The study is based on the analysis of research selected according to specific criteria and carefully examined using analogy and comparison methods. The results show the key features of AI-powered platforms, including such advantages as speed, efficiency, accessibility, and objectivity. The disadvantages include a breach of confidentiality, risk of errors, and lack of flexibility and emotional responsiveness. Principles for using AI in mediation include respect for legality, objectivity, transparency, accuracy, reliability, data protection, support for learning and development, user control, and compliance with ethical standards.

**Key words:** mediation, digital technologies, artificial intelligence, principles of using artificial intelligence, agreements, rights, responsibilities.

### INTRODUCTION

Mediation platforms based on artificial intelligence (AI-powered platforms) are becoming a popular tool and promising technological achievement in resolving family disputes. With the help of AI-powered mediation platforms, it is possible to resolve conflicts extrajudicially, reach a compromise, and come to an agreement (Garcia, D., 2017). Mediation can be useful in resolving family disputes as it helps the parties maintain the relationship and find a solution that is acceptable to both of them. Mediation platforms using AI algorithms can optimize the mediation process, reduce costs, and increase the efficiency of all stages of the parties' reconciliation (Han et al., 2021). Such platforms use intelligent chatbots in the form of virtual assistants that interact with spouses, help analyze their problems, and come to an agreement. AI-based virtual assistants provide constant feedback and help the parties reach an agreement without deviating from the chosen course of mediation (Collini et al., 2024).

AI-powered systems are capable of learning, gaining experience, processing natural language, and recognizing patterns. Based on this, they can offer optimal solutions and predict the outcome of agreements between the parties. However, the use of AI-powered platforms in mediation has certain risks. To minimize them, it is necessary to develop principles for using AI in the pre-settlement of family disputes. The topic of AI-driven mediation is controversial. Scholars highlight the main features of the pre-trial consideration of family disputes using AI and offer various options for increasing the efficiency of AI-powered platforms (Bezerra & Almeida, 2020). Therefore, further research in this area is relevant and promising, as well as practice-oriented.



## LITERATURE REVIEW

Scholars consider using AI-powered mediation platforms to resolve disputes in family law. According to experts, such platforms can optimize the mediation process and have the following advantages:

- **Speed and efficiency:** using AI allows to speed up the mediation process since algorithms can analyze large arrays of data and quickly provide solutions (Conley Tyler & McPherson, 2006; Nasir et al., 2022);

- **Objectivity:** AI can be used to ensure objectivity and impartiality in the mediation process. Unlike humans, machines are not subject to emotions and personal biases, which makes them ideal arbiters (Jia & Stan, 2021; Martín-Núñez et al., 2023; Rainey & Tidwell, 2017; Leoni et al., 2022).

- **Accessibility:** AI-powered mediation platforms are accessible to all stakeholders, regardless of their location or time of day. This allows for real-time mediation and significantly reduces costs (Sela, 2018; Kumar & Kumar, 2021; Larson, 2010).

However, some scholars claim that the integration of AI-powered platforms into the mediation process for resolving family disputes may raise concerns. The main disadvantages of using AI-powered platforms include:

- **Breach of confidentiality:** when processing personal data and information, a leak may occur. It is necessary to ensure the protection of personal data from unauthorized access and misuse during the mediation process (Nazir et al., 2023; Kafeza, 2021; Zeleznikow, 2021).

- **Lack of flexibility:** some situations may require the mediator to be flexible and able to adapt to changing conditions. However, AI may not have such flexibility, especially if it is programmed for a specific procedure (Cao et al., 2023; Chung, 2019).

- **Risk of errors:** Even though AI is becoming more accurate and reliable, there is still a risk of errors and poor decisions. This can have negative consequences for the parties to the dispute (Garg, 2022; Ermakova & Frolova, 2021; Fabian, 2019).

According to experts, AI is not endowed with qualities that are inherent in humans, such as emotionality (Frey & Osborne, 2013), empathy (Hirblinger, 2022), and the ability to show compassion (Alsamhan, 2023). These qualities in resolving family disputes are important for establishing mutual understanding between the parties. Only people can comprehend non-verbal signals, console, sympathize, and create a comfortable environment for communication. AI cannot react emotionally to ongoing discussions. As a result, the parties may feel coldness and detachment, and such a reaction can aggravate their conflict.

The study examines both the advantages and disadvantages of using AI-powered platforms in resolving family disputes. It is also necessary to propose a system of principles that minimize the risks of using such platforms in mediation.

The main objective of this study is to reveal the advantages and disadvantages of using AI-powered mediation platforms in resolving family disputes and to propose a system of principles for using AI in the pre-settlement of family conflicts.

## METHODS

To study using AI in the mediation of family disputes, we analyzed works by scholars that have a significant impact on scientific trends in this area. Our study relied on a desk review and comparative analysis. We selected research that contained the terms “AI in mediation” and “risks of its use”.

To collect data, we relied on the PRISMA standards and conducted a bibliographic search in Scopus, Web of Science, Google Scholar, and official legal sites. Materials were selected based on the following criteria:

- 1) The author has at least three publications on the topics of AI in mediation, AI-powered platforms in mediation, resolving family disputes using AI, and risks of using AI in mediation over the past 10 years;
- 2) There must be more than 50% of research on legal topics in the total number of publications by the author;
- 3) The author’s profile must indicate that their publications are thematically related to legal sciences;
- 4) The author’s scientific works must have been written between 2014 and 2024.

Using this approach, we initially selected more than 158 publications.

This was followed by filtering that included reading the full texts of the articles to identify the most relevant ones. After careful sampling, 33 papers were selected.

Then we analyzed the selected works and, based on our analysis, formulated the principles of using AI before the judicial settlement of family disputes and minimizing the associated risks.

## RESULTS

The first attempts to use AI in dispute resolution were made back in the 1970s (Bains et al., 2001). Today, AI is widely used in legal proceedings. In the UK, AI predicts a possible decision on releasing suspects on bail. In the USA, it predicts the risk of crime-specific reoffending. In China, it analyzes judicial precedents and predicts court decisions. In Western Europe, digital courts use AI (Fanni et al., 2020). Mediation is a new area of AI application in resolving family disputes. Family disputes have their specifics. However, their resolutions are standard and standardized, which allows one to train and use AI-powered platforms to resolve family conflicts at the pre-trial stage. Training is important for AI-powered platforms and includes the following aspects:

- 1) Using large amounts of data for training: for AI to learn and develop, it needs to use large arrays of data, including legal precedents and agreements concluded between spouses.
- 2) Using machine learning and deep learning enables AI to automatically extract patterns and dependencies from data, which makes it more accurate and efficient.
- 3) Integrating with other technologies: AI should be integrated with other technologies such as sensors, robotics, and the Internet of Things to collect and analyze data in real time and improve performance.
- 4) User feedback plays an important role in the training and development of AI. It allows systems to learn from mistakes and improve their results.

The principle of constant training and development of AI is fundamental. Without constant training, AI-powered platforms cannot analyze new legislative acts and judicial precedents and make appropriate decisions. AI must be trained on unbiased and representative data to avoid systematic errors or biases. This includes collecting data from a variety of sources and considering different opinions (Kirillova et al., 2023).

AI should strive for accurate predictions and correct decisions. It is important to have well-structured and verified data and to use suitable algorithms and data processing methods. Thus, ***the principle of accuracy and reliability*** must ensure that the rights and interests of the parties to the dispute are respected.

According to our analysis, the use of AI-powered platforms in mediation has several advantages, including ***speed and efficiency*** (Conley Tyler & McPherson, 2006; Nasir et al., 2022; Birnbaum, 2023) and ***objectivity*** (Jia & Stan, 2021; Martín-Núñez et al., 2017; Sela, 2018; Kumar & Kumar, 2021; Larson, 2010). Agreeing with this opinion, we highlight objectivity among the main advantages of AI since it eliminates controversial and erroneous decisions. The decisions made by AI are based on objective data and facts rather than subjective opinions or preferences. Therefore, ***the principle of objectivity*** is fundamental in the use of AI-powered platforms.

Concluding agreements between spouses is sensitive and requires much attention. Thus, it is important to minimize the risk of making erroneous decisions, which is facilitated by the correct configuration of AI-powered platforms. ***The principle of quality and safety*** plays an important role in the functioning of AI (Rusakova et al., 2021). This principle allows for the effective use of AI in mediation through AI certification and legislative enshrinement of mandatory technological requirements for AI-powered platforms. To ensure that the rights of spouses are respected in resolving family disputes, governments and regulators must develop and implement laws and standards that guarantee data security and privacy and protect user rights.

## DISCUSSION

In addition to the advantages of using AI-powered platforms when resolving family disputes, experts identify certain disadvantages, including ***the lack of flexibility*** (Cao et al., 2023; Chung, 2019), ***a breach of confidentiality*** (Nazir et al., 2023; Kafeza, 2021; Zeleznikow, 2021), ***the risk of errors*** (Garg, 2022; Ermakova & Frolova, 2021; Fabian, 2019), and ***the lack of emotional reactions*** (Frey & Osborne, 2013; Hirblinger, 2022, Alsamhan, 2023). Considering these risks of using AI-powered platforms, using AI in resolving family conflicts should be based on ethical principles, such as respect for human rights, non-discrimination, and fairness (Cole & Blankley, 2006).

To minimize the risk of personal data leakage, it is necessary to follow ***the principle of data protection*** when using AI in mediation. Information used to train and operate AI must be protected from misuse and leakage.

In addition to these risks, AI-powered mediation platforms should be introduced into the legal field; therefore, the possibility of using AI in mediation processes should be established in legal acts. At the moment, experts note the lack of legislative regulation of AI-powered platforms both at the judicial and pre-trial stages (Zhang et al., 2021). The next principle of using AI-powered platforms in mediation follows from the principle of legality. In legal proceedings, AI must be used in accordance with the law and must not violate citizens' rights and freedoms.

Integrating AI-powered platforms into the mediation process raises new concerns about responsibility and accountability. Traditionally, the mediator is responsible for their actions. However, it is unclear who is responsible for the decisions and recommendations generated by AI (Xu et al., 2023). *The principle of user control* allows the mediator, when resolving family disputes, to obtain the data used by AI to make a solution and influence the decisions made by AI.

The practice of mediation using AI-powered platforms should rely *on the principles of transparency and objectivity*. The principle of transparency in using AI is that users should have access to information about how the system works, what data is used to train it, and what decisions it makes. This helps users understand why the system makes certain decisions and how they can be changed or improved. Transparency can also help reduce mistrust in the system and improve its overall effectiveness.

The principle of objectivity in using AI is the desire to create AI-based systems that are free from bias and can make decisions based on facts and data, without the influence of personal preferences or prejudices. AI-powered platforms must be designed in such a way so that they do not discriminate against users based on their gender, race, age, nationality, religion, sexual orientation, and other factors (Morhat, P.M., 2019). AI should ensure objective and fair agreements between conflicting parties and not bias or manipulate data. Therefore, the principle of objectivity of AI-powered platforms in mediation is fundamental and mandatory.

## CONCLUSION

Based on our results, we highlighted the advantages and disadvantages of using AI-powered platforms in mediation. It was proven that the use of such platforms in resolving family disputes should be based on the following principles:

- The principle of legality;
- The principle of objectivity;
- The principle of transparency;
- The principle of accuracy and reliability;
- The principle of user control;
- The principle of data protection;
- The principle of continuous learning and development;
- Ethical principles.

The study is limited by its sample size. We initially used 158 scientific works, including monographs, reports, and statistics. After careful consideration, 33 works were selected that described the advantages and disadvantages of using AI-powered mediation platforms in resolving family disputes. The obtained data allowed us to formulate a system of principles for using AI in resolving conflicts between spouses at the pre-trial stage.

Further research on AI-powered platforms in mediation needs to consider a system of measures that minimize the risks of using AI in resolving family disputes at the pre-trial stage.

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# Uso de los teléfonos inteligentes para mejorar la participación cognitiva creativa en el aprendizaje estudiantil: un estudio de caso

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**Resumen.** El estudio examina las perspectivas de utilizar teléfonos inteligentes como instrumento de aprendizaje. El documento reporta los resultados de un estudio orientado al sujeto sobre las características personales y de género de cómo los estudiantes de secundaria general (grados 8-9) perciben la posibilidad de dominar competencias transversales utilizando teléfonos inteligentes como el medio más común de aprendizaje independiente/a distancia. El objetivo de la investigación se persigue mediante una encuesta que evalúa 23 descriptores de competencias transversales en términos de la posibilidad de su desarrollo utilizando teléfonos inteligentes. Los resultados de la encuesta también se analizan por género. El análisis indica las competencias transversales que los encuestados creen que se promueven utilizando teléfonos inteligentes y las competencias que dudan que se puedan desarrollar utilizando teléfonos inteligentes. Con base en las ventajas y desventajas de los teléfonos inteligentes para el dominio de las competencias transversales, los autores proponen conclusiones orientadas a la práctica que se pueden utilizar en recomendaciones metodológicas sobre métodos, instrumentos y medios efectivos para desarrollar y evaluar competencias transversales.

**Palabras clave:** competencias transversales, smartphone, herramienta de aprendizaje, resultados del aprendizaje, diferencias de género.

## Using smartphones to enhance creative cognitive engagement in student learning: a case study

**Abstract.** The study examines the prospects of using smartphones as a learning instrument. The paper reports on the results of a subject-oriented study of the personal and gender-specific characteristics of how general secondary school students (grades 8-9) perceive the possibility of mastering transversal competencies using smartphones as the most common means of independent/distance learning. The research goal is pursued using a survey assessing 23 descriptors of transversal competencies in terms of the possibility of their development using smartphones. The survey results are additionally analyzed by gender. The analysis indicates the transversal competencies that respondents believe to be promoted using smartphones and the competencies that they doubt can be developed using smartphones. Based on the advantages and disadvantages of smartphones for mastery of transversal competencies, the authors propose practice-oriented conclusions that may be used in methodological recommendations on effective methods, instruments, and means of developing and accessing transversal competencies.

**Key words:** transversal competencies, smartphone, learning tool, learning outcomes, gender differences.

### INTRODUCTION

The general trends of the pervasive introduction of information and communications technology (ICT) (Abdullaev et al., 2023a, 2023b) stimulate the attention of the scientific and pedagogical community to the use of Internet technologies, resources, and communication platforms in education (Kozhomuratova et al., 2024).

Recent research suggests that as of April 2024, school and university/college students constitute the largest share (98%) of regular Internet users in Russia (Levada-Center, 2024); 92% of school students aged 14-17 use the Internet constantly (Stogova, 2023). The leading type of device to access the web used by the overwhelming majority of Russian school students, is a smartphone. Most students aged 14–17 (92%) have their own smartphones with Internet access (Stogova, 2023). Among other devices used for learning (laptops, tablets), the majority of school students give preference to smartphones (64%) (Stogova, 2023).

The opportunity to use smartphones as a learning tool is provided by their functions correlating with those of a personal computer: managing MS Office files, searching for information on the Internet, using educational applications, applications for text and graphic messaging and video, and communication (social networks) and educational platforms, reading e-books and documents, etc. (Vasilev et al., 2020; Balova et al., 2022). However, the process and results of using a smartphone as a learning tool require comprehensive study (Kostromina et al., 2022; Knyazeva et al., 2024).

The relevance of the study on the effectiveness of smartphones in realizing educational goals stems from several interrelated aspects:

- 1) The spread of organized (by the teacher) (Avdeeva et al., 2022) and unorganized (by individual students) use of smartphones, which during the COVID-19 pandemic was associated with the crisis learning conditions that influenced the educational process organization and caused the need to use ICT for distance and blended learning (Borodina et al., 2022).

- 2) The need for a comprehensive evidence-based (empirically proven) description of the advantages and disadvantages of smartphone use related to learning outcomes. Transversal competencies are subject to assessment and recording of teachers' observation of their development in students as evidence of learning achievements (Elistratova et al., 2021). Research associated with the search for effective methods and means of developing and accessing subject-specific and transversal learning outcomes is urgent (Gabidullina et al., 2023).

A topical direction of research to determine the influence of certain tools on the qualitative indicators and learning results is the study of students' opinions (as active users) regarding the effectiveness of their application. Since the student is the final addressee of the system of pedagogical influences in the paradigm of person-centered learning, their opinion reflects the effectiveness of the system's influence (in the context of our research problem – the influence of smartphones). Understanding students' digital behaviors in achieving their learning goals will help identify the advantages and disadvantages of using smartphones as learning tools and raise awareness among stakeholders in education about the productive strategies of using smartphones in the educational process.

## LITERATURE REVIEW

Publications on the use of smartphones for learning purposes cover various aspects (Pivneva et al., 2022; Nikolaeva et al., 2024). Several studies focus on the methodological and instrumental aspects, exploring the benefits of the constructive use of smartphones for mobile learning (Harrison et al., 2013; Diliberto-Macaluso & Hughe, 2016), personalized learning (Steel, 2012), self-regulated learning (Sha et al., 2012), and the delivery of lessons (Klimova, 2017; Soekamto et al., 2022). Most studies analyze the advantages of using smartphones: the portability of the devices; the flexibility of learning (the ability to learn irrespective of time and place); the expansion of learning environments and models (including didactic methods) due to the device's instruments (constructive use of camera functions, access to the Internet as an opportunity to install learning applications and use online platforms and services, which facilitates the organization of independent, personalized, and differentiated learning); organization of controlled cooperation between students and between students and the teacher; continuous exchange of information of any format, etc.

The problems of using smartphones in teaching are covered from a methodological and instrumental perspective: the difficulty of controlling the use of applications (distraction by non-educational content, exchange of entertainment messages); safe behavior on the Internet and cyberbullying (Gapsalamov et al., 2020); lack of awareness of the importance of teachers utilizing smartphones in instruction; media literacy (Alwraikat, 2017; Deniza et al., 2017; Gapsalamov et al., 2020).

A psychological and pedagogical view of the problem is considered in research focusing on determining the influence of smartphones on the psychological features of students' learning activity and the quality of learning outcomes (Chen & Zan, 2016; Hochberg et al., 2018). A review by O.J. Sunday et al. (2021) systematizes works that show positive and negative consequences of smartphone use. Researchers prove that excessive use of mobile devices has a negative impact on students' learning achievements (Lepp et al., 2015). Scientists attribute the decline in learning outcomes to the disruption of discipline and decreased concentration, explained by the multitasking capabilities of smartphones leading to uncontrolled shifts of attention between different activities and the effect of distraction (Roberts et al., 2014). E. Sumuer and D.N. Kaçıkci (2022) prove the influence of the multifunctionality of smartphones on the emergence of the mental phenomenon of "mind-wandering" in students when using devices in the learning process (the emergence of non-task-related

opinions). Attention deficit and distraction while studying can lead to issues with working memory inhibition (reduced speed and performance of information encoding, storage, and retrieval makes it difficult to recall the necessary information at the right moment, for example, at exams). R. Lavoie and Y. Zheng (2023) argue that the same functions of smartphones can have a positive effect on some users and a negative effect on others.

J.K. Nayak (2018) identifies gender differences in the impact of smartphones on learning outcomes. Specifically, their impact on learning outcomes is more significant for male students, who show signs of dependence on smartphones. Smartphones affect the development of attention deficit in teenage girls and their self-control, whereas teenage boys only demonstrate a significant influence of smartphones on the concentration of attention.

Several papers also argue for the positive results of using smartphones in training. B. Dos (2015) finds a positive relationship between mobile phone use and learning achievements and between smartphone use and metacognitive awareness (consciousness). The study shows that smartphones promote students' interest in learning and curiosity. B. Klimova (2018) and P. Ling et al. (2023) report findings regarding the influence of mobile devices on motivation for learning. The authors prove that mobile applications adapted to the relevant educational level stimulate students to learn in a specially organized environment during lessons and after school hours, especially with timely feedback.

Y. Lin et al. (2021) prove that the impact of smartphones is unclear and depends on the type of applications used. The authors demonstrate that the proper use of educational applications positively affects academic achievements, while the use of gaming applications, social media, music, video, and entertainment have a negative effect on the learning quality and results, additionally contributing to the development of nomophobia (fear of inaccessibility of smartphones).

Most analyzed studies are object-oriented (disclosing the observed phenomenon based on analyzing qualitative characteristics and the obtained learning results). To fully unravel the issue, it is important to study the subjective opinion of the users of smartphones as a means of learning. It is necessary to conduct subject-oriented research aimed at exploring students' personal opinions regarding the effectiveness of smartphone use based on their user experience. Our research is aimed at exploring the personal perceptions of 8th-9th grade students on the possibility of mastering transversal competencies using smartphones.

The article reports the results of a subject-oriented study of the personal and gender features of the perceptions of general secondary school students regarding mastering transversal competencies using smartphones as the most common means of independent/distance learning.

## METHODS

At the first stage of the research, the sources of information necessary for the realization of the research objective were selected. The data for this study were represented by monographs, as well as articles and reviews published in journals indexed by Scopus and Web of Science. Based on the analysis of the source base, the problems and prospects of using smartphones for educational purposes were identified.

At the second stage, an expert survey aimed at determining the most significant transversal competencies for general secondary school students was carried out. The sample size of 44 experts was determined to be sufficient, and the selected participants were e-mailed proposals to take part



in the survey. The criterion for the selection of experts was the presence of at least three publications on the research problem in peer-reviewed journals. A total of 40 people agreed to participate in the survey, after which they were sent e-mails with questions. Based on the received answers, the most significant transversal competencies of general secondary school students were identified.

At the third stage, the survey method was applied to investigate students' assessment of smart-phones as a means of mastering transversal competencies. The study involved 157 students of 8th (N=86) and 9th (N=70) grades with equal gender distribution.

The survey was conducted in person during the educational process. In the course of the survey, the respondents did not receive any external evaluation regarding the correctness of their assessments of the questions offered in the questionnaire. The questionnaire, developed by us, contained 23 items – the descriptors of transversal competencies determined at the previous stage, which were evaluated by the degree of agreement with the proposed statement on an ordinal Likert scale (5 being the maximum degree of agreement). The transversal competencies were grouped into content clusters, which were also used to group their respective descriptors (Table 1).

**TABLE 1.** Description of transversal competency clusters (by content)

Transversal competency clusters	Indexed descriptors of transversal competencies
1. Text processing	1.1. Analyzing artistic texts 1.2. Analyzing scientific texts 1.3. Analyzing mass media texts 1.4. Analyzing graphs, figures 1.5. Creating charts, figures, tables 1.6. Finding the information needed to complete the task (word interpretations, rules, algorithms for tasks, templates) 1.7. Checking the correctness of completed tasks
2. Thinking: critical, systemic, creative	2.1. Making conclusions and proving them orally 2.2. Making conclusions and proving them in writing 2.3. Comparing different opinions and views 2.4. Recognizing reliable and unreliable information 2.5. Writing creative works, pieces of writing
3. Interaction	3.1. Interacting (cooperating) with others (when performing group tasks) 3.2. Planning teamwork in completing shared tasks
4. Argued statement of own opinion	4.1. Expressing one's opinion and proving it orally 4.2. Expressing one's opinion and proving it in writing 4.3. Writing a formal letter to a specific institution or organization
5. Decision-making	5.1. Making a decision while anticipating and considering possible consequences 5.2. Finding ways to solve problems 5.3. Evaluating a task completed independently 5.4. Evaluating tasks completed by classmates

Answering the questionnaire, students used their experience to assess the productivity of smart-phones in various activities and the development of relevant competencies during their studies.

The results were processed using statistical methods in IBM Statistica 10. The ranking of students' assessments was compiled based on the list of descriptors of transversal competencies (the right column in Table 1).

## RESULTS

The ranking of the characteristics of smartphone effectiveness based on the assessments of male and female students is presented in Table 2.

**TABLE 2.** Ranking of respondents' assessments by gender

Girls		Boys	
Transversal competencies	M	Transversal competencies	M
1.6. Finding the information needed to complete the task	4.49*	1.7. Checking the correctness of completed tasks	4.28*
1.7. Checking the correctness of completed tasks	4.40*	2.4. Recognizing reliable and unreliable information	4.17*
4.3. Writing a formal letter to a specific institution or organization	4.40*	1.2. Analyzing scientific texts	4.13*
1.3. Analyzing mass media texts	4.38*	1.6. Finding the information needed to complete the task	4.11*
2.5. Writing creative works, pieces of writing	4.27*	5.3. Evaluating a task completed independently	4.01*
2.4. Recognizing reliable and unreliable information	4.24*	1.4. Analyzing graphs, figures	4.00*
1.4. Analyzing graphs, figures	4.17*	2.5. Writing creative works, pieces of writing	3.97
1.2. Analyzing scientific texts	4.10*	1.1. Analyzing artistic texts	3.96
1.5. Creating charts, figures, and tables	4.10*	1.5. Creating charts, figures, and tables	3.93
2.2. Making conclusions and proving them in writing	4.09*	2.1. Making conclusions and proving them in writing	3.93
5.3. Evaluating a task completed independently	4.09*	4.3. Writing a formal letter to a specific institution or organization	3.93
5.4. Evaluating a task completed by classmates	4.05*	1.3. Analyzing mass media texts	3.89
1.1. Analyzing artistic texts	3.97	4.2. Expressing one's opinion and proving it in writing	3.88
4.2. Expressing one's opinion and proving it in writing	3.97	3.1. Interacting (cooperating) with others	3.86
2.1. Making conclusions and proving them orally	3.94	5.4. Evaluating a task completed by classmates	3.86

**TABLE 2. Continuación**

Girls		Boys	
Transversal competencias	M	Transversal competencias	M
3.2. Planning teamwork in completing shared tasks	3.90	5.2. Finding ways to solve problems	3.82
5.2. Finding ways to solve problems	3.87	2.2. Making conclusions and proving them orally	3.78
5.1. Making a decision while anticipating and considering possible consequences	3.78	2.3. Comparing different opinions and views	3.76
2.3. Comparing different opinions and views	3.74	5.1. Making a decision while anticipating and considering possible consequences	3.71
4.1. Expressing one's opinion and proving it orally	3.68	4.1. Expressing one's opinion and proving it orally	3.64
3.1. Interacting (cooperating) with others	3.58	3.2. Planning teamwork in completing shared tasks	3.58

\*positive assessment of the possibility of mastering the competency.

According to students, smartphones are the most effective tool for mastering competencies related to information search and analysis. The least productive use of smartphones, in students' view, is developing the competency of expressing and proving one's opinion orally.

Table 3 demonstrates differences in the mean values of students' rating of the characteristics of smartphone use (gender differences in students' ratings).

**TABLE 3.** Difference between the mean values of the ranking score of smartphone usage options (girls/boys)

Transversal competencias	M		Difference in mean values
	Girls	Boys	
1.1. Analyzing artistic texts	3.97	3.96	0.01
1.2. Analyzing scientific texts	4.10*	4.13*	-0.03
1.3. Analyzing mass media texts	4.38*	3.89	0.49
1.4. Analyzing graphs, figures	4.17*	4.00*	0.17
1.5. Creating charts, figures, and tables	4.10*	3.93	0.17
1.6. Finding the information needed to complete the task (word interpretations, rules, algorithms for tasks, templates)	4.49*	4.11*	0.38
1.7. Checking the correctness of completed tasks	4.40*	4.28*	0.12
2.1. Making conclusions and proving them orally	3.94	3.93	0.01
2.2. Making conclusions and proving them in writing	4.09*	3.78	0.31
2.3. Comparing different opinions and views	3.74	3.76	-0.02
2.4. Recognizing reliable and unreliable information	4.24*	4.17*	0.07
2.5. Writing creative works, pieces of writing	4.27*	3.97	0.3

TABLE 3. Continuación

Transversal competencies	M		Difference in mean values
	Girls	Boys	
3.1. Interacting (cooperating) with others (when performing group tasks)	3.58	3.86	-0.28
3.2. Planning teamwork in completing shared tasks	3.90	3.58	0.32
4.1. Expressing one's opinion and proving it orally	3.68	3.64	0.02
4.2. Expressing one's opinion and proving it in writing	3.97	3.88	0.09
4.3. Writing a formal letter to a specific institution or organization	4.40*	3.93	0.47
5.1. Making a decision while anticipating and considering possible consequences	3.78	3.71	0.07
5.2. Finding ways to solve problems	3.87	3.82	0.05
5.3. Evaluating a task completed independently	4.09*	4.01*	0.09
5.4. Evaluating tasks completed by classmates	4.05*	3.86	0.19

\*positive assessment of the possibility of mastering the competency.

Table 3 shows that girls generally gave high scores to the assessed characteristics. The most significant differences in the ratings, where there is an advantage in the ratings of girls, are observed with respect to the following characteristics of activity: "Analyzing mass media texts", "Writing creative works, pieces of writing", "Finding the information needed to complete the task", "Writing a formal letter to a specific institution or organization", and "Planning teamwork in completing shared tasks". A significant advantage in the estimations of boys is observed only in the characteristic of "Interacting (cooperating) with others".

## DISCUSSION

In the process of actively using a smartphone as a learning tool, the student develops their own attitude to this instrument. Accordingly, a system of indicators expressed in the subject's assessment of the learning tool develops. It can be argued that above-average ratings by students (average = 3.9 out of 5 points) indicate their interpretation of smartphones as an important learning tool. However, our survey results and the analyzed studies reviewing the educational opportunities offered by smartphones (Hochberg et al., 2018; Lavoie & Zheng, 2023) indicate that in the eyes of students the use of smartphones becomes situational and passively consumerist. Our survey suggests that students believe smartphones to be effective in developing the competencies of searching, analyzing, and using educational information. On the other hand, there is not much confidence in the smartphone-aided development of the competencies of productively interacting with others and expressing one's opinion (orally).

Summarizing the reported results, we should note that the student's subjective assessment of the influence of smartphones on their learning outcomes, formed in the course of their personal experience using the device, characterizes the consciousness of their attitude to smartphones and affects the way students' learning activities are shaped. The learned modes of activity form the im-

peratives of behavior and thinking style and influence the subject's decision-making in studies and other situations (Dos, 2015). Considering our results, we can assert the following:

The relevance of developing methodological materials to unlock the potential of smartphones as learning tools used for students' active creative cognitive activities (manifested in the transversal competency clusters "Interaction", "Argumented statement of own opinion", and "Decision-making"), which is of particular importance in the era of the global digitalization of education; developing a system of group tasks to be performed using smartphones (including scenario-based, project-based approach (Mukhametkairov et al., 2024), etc.);

The need to account for gender differences in organizing constructive interaction between students: creating comfortable conditions for the activity, initiative, and self-expression of students of both genders and the development of their social intelligence (productive manipulation of information, the expression and argumentation of one's opinion, proving the correctness or inaccuracy of conclusions, etc.); creating opportunities for meaningful student communication based on gender balance (Roberts et al., 2014) (engaging students of both genders in working in mixed groups to accomplish shared tasks using smartphone software);

The expediency of the results of the present study (certain generalized perceptions of students about the effectiveness of using smartphones for the formation and development of transversal competencies and the significance of these competencies) in the context of a differentiated approach to teaching methods and the methods of assessing learning outcomes: e.g., considering students' perceptions of the effectiveness of smartphones to handle educational information in the organization of work on a certain task and the choice of learning strategies. In the aspect of the difficulty of assessing transversal competencies, we consider this approach promising, although it does require further research.

## CONCLUSION

Our research used the instrumental and differentiated approaches to transversal competencies as learning outcomes common to all subjects, specifically subjects' assessment of the effectiveness of using smartphones to achieve common educational goals, and the identification of gender differences: 1) in students' understanding of the components of transversal competencies and their importance; 2) in assessments of possibilities for mastering transversal competencies using smartphones.

Our results prove the need to consider the specifics of mobile learning in the organization of the pedagogical process and the recommendations developed through the study of this phenomenon, particularly successful practices and technologies for the introduction of smartphones in learning, as well as raising students' awareness of the productive use of smartphones for the development of emotional intelligence, teamwork skills, etc.

The identification of the advantages and disadvantages of smartphones to master transversal competencies will allow to consider them when developing methodological recommendations on effective methods, tools, and means of their development and assessment. Given the ambiguity of the results of scientific research, the constant development of smartphone technologies and software, and the corresponding changes in the organization of students' learning activities, further investigation of these issues remains relevant and requires systematic research.



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# Modelo basado en competencias para el desarrollo de cualidades personales y profesionales de los docentes

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**Resumen.** Este estudio presenta los fundamentos teóricos de un modelo basado en competencias para la formación de docentes universitarios. Partiendo de una revisión de la literatura científica, el documento analiza los conceptos de competencia y competencia clave, estableciendo que el proceso educativo innovador está llevando a que las competencias clave se conviertan en la base de este modelo. Desde los aspectos teóricos del problema, se caracteriza el modelo en el proceso educativo innovador de la educación superior. El modelo incluye competencias básicas y clave como componentes en la preparación de los docentes de educación superior para el proceso educativo innovador, siendo la competencia innovadora la principal. El modelo es una estructura teórica que determina los objetivos, principios, estructura, contenido y métodos para lograr las condiciones establecidas por las universidades para el desarrollo personal y profesional de los docentes en el contexto del proceso educativo innovador. Identifica los requisitos para los docentes universitarios, fundamenta las competencias básicas y clave, y las dota de contenido como parte de la estructura del modelo. El modelo presenta un sistema de componentes interconectados: competencias básicas y clave, cuyo dominio contribuye al desarrollo personal y profesional, aumentando la competitividad y movilidad profesional de los docentes de educación superior, atendiendo a los requisitos del proceso educativo innovador.

**Palabras clave:** modelo basado en competencias, profesor de enseñanza superior, competencias básicas, competencias clave, proceso educativo innovador.



## Competency-based model for the development of teachers' personal and professional qualities

**Abstract.** This study presents the theoretical foundations of a competency-based model for the training of university teachers. Based on a review of the scientific literature, the paper analyzes the concepts of competence and key competence, establishing that the innovative educational process is leading key competencies to become the basis of this model. From the theoretical aspects of the problem, the model is characterized in the innovative educational process of higher education. The model includes basic and key competencies as components in the preparation of higher education teachers for the innovative educational process, with the innovative competence being the leading one. The model is a theoretical structure that determines the objectives, principles, structure, content, and methods to achieve the conditions established by universities for the personal and professional development of teachers in the context of the innovative educational process. It identifies the requirements for university teachers, substantiates the basic and key competencies, and fills them with content as part of the model's structure. The model presents a system of interconnected components: basic and key competencies, whose mastery contributes to personal and professional development, increasing the competitiveness and professional mobility of higher education teachers, in line with the requirements of the innovative educational process.

**Key words:** competency-based model, higher education teacher, basic competencies, key competencies, innovative educational process.

### INTRODUCTION

In modern conditions, the specifics and creative nature of higher education teachers' work pose high requirements to the representatives of this profession (Turanin & Posokhova, 2023; Tutkova et al., 2024). The problem of training higher education teachers to work in an innovative educational environment and manage innovative educational processes gives rise to the critical issue of defining and developing the conceptual foundation of the competency-based model for university teachers (Aziyev et al., 2024; Shestitko et al., 2024). The concept of the model of a teacher is a theoretical construct that determines the purpose and principles of the model's development and implementation, its structure and content, and the methods of achieving the conditions set by universities for teachers' personal and professional development in the context of the innovative educational process.

In developing the model's components, it is first necessary to identify the requirements for the specialist – a higher education teacher performing various activities, including innovative activities (Bochkareva et al., 2020). Second, it is necessary to specify the required theoretical knowledge, practical skills, and abilities (competencies) (Dulzon & Vasileva, 2009). Readiness for innovative activity is the driving force behind a teacher's innovative stance (Ling et al., 2023). In terms of structure, it is a complex integrated formation covering various qualities, properties, knowledge, and personal skills, serving as a prerequisite for teachers' effective work, the maximum realization of their capabilities, and the development of their creative potential.



The model for university teachers should include professional and personal development because the harmonization of the profession is the basis of the vocational training system. The creative direction of pedagogical activity presupposes a scientific view of pedagogical phenomena and the multiplicity of their solutions, which requires the integration of social and personal educational strategies (Andrienko & Kalachikova, 2016). Professional competence is increasingly recognized as an integral characteristic of the teacher's personality; the issue of the higher education teacher's necessary competencies is relevant and timely.

## LITERATURE REVIEW

Our analysis of scientific sources shows that an individual's competence in psychological and pedagogical science is described in connection with a wide range of theoretical and applied issues, directed mainly at the professional establishment, development, and self-improvement as a subject of professional activity in many studies (Frolov & Makhotin, 2004; Akmaeva & Zhukov, 2010; Ekimova & Voronina, 2020). The phenomenon of professional competence is investigated by many scholars whose primary focus is higher education teachers' training (Sharipov, 2010; Lopanova, 2015; Gazgireeva & Burniasheva, 2019). The fundamental grounds for the renewal of the higher education system, the vocational training of higher education teachers, the theoretical and methodological foundations of the development of university teachers' professionalism and professional culture, mastery, and competence are covered by V.P. Medvedev and Iu.G. Tatur (2007), O.P. Khodenkova (2016), and M.R. Ziganshina et al. (2018). The components of teachers' professional competence that ensure personal and professional self-development and self-improvement and determine its acmeological culture are covered by O.N. Krylova and O.B. Dautova (2016), I.A. Gazieva and A.A. Burashnikova (2023), and T.Iu. Poliakova and V.M. Prikhodko (2022). The essence, structure, and content of innovative competence are considered by O.B. Tomilin et al. (2007), E.B. Nastuev (2020), and N.E. Kopytova (2013). The attributes of teachers' innovative competence are presented by G.I. Boinchanu (2010); the factors contributing to the formation of innovative competence are investigated by G.R. Khusainova et al. (2022) and A.A. Muraveva and O.N. Oleinikova (2020).

Despite a considerable body of research into the various matters of competence, the issue of the competency-based model for university teachers in the innovative educational process remains understudied.

The study aims to characterize the competency-based model for teachers of the new formation in the innovative educational process of higher education.

## METHODS

In accordance with the features of the competency-based model for teachers in the innovative educational process in universities, we employed a qualitative approach. The data were collected between January 15 and March 15, 2024 using an analysis of scientific literature on the research problem.

The first stage of the study involved selecting the source base represented by research papers published in journals indexed in Scopus and Web of Science. Relying on the analysis of the source base, we determined the theoretical foundations of the model.

At the second stage, based on the generalization of the analysis of the source base, we identified the basic and key competencies of a higher education teacher as constituents in the model.

## RESULTS

### Theoretical foundations of the model

In today's science, the concepts of competence and competency are the main categories of the new approach in education and have different interpretations (Table 1).

**TABLE 1.** Analysis of the concepts of competence and competency

Category	Definition	Source
Competence	The totality of personal qualities (value-meaning orientations, knowledge, skills, abilities) determined by the experience of human activity in a specific socially and personally significant sphere	R.I. Akmaeva and V.M. Zhukov (2010)
	Mastery of the corresponding competency, including personal attitude to the subject matter	F.V. Sharipov (2010)
	A set of features (characteristics) of the person allowing them to perform certain activities aimed at solving problems (tasks) in a certain industry with high quality	E.B. Nastuev (2020)
Competency	A set of interrelated semantic orientations, knowledge, skills, abilities, and experience of activity in relation to a certain range of real-life objects necessary for the implementation of personally and socially significant productive activities	N.V. Ekimova and M.M. Voronina (2020)
	The person's willingness to mobilize their knowledge, skills, and external resources for effective action in a particular life situation	O.P. Khodenkova (2016)
	A personal characteristic of a specialist connected to solving a certain type of professional tasks	O.N. Krylova and O.B. Dautova (2016)
	A general ability based on knowledge, experience, values, and aptitudes gained through learning	T.Iu. Poliakova and V.M. Prikhodko (2022)

Note: compiled based on (Akmaeva & Zhukov, 2010; Sharipov, 2010; Khodenkova, 2016; Krylova & Dautova, 2016; Ekimova & Voronina, 2020; Nastuev, 2020; Poliakova & Prikhodko, 2022).

The presented definitions make it clear that most researchers attribute to the structure of professional competence "a set of objectively necessary knowledge and skills to solve the problems of professional practice" (Nastuev, 2020:24). A.A. Muraveva and O.N. Oleinikova (2020) pay attention to the fact that the fashion for competencies without any analysis of the real needs of universities leads to models created without their further application. It is important to determine the purpose of designing a competency-based model from its inception. There is also the danger that the list of competencies considered necessary will grow infinitely long and eventually experience devaluation.

A purposeful literature review also suggests that the overwhelming majority of researchers believe that among the derivatives of the term “competence” (“professional competence”) are the concepts of key competencies, basic competencies, universal competences, etc. The context of our research requires us to characterize the concept of key competencies considering the features of teachers’ work in the innovative educational process. Most publications interpret key competencies as competencies common for all professions (Krylova & Dautova, 2016; Poliakova & Prikhodko, 2022). The mastery of key professional competencies by university teachers is an important task for the didactics of higher education. Analysis of the designed key competencies allows determining individual educational strategies, choosing adequate learning technologies, and establishing mechanisms for the assessment and self-assessment of the teacher’s readiness for effective scientific and educational work in the framework of the innovative educational process. The educational result of such an approach is a set of key competencies reflecting the personal and professional development of a higher education teacher.

The innovative educational process is leading to the establishment of the model of the new formation of teachers based on key competencies. In global educational practice, this concept is described as a priority. This owes, first, to the fact that key competencies combine the intellectual and skill-based components of education. Second, the concept of competency embodies the ideology of interpreting the content of education “from the result”. Third, a key competency is integrative, combining several homogeneous or related knowledge and skills. Key competencies are multifunctional, and mastering them can solve various problems in the professional or social spheres.

**Competency model of a contemporary higher education teacher**

We identified, substantiated, and provided content for the basic and key competencies in the structure of the professional competence of a higher education teacher. They form the foundation of the competency-based model of a new-age teacher. Under the concept of the model, we understand the system of interrelated components: basic and key competencies, which contribute to personal and professional development and increase the competitiveness and professional mobility of higher education teachers who meet the requirements of the innovative educational process.

This includes the following basic competencies (Table 2).

**TABLE 2.** Basic competencies of a higher education teacher

No.	Competency	Content
1	Theoretical and methodological	Mastery of the methodology of cognition and philosophical comprehension of the world as an integral system, knowledge of the scientific world picture Basic knowledge of sociology, ability to use the knowledge of society as a socioeconomic system and the history of its development in professional work Knowledge of the basics of anthropology, ability to use the knowledge of man in professional activities Understanding the goals and objectives of work, ability to see the problem and set and solve tactical and strategic objectives General scientific knowledge as a foundation for a profession or group of professions

TABLE 2. Continuación

No.	Competency	Content
2	Research	<p>Ability to observe how phenomena and processes occur and analyze them in terms of their content, causes, and consequences</p> <p>Ability to employ various research methods, hypothesize, design and conduct research, and work with information</p> <p>Participation in research projects, scientific and methodological seminars, and conferences with presentation of personal research results</p> <p>Ability to engage students and colleagues in scientific activities, performance of dissertation research, management of scientific research, and participation in the work of scientific councils and expert groups</p>
3	Psycho-pedagogical	<p>Knowledge of the basics of pedagogy and the theory and methods of vocational training</p> <p>Knowledge of the basics of psychology, mastery of elementary self-diagnostic and diagnostic methods</p> <p>Studying psychological and pedagogical literature, application of personality-oriented pedagogical technologies and psychological methods in professional teaching practice</p>
4	Methodological	<p>Ability to develop and edit educational and thematic plans and programs, methodological recommendations and didactic materials, syllabuses, control and assessment materials, and educational and methodological complexes</p> <p>Mastery of teaching methods for the relevant discipline, the ability to prepare and conduct training sessions and educational activities</p> <p>Ability to organize students' independent work and study methodological literature and promising pedagogical practices</p> <p>Generalization of personal pedagogical experience in different forms</p>
5	Subject	<p>In-depth knowledge of the content of the academic discipline, constant monitoring of scientific literature in the subject field, knowledge of the latest world achievements in teaching</p> <p>Attendance of advanced training courses, internships, training, participation in department meetings devoted to reviewing new content of the academic subject, participation in interdepartmental, university, and regional seminars, workshops, and conferences on the subject</p> <p>Ability to apply innovative methods and technologies in teaching the subject</p>

Note: developed by the authors.

The most important component in the model is key competencies (Table 3).

**TABLE 3.** Key competencies of a higher education teacher

No.	Competency	Content
1	Innovative	<p>Recognition of the social significance of innovations, involvement in social creativity, and ability to join in one or more stages of the innovation process</p> <p>Personal aptitude to master new things, readiness for changes in the methods of professional activity</p> <p>Innovative perception: perception of one's innovations and innovations or discoveries in general, ability to see new elements in the relatively constant and propose fundamentally new solutions to problems</p> <p>Creativity in solving professional problems</p> <p>Possession of special theoretical knowledge and practical skills in pedagogical innovations and the theory of innovative pedagogical activity, ability to effectively apply them in practice</p> <p>The use of updated, more effective forms, means, and methods of teaching and the achievement of qualitatively new results on this basis as a result of implementing innovations</p>
2	Commercial	<p>Terminological and normative-legal literacy in the commercial sphere, knowledge of copyright law and the transfer of intellectual products into intangible assets for higher education</p> <p>Understanding of the commercialization process, ability to position oneself as a subject in the market of innovative scientific and educational developments and services</p> <p>Initiative and entrepreneurship, ability to analyze the situation on the labor market, command of business language, ability to propose business ideas and find sources of funding for innovative scientific research</p>
3	Information technology	<p>Full and adequate provision of educational and other types of information to students to help them achieve their learning and other objectives</p> <p>Ability to search, analyze, transform, and apply information to solve professional problems</p> <p>Skills in working with information on academic subjects, educational specialties, and industries</p> <p>Ability to navigate the flow of scientific information and select the main information for professional activities</p> <p>Proficiency with modern technical support and information technology and information search, analysis, selection, transformation, storage, and transfer methods</p> <p>Knowledge of traditional and information technologies, mastery of information and communications methods and technologies for teaching and developing electronic educational and methodological complexes</p>
4	Project management	<p>Mastery of project management, ability to attract students and colleagues to project activities, readiness to model professional activity and educational trajectory</p> <p>Ability to mobilize intellectual and psychophysiological abilities to replenish knowledge, ability to design learning, plan the system of work, and predict the results</p> <p>Ability to adequately assess professional capabilities and performance and adjust practice</p>



TABLE 3. Continuación

No.	Competency	Content
5	Upbringing and development	Ability to develop one's own and students' research abilities and qualities; ability to foster the right beliefs, motives, values, and norms of behavior in oneself and students; general and professional culture, high moral qualities, corporate culture, and respect for the scientific and educational community
6	Communication and reflection	Awareness of all types of communication in professional practice Work to improve one's image (style) as a teacher, lecturing skills, knowledge of professional thesaurus, skills of working in professional pedagogical groups Participation in mass cultural and educational events Ability to cooperate effectively with other people and build subject-subject relations in the process of professional activity Proficiency in foreign languages

Note: developed by the authors.

## DISCUSSION

At the present stage in the development of higher education, against the background of constantly accelerating information accumulation, the issue of the substantive content of the professional competencies of a higher education teacher has gained features that were previously not inherent to it. This is connected with the changing socio-professional function of a teacher, whose task is now not limited only to transferring the accumulated sum of knowledge (Gapsalamov et al., 2020). Given the increasing requirements for the training of a modern specialist, a teacher in higher education should focus on creating such organizational conditions of the innovative educational process that contribute to students' recognition of the need to independently acquire and modernize their knowledge and continuously work on self-development and self-improvement (Muraveva & Oleinikova, 2020; Archugova et al., 2023).

The basic knowledge, professional skills, and competencies of a higher education teacher cannot suffice for the entire duration of their multicomponent pedagogical career. The content of key competencies (Kopytova, 2013), which ensure the professional functioning and the professional development of teachers and their compliance with Russian and global trends and standards, is fundamentally changing.

There are grounds to speak not only of the competencies inherent to a specialist in a field, which constitute the basis of their professional skills, but also of the emergence of new competencies that still need to be mastered and whose content is not yet fully determined, but which are going to distinguish a person and a professional of the new formation.

The development of a competent higher education teacher is impossible without the support of the ideas of managing their professionalization. This relies on the principles of systematic, integral, synergetic, maneuverable, and forward-looking education. Developed based on basic and key competencies, the competency-based model of a higher education teacher can serve as a foundation for the theoretical and methodological bases to train higher education teachers to model the educational environment in the framework of the innovative educational process.

## CONCLUSION

The competency-based model of a higher education teacher as a subject of pedagogical activity in the university educational space is multidimensional, corresponding to a complex of developed pedagogical abilities, personal abilities, skills, and theoretical and applied knowledge. The totality of their pedagogical abilities, personal abilities, and professional competencies helps a university teacher to organize pedagogical communication, carry out pedagogical interaction with students, achieve a high level of skill, and actively shape their own personality as a teacher.

The university educational space is an important condition and result of the activity of subjects in education. It provides the continuity of educational events and the transmission of social, moral, and spiritual experience. It reflects the system of real interactions between a teacher in higher education and the open social environment and interactions aimed at utilizing society's educational potential to meet their own educational and self-development needs.

We see further research prospects in the experimental verification of the theoretical model and the study of the mechanisms, conditions, and factors of organization of the innovative university educational space to develop and form the basic and key competencies of a higher education teacher.

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## Reducir las diferencias sociales con la IA: mejorar el acceso a la terminología lingüística especializada

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**Resumen.** Este artículo explora el papel transformador de la inteligencia artificial (IA) a la hora de abordar las desigualdades sociales en la enseñanza de idiomas, mejorando el acceso a la terminología lingüística especializada. A medida que la educación evoluciona en la era digital, la IA emerge como una herramienta revolucionaria que personaliza y mejora la experiencia de aprendizaje, haciendo que la adquisición de lenguas extranjeras sea más accesible y eficaz. El estudio se centra en la aplicación de ChatGPT en el aprendizaje de lenguas extranjeras, demostrando cómo la IA puede optimizar los resultados del aprendizaje proporcionando apoyo individualizado y un acceso más amplio a materiales auténticos. Aprovechando la IA, los estudiantes pueden mejorar su dominio de la terminología especializada, perfeccionar su comunicación oral y mejorar sus habilidades de escritura. La investigación subraya el potencial de ChatGPT para salvar las brechas sociales en la educación ofreciendo un acceso equitativo a recursos de aprendizaje de idiomas de alta calidad, lo que permite a alumnos de diversos orígenes lograr mejores resultados educativos. El estudio concluye que la IA, y ChatGPT en particular, es una poderosa herramienta para democratizar la enseñanza de idiomas y mejorar la competencia lingüística especializada.

**Palabras clave:** inteligencia artificial, tecnologías de IA, herramientas de IA, ChatGPT, lengua inglesa.



## Bridging social gaps with AI: improving access to specialized language terminology

**Abstract.** This article explores the transformative role of artificial intelligence (AI) in addressing social inequities in language education by improving access to specialized language terminology. As education evolves in the digital age, AI emerges as a revolutionary tool that personalizes and enhances the learning experience, making foreign language acquisition more accessible and effective. The study focuses on the application of ChatGPT in foreign language learning, demonstrating how AI can optimize learning outcomes by providing individualized support and broader access to authentic materials. By leveraging AI, students can improve their proficiency in specialized terminology, refine their spoken communication, and enhance their writing skills. The research highlights the potential of ChatGPT to bridge social gaps in education by offering equitable access to high-quality language learning resources, thereby empowering learners from diverse backgrounds to achieve better educational outcomes. The study concludes that AI, and ChatGPT in particular, is a powerful tool for democratizing language education and improving specialized language proficiency.

**Key words:** artificial intelligence, AI technologies, AI tools, ChatGPT, english language.

### INTRODUCTION

Artificial intelligence has become a true technological breakthrough of the 21st century (Abdullaev et al., 2023a), generating debate about its potential and further improvement and use, including in education (Kiselitsa et al., 2024). The AI industry has been developing rapidly in the past few years, adjusting all spheres of science and technology (Abdullaev et al., 2023b). Today, there are numerous AI-based instruments for language learning, including translators (Litwinowa et al., 2022), chatbots (imitating conversations with native speakers), adaptive educational games (personalizing the learning process), and interactive exercises (providing instant feedback) (Chernova et al., 2022; Kostyunina, 2022). These tools present students with more convenient and effective ways of learning foreign languages (Lopukhina et al., 2024). Language skills are necessary to communicate effectively and are vital in any sphere (Kabzhanova et al., 2024). A priority for teachers is to provide students with the necessary resources and support to improve their language skills and help them to realize their full potential (Knyazeva et al., 2023).

In the context of educational institutions' variability in the spectrum of choice of technologies to work with educational process participants (Gabidullina et al., 2023), the need arises to define the content of mastering AI systems and offer variants of its application, considering the needs of vocational training subjects (Bialik et al., 2022; Batashev et al., 2023).

ChatGPT (Generative Pre-Trained Transformer) by OpenAI is the most promising incarnation of neural network-based AI. This large statistical language model can function in a dialog format and support queries generated in natural languages (Ivakhnenko & Nikolskii, 2023). Unlike other chatbots, this neural network "remembers" the answers and questions of the interlocutor in each dialog and can maintain a consistent and coherent conversation (Ali et al., 2023).

Since Russians have only recently become active ChatGPT users (Eflova et al., 2023), the impact of this technology on learning outcomes and its application in the academic environment for learning English is under-researched, despite being a topical and promising issue.

## LITERATURE REVIEW

Our analysis of scientific literature allows us to allocate the vectors of AI implementation in the educational process in the following areas:

- educational process management (personalization of the educational process, the ability to track the individual process of each student and notify the teacher about difficulties in understanding the educational material, analysis of the educational activity of the educational institution, monitoring of the quality of educational services, creation of educational courses, etc.) (Shefieva & Isaeva, 2020),
- design of educational courses (creation of outline plans, development of modules for courses, etc.) (Hussin, 2018),
- creation of educational content (visualization of materials, creation of texts, multimedia, exercises, and tasks, current and final attestations) (Baker, 2016),
- automatic assessment (the opportunity to analyze the responses based on automatic assessment, provide individual feedback, and create individual learning plans for everyone) (Sorokin, 2023),
- proctoring (control and monitoring of the assessment procedure in online exams or tests) (Kotenko & Lutsenko, 2020),
- consolidation of educational material (can be implemented in stages) (Garkusha & Gorodova, 2023),
- a tool for solving common tasks (project activities, creative tasks, etc.) (Anokhin et al., 2022).

AI in foreign language classes serves four main functions:

- 1) Independent assessment of student's achievements, which is an important criterion of modern education. The most simple and clear AI application is knowledge control, automated checking of tasks, identification and correction of errors, assistance to teachers, and determining the independence of assignment completion in grading. AI helps to eliminate cheating by analyzing camera images and user activity in the browser. The independence of task completion is determined by AI-based proctoring systems. Significant positive effects are demonstrated by AI for knowledge and skill acquisition and by text and voice recognition features followed by natural language analysis (Sysoev, 2024).
- 2) Learning assistant. Students can use voice assistants like Amazon Alexa and Apple Siri and automatic translators and apps to proofread their text for vocabulary, grammar, and syntax errors (Cherkasova, 2023).
- 3) Global learning. Students can participate in various activities around the world and expand their circle of acquaintances in other countries and cultures. AI helps to find relevant information and tailor the search results to users' needs (Kostiukovich, 2023).

- 4) Individualized approach to foreign language learning. Each participant in the learning process can perform tasks at their own pace. AI systems allow performing tasks considering previous mistakes (Fomin & Sadovikov, 2022).

Teachers gain an additional resource opportunity to turn to AI algorithms and approach their work more creatively and productively (Li & Fu, 2022). By skillfully using AI, teachers can make the educational process more effective and transfer some of their functions to the computer, freeing their time to perform more intellectually demanding and creative tasks.

The integration of AI into the learning process can help students to learn foreign languages more effectively by providing them with a more personalized and technologically advanced approach to learning (Islamov, 2020).

AI methods in foreign language learning can significantly improve the learning process and give students more opportunities to develop language skills (Kantorovich & Pavliutina, 2023). Interactive language learning platforms that use AI (Duolingo, Rosetta Stone, Babbel, Memrise, Busuu, Lingodeer, etc.) enjoy popularity (Pokrivcakova, 2019).

Other noteworthy instruments include adaptive programs that analyze student progress and propose personalized exercises and tasks; speech and pronunciation recognition systems that correct pronunciation errors; machine learning that analyzes data on students' training and provides personalized recommendations; augmented reality (AR) and virtual reality (VR) that deepen language learning; automated assessment systems that simplify teaching and learning; mobile applications for language learning, etc. (Eltanskaia & Arzhanovskaia, 2024).

Researchers argue the relevance of using chatbots, or virtual assistants, to practice speaking and listening comprehension (Seghier, 2023). Chatbots offer a unique mode of interaction with the user through dialogue, which is crucial for learning; save the history of communication with the user, which allows them to access their prior responses; contribute to students' motivation and engagement by giving them clues on what to do, entertaining, and simultaneously educating; operate 24/7 (Sysoev & Filatov, 2023).

The advantages and possibilities of ChatGPT in English learning have not yet been researched separately.

The study aims to examine ChatGPT as an innovative tool for English learning, including specialized terminology, identify and explore its advantages and possibilities, determine its limitations, give recommendations on its use, and experimentally demonstrate the increase in the productivity of English learning, including in specialized terminology.

## METHODS

The study employed the following general and special scientific methods, the complex of which was designed to obtain objective and reliable results:

- systems analysis to establish the degree of the development of the research problem by Russian scholars,
- a pedagogical experiment was used in the implementation of the experimental study of English teaching using ChatGPT,

- a survey helped to determine the effectiveness of English learning using ChatGPT,
- synthesis enabled the systematization of research materials.

As part of the overview of research methods, we would like to note that ChatGPT is the basic model used for context-based text generation. It uses the Transformer architecture, which allows the model to understand context and generate responses that match the user's query. ChatGPT is trained on a large body of text data that includes a variety of content in English.

ChatGPT has powerful potential for English learning, helping to improve speaking skills, listening and reading comprehension, vocabulary, and accuracy.

We shall dwell on some aspects of the use of ChatGPT within the framework of the experiment.

ChatGPT combined with the Google Chrome extension "Talk to me!" is a simulator of English speech activities. As part of their practice sessions, students were asked to select the recognized language and the language of the interlocutor, e.g., American or British English, and the speaker's gender.

ChatGPT communication parameters were specified in the following format: "Communicate like a (*choice of specialty*). Communicate like a real person, not an AI. You have been working as a (*choice of specialty*) for three years. I will ask you questions about your job, and you will answer. My level of proficiency in English is B1".

During communication, the students asked the following questions:

- Why did you choose your profession?
- Could you tell me anything from your work experience?
- Could you give any advice to beginners? etc.

As part of grammar practice, the students were asked to instruct ChatGPT to correct grammar errors in their conversation (provided they had installed "Talk to me!") and writing (in chatbot format), explain the rules, and select grammar exercises to practice the topic in which the mistakes were made.

As part of vocabulary expansion, ChatGPT was provided with specialized terminology to be learned with instructions to create three situations for each word or phrase to be translated into English. After the translation, ChatGPT checked the answers for errors and provided feedback.

ChatGPT can regulate tone (degree of formality or informality) when generating texts to train skills in applying specialized terminology to appropriate professional situations.

The effectiveness of English learning using ChatGPT was assessed based on a survey. The students were proposed to use ChatGPT in their training. A total of 106 people agreed to participate in the experiment.

Using comparative analysis, experimental group students were surveyed twice over the year: before the start of the 2023 autumn semester before using ChatGPT and after 3 months of using it.

**RESULTS**

The survey results are presented in Table 1.

**TABLE 1.** Results of the survey on the effectiveness of English learning using ChatGPT

No.	Question	Before using ChatGPT (0-10), mean value	After using ChatGPT (0-10), mean value
1	How would you rate your speaking skills?	6.3	7.2
2	How would you rate your listening comprehension skills?	5.5	6.2
	How would you rate your grammar knowledge?	4.5	5.3
3	How would you rate your active vocabulary?	5.1	5.9
4	How would you rate your passive vocabulary?	6.5	6.7
5	How would you rate your knowledge of specialized terminology?	6.2	7.7

The survey results show an improvement in the effectiveness of English learning using ChatGPT ( $t_{emp} = 4.8, p \leq 0.01$ ), including the highest results in the development of speaking and knowledge of specialized terminology.

We experimentally proved that a significant improvement in learning performance indicators was achieved by introducing ChatGPT as an additional teaching tool.

**DISCUSSION**

Summarizing the experiment, we note that the responses of ChatGPT as a communicative simulator were exhaustive and creative and had sufficient accuracy and lexical content with specialized terminology. Apart from opportunities to create an effective artificial language environment, this simulation of foreign language activity gives a degree of psychological comfort, since the student understands that they are dealing with software and thus can repeat the question several times before voicing it. Since the chatbot responds to coherent speech and perceives pauses as a signal to start responding, students develop the habit of speaking without pauses and stops, with the right rhythm and correct pronunciation. The gamification of the educational process using ChatGPT and the opportunity to personalize communication and choose the topic serve as additional factors encouraging students to develop their speaking skills.

Our results demonstrate that the introduction of AI to master specialized foreign-language terminology must focus on the following key components:

- 1) *Providing clear learning objectives.* Teachers need to formulate the goals of learning with the help of AI. These goals need to correspond to the general goals of the curriculum and emphasize the mastery of specialized terminology, which students will be able to improve using AI.



- 2) *Offering accessible and user-friendly AI tools.* AI tools used in learning specialized foreign-language terminology must be easily accessible and convenient. This can be achieved by offering clear instructions on how to access and operate AI tools. Instructors should consider providing tutorials on the operation and features of AI tools to help students use them effectively (Islamov, 2020).
- 3) *Providing the right prompts.* To maximize the effectiveness of AI tools for mastering specialized foreign-language terminology, students need to focus on the effectiveness of AI prompts. Educators can support students in structuring and refining the prompts based on their specific goals. This can be accomplished by guiding students to generate questions and prompts that meet their learning goals (Kotenko & Lutsenko, 2020).
- 4) *Providing immediate feedback and corrections.* A key advantage of AI tools is their ability to provide instant feedback and corrections. This feature should be used in the implementation of AI tools for learning specialized foreign-language terminology. Teachers should ensure that AI tools provide immediate feedback on the use of specialized vocabulary. This feedback should be clear and impactful, allowing students to identify the areas in need of improvement and make corrections.
- 5) *Encouraging personalization and autonomy.* It is important to encourage students to personalize their learning experience and provide for their autonomy. Students can pick topics or content that interest them and incorporate them into their practice of mastering specialized foreign-language terminology using AI. That is why the strategic implementation of AI tools has the potential to significantly improve the mastery of specialized foreign-language terminology among students in higher education institutions. By integrating AI into a special program for learning specialized foreign-language terminology, teachers can create a more engaging and interactive learning environment (Garkusha & Gorodova, 2023). Transparency in teaching and learning plays a decisive role in promoting students' awareness and understanding that they benefit from AI in learning specialized foreign-language terminology.
- 6) *Monitoring and assessment of progress using AI.* AI tools can provide valuable data and insight into the level of mastery of specialized foreign-language terminology, enabling targeted interventions and personalized support.

By clearly defining the learning objectives, making AI tools accessible and user-friendly, leading students to effective prompts, using immediate feedback and correction, and encouraging student personalization and autonomy, instructors foster an optimal environment for students to master specialized foreign-language terminology using AI (Kostiukovich, 2023). Educating students on the limitations and potential caveats of AI can help them develop critical thinking and make informed decisions about using AI-generated content.

By focusing on these key components and continually evaluating and refining the AI methodology based on student feedback and technological advances, higher education institutions can effectively provide their students with the knowledge of specialized foreign-language terminology required for educational and professional activities (Ling et al., 2023).

Considering our recommendations for improving the use of AI for mastering specialized foreign-language terminology and ways of their implementation in the educational process, it is crucial to emphasize the integral role of the teacher. As argued by P.V. Sysoev (2024), AI is transforming higher education. However, it cannot completely replace the teacher, mentor, supervisor, etc., be-

cause the learning process is multifaceted and does not boil down to completing the assigned tasks. Human interaction is irreplaceable and has numerous social objectives. This includes adaptation to a new learning environment, the formation and development of emotional intelligence, educational function, motivation, control, punishment and encouragement, the differentiation of learning, and an individualized approach. The educational process aims at shaping a harmonious, comprehensively developed personality with clear beliefs and values, not just knowledge, skills, and abilities to perform tasks.

## CONCLUSIONS

Our findings lead us to conclude that the advantages of using ChatGPT in English learning include broader access to authentic materials, optimization of spoken communication training, the development of special terminology vocabulary and accuracy, the improvement of writing skills, and the individualization of learning. ChatGPT is thus seen as an effective innovative tool for English learners.

It is important to emphasize the need to integrate AI tools into educational programs and provide training and ongoing support to students. Higher education institutions should introduce students to the capabilities of AI tools, teach them how to use them effectively, and help them critically evaluate results. Continuous support from faculty is important to ensure that students feel confident and can get the most out of AI.

The use of AI to master specialized foreign-language terminology in higher education institutions is a complex process that requires careful attention to various factors, such as the choice of AI tools, their integration into the curriculum, ongoing faculty support, monitoring of progress, and facilitation of collaboration and interaction. Following these steps, teachers can effectively use the potential of AI to improve foreign language learning and ensure students' mastery of specialized foreign-language terminology.

Further prospects for the research and development of this direction of inquiry can be seen in the expansion of the range of AI applications in the academic environment.

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# Predicción del capital intelectual basada en componentes del liderazgo del conocimiento desde la perspectiva de los docentes escolares

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**Resumen.** La presente investigación expone la relación entre el liderazgo del conocimiento y el capital intelectual en las escuelas. En cuanto a su finalidad es de tipo aplicada y descriptiva-correlacional. La población fueron todos los maestros de primaria de X, (n= 325 personas), de los cuales se seleccionó una muestra de 176 personas mediante un método de muestreo aleatorio simple basado en la tabla de tamaños de muestra de Morgan. Para medir la variable liderazgo en conocimiento se utilizó el cuestionario de Viitala (2004) y para el capital intelectual se utilizó el modelo de Bontis. La validez formal y de contenido de las herramientas se calculó mediante opiniones de expertos, y la confiabilidad obtenida mediante el método alfa de Cronbach para liderazgo en conocimiento y capital intelectual fue de 0,95 y 0,88, respectivamente. Para analizar los datos se utilizaron la prueba del coeficiente de correlación de Pearson, la T de una muestra y el análisis de regresión. Los resultados indican que el estado actual del liderazgo del conocimiento y el capital intelectual está por encima del promedio, y los componentes del liderazgo del conocimiento (tendencia a aprender, atmósfera de apoyo al aprendizaje y apoyo al proceso de aprendizaje individual y grupal) tienen un efecto positivo y significativo en relación con el capital intelectual; y entre los componentes del liderazgo en conocimiento, sólo el de tendencia a aprender es un predictor significativo del capital intelectual. Los resultados de esta investigación pueden utilizarse para desarrollar el capital humano de las organizaciones.

**Palabras clave:** liderazgo en conocimiento, capital intelectual, sistema educativo, escuelas, docentes escolares.

## Prediction of intellectual capital based on knowledge leadership components from the perspective of school teachers

**Abstract.** The present research was conducted with the aim of investigating the relationship between knowledge leadership and intellectual capital in the schools. In terms of purpose, this research is of applied type, and descriptive correlation in terms of data collection method. The statistical population of this research is all the primary school teachers of X, (n= 325 people), from which a sample of 176 people was selected using a simple random sampling method based on Morgan's sample size table, and the required data was collected. Viitala questionnaire (Viitala, 2004) was used to measure the knowledge leadership variable, and the Bontis model was used for intellectual capital. The formal and content validity of the tools was calculated using experts' opinions, and the obtained reliability using Cronbach's alpha method for knowledge leadership and intellectual capital was 0.95 and 0.88, respectively. Pearson's correlation coefficient test, one-sample T, and regression analysis were used to analyze the data. The results of the research indicate that the current state of knowledge leadership and intellectual capital is above average, and the components of knowledge leadership (tendency to learn, supportive atmosphere of learning and support for the individual and group learning process) have a positive and significant relationship with intellectual capital; and among the components of knowledge leadership, only the component of tendency to learn is a significant predictor of intellectual capital. The results of this research can be used to develop the human capital of organizations.

**Key words:** knowledge leadership, intellectual capital, education system schools, school teachers.

### INTRODUCTION

The concept of capital is one of the richest explanatory frameworks in contemporary sociological, economic and managerial considerations. This category has undergone changes in recent decades, through which we witness the emergence of new theories of organizational, intellectual, human and cultural capital. In the last two decades, there has been a move towards an economy where investment in human resources, information technology, research and development, and advertising seems necessary to maintain the competitive position, and guarantee the growth and development of organizations, among which intellectual capital is the one that has attracted more and more attention. Because the business environment based on factors such as human resource knowledge and competence, innovation, customer relations, organizational culture, organizational system and structure, etc. (Lam et al., 2021). In today's leading organizations, the share of knowledge compared to other resources has been increasing day by day, so that today the continuity of activity and profitability of most organizations and companies is dependent on knowledge. Therefore, the more organizations and companies are rich in terms of intangible assets and intellectual capital, the better and faster they can achieve high levels of growth and development. Knowledge management helps organizations to identify and use their capabilities and abilities in order to achieve a knowledge-based economy (Stoilkova et al., 2022).

In the current era, which is called the knowledge revolution, knowledge has become more important compared to other factors of production such as land, and machines, and it is known as the most important factor of production; the movement of organizations towards knowledge-based organizations is defined as the basic necessity of today's organizations. Hence, intellectual capital is particularly important as knowledge that can be converted into value for organizations (Hamzah & Ismail, 2008). Knowledge sharing help employees to learn at work, therefore effects on development of the knowledge economy in organizations, and will be important to lifelong learning (Erdi, 2021). According to the abovementioned information, the current research seeks to answer this basic question: Is there a relationship between knowledge leadership and intellectual capital from the perspective of schoolteachers?

## **THEORETICAL FRAMEWORK AND RESEARCH QUESTIONS**

### **Intellectual capital**

In the knowledge-based economy, intellectual capital is used to create value for the organization, and in today's world, the success of any organizations depends on the ability to manage these assets. The decade to come is the decade of value creation through intellectual capital for organizations and countries. Therefore, paying attention to the issue of intellectual capital at the global and regional level and the novelty of this discussion can be considered as an advantage for any country. Intellectual capital or intellectual property is relevant at the level of society, industry and university, and their accumulation constitutes the country's intellectual property (Alkhateeb et al., 2018).

In the information age, organizations have intellectual capital and capital management, which is the key to success in a turbulent and challenging environment. Intellectual capital is related to acquired knowledge and ability created in employees. Intellectual capital is the knowledge stock of an organization that exists in it at a certain point in time (Oliveira et al., 2020). Intellectual capital includes all knowledge-based resources that generate value for organizations but are not included in financial statements (Pablos, 2002). For intellectual capital, Bontis mentioned three components (human capital, structural capital, relational capital) (Abdullah, 2012). Human capital is defined as individual knowledge and skills, abilities and experiences in the employees of an organization to create value and solve business problems (Bontis, 2000). Human capital refers to the cumulative value of investing in education and training the future capabilities of employees, which takes place in two forms (formal education and learning through others and experientially) (Bollen et al., 2005) and human capital as a source of strategic innovation and restructuring is important for organizations. Structural capital is defined as learning and knowledge in daily activities. This capital is considered the supporting infrastructure of human capital and includes all the non-human reserves of knowledge in organizations such as strategies, procedures, organizational culture, etc., which create value for the organization. Relational capital indicates the formal and informal relations of an organization with external stakeholders and their perceptions about the organization, as well as the exchange of information between the organization and them. Relational capital by connecting human capital and structural capital with other external stakeholders acts as an era of increasing value creation for organizations (Merino et al., 2014).

Various factors affect intellectual capital management in organizations. Knowledge leadership is one of the factors affecting intellectual capital in organizations (Kucharska, 2021).

The results of Kok's research (2007) indicate that the status of knowledge leadership and intellectual capital management in the university is above the average level. Also, Pearson's correlation coefficient showed that there is a positive and significant relationship between knowledge leadership and intellectual capital management, and the results of multiple regression analysis indicate that among the components of knowledge leadership, the component of supporting the individual and group learning process has the greatest impact in predicting intellectual capital management. The results of Kucharska's research (2021) showed that knowledge leadership, intellectual capital and social capital of human resources of the studied organization are at the optimal level. There is a significant relationship between social capital and knowledge leadership, intellectual capital and knowledge leadership, intellectual capital and social capital, and knowledge leadership and intellectual capital and social capital. The results of Asiaei et al.'s research (2018) indicate that there is a difference between the amount of intellectual capital in public and private universities, and while the score of human capital in private universities is lower than the average, the structural capital is at a suitable level; in public universities, on the other hand, the score of human capital and relationship (customer) has been above average. The results of Mishra and Pandey research (2019) showed that the effects of knowledge-based leadership on professional development, knowledge sharing and teamwork were positive and significant, and the effects of teamwork and knowledge sharing on professional development were also positive and significant. Moreover, knowledge sharing and teamwork have a significant moderating role in the impact of knowledge-based leadership on professional development. The results of Kucharska's research (2021) aimed at investigating the relationship between knowledge leadership and intellectual capital management among teachers indicate that there is a positive and significant relationship between all components of knowledge leadership and intellectual capital management. The research results of Jiang et al. (2023) show that spiritual leadership has a significant positive effect on mental health. Mental health has a positive effect on knowledge sharing and knowledge sharing has a positive effect on intellectual capital. In addition, mental health has a mediating and moderating role between spiritual leadership and knowledge sharing. In their study Ibarra et al. (2023) show that organizational culture and leadership significantly affect the knowledge management process. In addition, the knowledge management process significantly affects intellectual capital and innovation.

The research results of Prastio et al. (2024) showed that transformational leadership has no effect on organizational learning and organizational agility. But intellectual capital affects organizational learning and organizational agility, and organizational learning plays a mediating role in the impact of intellectual capital on organizational agility. The results of Khan et al.'s research (2024) showed that two dimensions of intellectual capital, i.e. human capital at the individual level and relational capital at the individual level, moderate the relationship between servant leadership and innovative work behavior, while structural capital at the individual level of the relationship does not mediate the two variables. According to the abovementioned information and in line with the main question, the following sub-questions can be asked:

- a) What is the current state of intellectual capital in the schools?
- b) Is there a significant relationship between knowledge leadership and intellectual capital in the schools?

## **Knowledge leadership**

In management literature, leadership has been examined in four approaches, which are: leadership characteristics approach, behavioral approach, contingent approach, and charismatic and transformational approach. The leadership characteristics approach introduces knowledge as one of the important characteristics of effective leaders and considers the knowledge acquired by leaders as one of the important components of leadership. The behavioral and contingency approach suggests that leadership should search for information, then obtain and use it. The role of knowledge and information in the effectiveness of the organization is emphasized in behavioral approach. Charismatic and transformational approach involves the acquisition and analysis of information that is important for the development of insight in organizations (Mittal, 2015). Studies show that information and knowledge management is effective on leadership performance, and it has been emphasized in different leadership approaches that knowledge management and knowledge acquired by leaders is important for realizing the functions of the organization (Lakshman & Parenti, 2008).

Educational and research organizations in today's era, which is known as the era of information and knowledge explosion, should choose to move towards knowledge-centeredness and use the knowledge management system as their main approach. Of course, considering that knowledge and information are scattered throughout the organization and cannot be recognized by everyone, it is necessary to pay attention to the urgent need of employees for this knowledge and information to make progress; moreover, it is important in development and managing knowledge in the organization, which is more important and vital than the knowledge itself; on the other hand, it emphasize the design and implementation of knowledge management, which aims to produce, share and expand knowledge in the organization and maintain its dynamics (Loyer, 2012). Knowledge leadership is one of the knowledge management skills. Knowledge leadership is a social process in which leaders support organization members in the learning processes needed to achieve the organization's goals. This leads to the improvement of group thinking and joint activities (López, 2013). In other words, any attitude or action (group or individual, objective and implicit) that stimulates new knowledge in ways that cause collective thinking and consequences to create, share and use knowledge, is called knowledge leadership (Manzoor, 2011). Sarabia (2007) mentioned four components for knowledge leadership: leadership, knowledge, culture and learning. Alzghoul (2023) have mentioned five dimensions: tendency to learn, supportive atmosphere of learning, knowledge perspective, strategic emphasis and search for knowledge leadership. As a result of his studies, Viitala (2004) has mentioned three components for knowledge leadership: learning orientation, supportive learning atmosphere, supporting the learning process at the individual and group level (Kok, 2007). In the direction of learning, leaders determine the need for knowledge and abilities needed in the future and try to identify the vision and goals of the organization and work units, customer feedback and needs, tools and quality indicators, and determine the direction of employees' learning. Awada emphasized on knowledge management and the importance of knowledge transfer on organizational effectiveness (Awada, 2019). The supportive dimension of learning includes the activities that leaders try to develop a supportive atmosphere in their work environment with prior knowledge and intention. This includes trust in the work environment, and leaders deal with employees' possible mistakes with a positive attitude. In this dimension, the ability and willingness of leaders to receive feedback from subordinates is very important, and leaders must listen and respect the thoughts and opinions of subordinates.

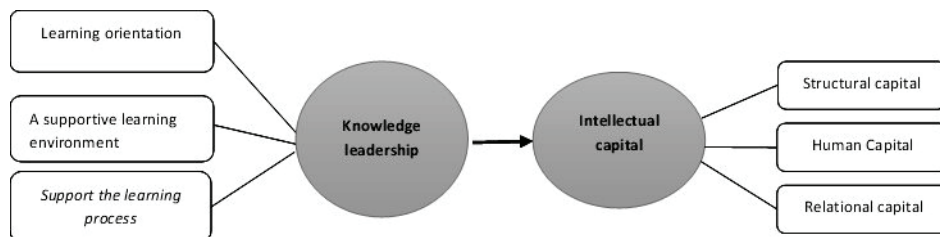


The dimension of supporting learning processes refers to the active role of the leader as a supporter of learning processes (both individual-oriented and group-oriented). This leadership role is similar to that of a coach or teacher, and leaders, with the help of subordinates, write the plan to develop their knowledge and capabilities. In this dimension, leaders emphasize the importance of continuous learning and monitoring progress and giving positive feedback. Increasing the self-confidence of subordinates in this dimension is the key task of leadership (Viitala, 2004), as well as concern for their professional well-being (Voitenko et al., 2024). The results of López's research (2013) showed that the current state of knowledge leadership in the studied universities is above average. The results of Cheng's research (2015) showed that the current state of knowledge leadership and intellectual capital in the studied schools is higher than the average; and there is a positive and significant relationship between the components of knowledge leadership (supportive atmosphere for learning, tendency to learn, and support for the individual and group learning process) and intellectual capital. In research on employee knowledge leadership, Depoo and Urbancova (2015) concluded that managers in the Czech Republic have knowledge leadership techniques and skills and manage scholarly employees. In their research entitled "the study of the relationship between knowledge leadership of principals and the competitive advantage of primary schools" Chang et al. (2010) indicates that principals with knowledge leadership are of high competitive advantage, and knowledge leadership has a positive and significant correlation with competitive advantage and predicts competitive advantage significantly. In research entitled "the role of leadership in the transfer of knowledge in a creative organization", Lina and Asta (2012) came to the conclusion that leadership has an effect in transferring knowledge in a creative organization. In addition, transformational leadership, informally, has a greater effect on knowledge transfer, while exchange leadership has little effect on knowledge transfer in the organization. Banmairuroy et al. (2021) conducted research entitled the effect of knowledge-based leadership and human resource development on sustainable competitive advantage through organizational innovation component factors: evidence from Thailand's new industries. The results showed that knowledge-based leadership directly affects sustainable competitive advantage, while human resource development does not have a significant direct impact on sustainable competitive advantage.

The quantitative and qualitative growth of the education system of the countries, the content of the courses, the complexity of school organizational issues, the professional growth of teachers, and the expectations of other institutions and parents from the education system, have made it necessary to pay attention to effective management and leadership. In the educational system of our country, it is necessary to study and examine the components of intellectual capital, including human capital (knowledge and skills and professional expertise of teachers), communication capital (students, parents,...) and structural capital (hardware and software knowledge in the structure) schools) (Kelly et al., 2004), and on the other hand, the importance of knowledge and its leadership is felt in the age of information and knowledge-based economy; hence, by directing knowledge effectively in the organization and using the potential of the intellectual capital of schools and the educational system, we can pave the way for effective leadership and management of this system. Pointing to the serious lack of research related to the Asian context in the field of leadership, researchers point out that more work should be done in Asia (Park et al., 2019). According to the abovementioned information and in line with this main question, the following sub-questions can be asked:

- a) What is the current state of knowledge leadership in the schools?
- b) Do knowledge leadership components predict intellectual capital?

In this way, the conceptual framework of the research is as follows:



## RESEARCH METHODOLOGY

In terms of purpose, this research is of applied type, and descriptive-correlation in terms of data collection method; while it is a quantitative research based on the nature of the data. The statistical population of this research is all the teachers of the schools, (n= 325). A sample of 176 people was selected from this statistical population by simple random sampling and based on Morgan’s sample size table to collect the required data. The number of statistical population and sample is shown in the following table separately:

**TABLE 1.** Number of community and statistical sample

Row	Employees	Statistical population	Sample
1	Male	190	103
2	Female	135	73
Total	2	325	176

To collect the required data and information, first the theoretical foundations of the research were collected using various printed and electronic books and articles. Then the required field data was collected using two questionnaires. The characteristics of the two questionnaire tools used are as follows:

The knowledge leadership questionnaire is from the Viitala (2004) questionnaire, which has 26 questions and three components (tendency to learn, supportive atmosphere for learning, support for the individual and group learning process) and 5 point Likert scale (strongly disagree, disagree, neither disagree nor agree, agree, strongly agree) are used in the questionnaire.

Intellectual capital evaluation questionnaire, which was created by Bontis (2000) and has 38 closed-ended questions with three components of human capital, structural capital and relational capital (customer). The response range to the questionnaire items was based on a five-point Likert scale (very high, high, medium, low, very low) (Maditinos, 2010).

The face and content validity of both tools were confirmed using the opinions of professors and experts. Cronbach’s alpha coefficient was used to calculate reliability. The reliability of the questionnaires in this research is shown in the table below, which was calculated using SPSS software version 21.

**TABLE 2.** Reliability of variables

Row	Variables	Cronbach's alpha coefficient
1	Knowledge leadership	94/0
2	Intellectual capital	91/0

The collected data were analyzed using SPSS software. First, the normality of the distribution of the collected data was tested through the Kolmogorov-Smirnov test, and after determining the normality of the data distribution, parametric tests such as Pearson's correlation coefficient, one-sample T, and regression were used to analyze the data and respond to research questions. Regarding the observance of ethical principles in the present research, it should be mentioned that the respondents to the questionnaire voluntarily completed the questionnaire. Also, in data collection and analysis, the researcher has entered all the data into the software in accordance with the principle of accuracy and honesty and has analyzed the data with the utmost precision.

## RESEARCH FINDINGS

### Descriptive findings:

From the total number of respondents, 56.6% are women and 43.4% are men. In terms of age, 25.3 percent are between 25 and 35 years old; 49.3% aged between 35 and 45 years; 25.4% are over 45 years old. In terms of education, 11.6% have an associate degree, 74.7% have a bachelor's degree and 11% have a postgraduate degree or higher. In terms of service history, 38.1% have 1 to 10 years of experience; 49.4% have experience of 11 to 20 years; and 12.5% have experience of 20 to 30 years.

### Inferential findings:

Before analyzing the data and answering the research questions, the Kolmogorov-Smirnov test was used to check the normality of the distribution of the collected data, the results of which are shown in the following table:

**TABLE 3.** Kolmogorov-Smirnov test results to determine the normality of the research data distribution

Statistics	Intellectual capital	Knowledge leadership
Average	42/3	58/3
Standard deviation	48/0	84/0
Kolmogorov-Smirnov z value	726/0	964/0
Significant level	721/0	342/0

According to the table above and since the significance level of the test error for the confidence level of 0.95 is more than 0.05, it can be said that the distribution of the collected data is normal, and parametric tests can be used to analyze the data.

First question: What is the current state of intellectual capital in the primary schools?

**TABLE 4.** One sample t-test results of intellectual capital (N=176)

	Mean	Std	value of the T-statistic	significance level
Structural capital	45/3	56/0	61/8	00/0
Human capital	34/3	55/0	70/7	00/0
Relational capital	48/3	54/0	91/9	00/0
Total intellectual capital	42/3	48/0	71/9	00/0

The data in the above table shows that the current state of intellectual capital components is higher than the theoretical average (3 out of 5) and the result of the single group t-test also shows that this difference is significant.

Second question: What is the current state of knowledge leadership in elementary schools?

**TABLE 5.** One sample t-test results of knowledge leadership (N=176)

	Mean	Std	t	Sig.
Tendency to learn	56/3	84/0	89/7	00/0
Supportive learning atmosphere	69/3	86/0	06/9	00/0
Individual and group learning process	48/3	89/0	39/6	00/0
Total knowledge leadership	58/3	84/0	34/8	00/0

According to the results of the above table, the mean of knowledge leadership is 3.58. Moreover, the above table shows that the current status of knowledge leadership components is higher than the theoretical average (3 out of 5) and the result of the single group t-test also shows that this difference is significant.

Third question: Is there a significant relationship between knowledge leadership and intellectual capital components in the elementary schools?

**TABLE 6.** Pearson correlation coefficient results between knowledge leadership and intellectual capital components

Variables	Mean	SD	1	2	3	4
1. Structural capital	45/3	56/0	-			
2. Human capital	34/3	55/0	**597/0	-		
3. Relational capital	48/3	54/0	**685/0	**738/0	-	
4. Total intellectual capital	42/3	48/0	**638/0	**674/0	**682/0	-
5. Knowledge leadership	3/58	84/0	**713/0	**738/0	**734/0	**731/0

Correlation is significant at the 0.01 level (2-tail).

The data in the above table shows that there is a positive and significant relationship between knowledge leadership and its components with intellectual capital from the point of view of primary school teachers in city x with confidence of 99%; and among the components of intellectual capital, human capital has the highest correlation with the leadership.

Fourth question: Does knowledge leadership predict the components of intellectual capital?

**TABLE 7**  
Significance test of the linear relationship of the effect of knowledge leadership components on intellectual capital

Variable	model	sum of squares	df	mean of squares	F value	Sig.
intellectual capital	Regression	93/17	4	49/4	59/37	
	Remainder	54/15	131	121/0		000/0
	Total	47/33	175			

F-test was used to check the existence of a linear relationship between the criterion variable and the predictor variables. Given that the significance level of the F-test is 0.00, hence, there is a significant linear relationship between the criterion variable and the predictor variables, and the knowledge leadership components are capable of predicting intellectual capital. The regression results are shown in the following table:

**TABLE 8.** Summary of intellectual capital regression model based on knowledge leadership components

Components of knowledge leadership	B	T	Sig
Tendency to learn	28/0	65/2	006/0
Supportive atmosphere	004/0-	061/0-	89/0
Learning process	009/0-	14/0-	74/0
Total knowledge leadership	163/0	81/0	29/0

The results of above regression analysis show that only the component of tendency to learn is a significant predictor of intellectual capital and the other components of knowledge leadership are not significant predictors.

## DISCUSSION

Using a correlational descriptive method, the present research was conducted with the aim of investigating the relationship between knowledge leadership and intellectual capital from the perspective of elementary school teachers in X, and the results show that there is a positive and significant relationship between knowledge leadership and intellectual capital.

The finding of the first question of the research indicates that the current state of intellectual capital in schools is higher than the average, which is in line with the results of Kok (2007), Kucharska (2021) and Cheng (2015). The existence of appropriate intellectual capital in schools provides the basis for the growth and development of schools and managers can use this existing potential to improve the quality of school performance. Intellectual capital is vital and sensitive for the competitiveness of organizations with the advent of the industrial age into the information age and attributed to knowledge management (Ahangar, & Ardabili, 2017); furthermore, intellectual capital improves the level of competence of employees, the problem solving ability as well as the ability to solve problems caused by employees, and creates personal trust among employees (Ahmed et al., 2021); and it plays an essential role in empowering employees and realizing the organization's goals (Yasin et al., 2023).



The findings of the second research question show that the current state of knowledge leadership and its components is above average. This research finding is consistent with the research results of Kok (2007), López (2013), Banmairuoy et al. (2021). In their research, these researchers have come to the conclusion that knowledge leadership in organizations is in a good state. According to the information age, the existence of knowledge leadership can be considered a competitive advantage for today's organizations, because managers can use this existing potential to improve the productivity of their organizations. Moreover, considering the impact of knowledge leadership on organizational effectiveness (Mittal, 2015; Lakshman, 2009) and organizational learning (Alzghoul, 2023) and the capacity to absorb knowledge (Banmairuoy et al., 2021), school administrators can use this advantage of high knowledge leadership to provide the basis for improving the effectiveness and efficiency in schools and consequently achieve the goals of schools.

The findings of the third research question show that there is a positive and significant relationship between knowledge leadership and intellectual capital and its components. This finding is consistent with the research results of Kok (2007), Kucharska (2021), Asiaei et al. (2018), Kucharska (2021), Zia (2020), Mishra and Pandey (2019) and Ibarra et al. (2023). Based on this research finding, school administrators can pave the way for improving the intellectual capital status of teachers with appropriate leadership of knowledge in schools. For this purpose, it is suggested that the officials of the educational system plan and implement courses for school principals to learn about and apply knowledge leadership in schools, and in this way, provide opportunities to improve intellectual capital in schools.

The findings of the fourth question of the research indicate that knowledge leadership is not a significant predictor of intellectual capital and among the components of knowledge leadership, only the component of tendency to learn with a beta value of 0.29 is a significant predictor of intellectual capital and the rest of the knowledge leadership components are not significant predictors. This research finding is consistent with the research results of Cheng (2015) and Khan et al. (2024), but it is inconsistent with the research results of Kok (2007), and Kucharska (2021). One of the reasons for this disparity can be pointed to the difference of the statistical population studied in this research. Also, due to the fact that this research was conducted in schools and in a small area, another reason is the possibility of inconsistent results. According to this research finding, it is suggested that the current research be conducted in different schools and educational areas to increase the accuracy of the research findings. It is also suggested that the current research be conducted with qualitative methods and interview tools to obtain more accurate and deeper results. Based on the findings of the research, it is suggested that in-service courses under the title of intellectual capital and knowledge leadership be held in schools for managers to familiarize them with new management concepts and provide the basis for improving the current state of intellectual capital of their organization.

## CONCLUSIONS

The results of the current research were associated with limitations that affect the results of the research. Among other things, this research was conducted only from the teachers' point of view, and also the current research is only limited to the schools and the generalization of its results to other schools has limitations; another limitation of the current research was the data collection tool, which is a self-report questionnaire, and it is possible that the responses were biased.

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## Competencia intercultural en la educación universitaria: enfoques prácticos para formar futuros especialistas

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**Resumen.** En una era marcada por la rápida globalización y desglobalización, la importancia de la competencia intercultural nunca ha sido tan pronunciada. Este estudio aborda la brecha existente entre el conocimiento teórico y la aplicación práctica en el campo de la comunicación intercultural. Mediante el análisis de los modelos clave propuestos por E. T. Hall, G. Hofstede y R. Lewis, y utilizando una metodología comparativa, esta investigación desarrolla tareas prácticas diseñadas para mejorar la competencia intercultural de los futuros especialistas. Estas tareas se integran en los planes de estudios y se centran en situaciones reales con las que los estudiantes probablemente se encuentren en entornos profesionales. Los resultados ponen de relieve la necesidad de mano de obra culturalmente consciente en diversos campos y demuestran la eficacia de la formación práctica para fomentar el entendimiento y la cooperación interculturales. Esta investigación subraya el papel fundamental de la competencia intercultural en contextos profesionales y sociales, y aboga por su inclusión en los programas de enseñanza universitaria a fin de preparar a los estudiantes para las complejidades de las interacciones globales.

**Palabras clave:** modelos de comunicación intercultural, formación de estudiantes, tareas profesionales, competencia intercultural, enseñanza universitaria.



## Intercultural competence in university education: practical approaches to training future specialists

**Abstract.** In an era marked by rapid globalization and deglobalization, the importance of intercultural competence has never been more pronounced. This study addresses the gap between theoretical knowledge and practical application in the field of intercultural communication. By analyzing key models proposed by E. T. Hall, G. Hofstede, and R. Lewis, and using a comparative methodology, this research develops practical tasks designed to enhance the intercultural competence of future specialists. These tasks are integrated into educational curricula, focusing on real-world scenarios that students are likely to encounter in professional settings. The results highlight the necessity of culturally aware manpower in various fields and demonstrate the effectiveness of practical training in fostering intercultural understanding and cooperation. This research underscores the critical role of intercultural competence in professional and social contexts, advocating for its inclusion in university education programs to prepare students for the complexities of global interactions.

**Key words:** models of intercultural communication, student training, professional tasks, intercultural competence, university teaching.

### INTRODUCTION

Intercultural communication (IC) has been an integral part of human interaction since ancient times (Bogoslovskiy et al., 2022; Flerov, 2015). The emergence of international trade and the development of global transportation systems have significantly accelerated political, cultural, and economic relationships between countries over the last century. This interconnectedness allows us to easily access goods and services from both domestic and international suppliers.

Understanding IC is crucial in the context of globalization, which has deepened economic, cultural, and political ties among countries. Professors Guzikova and Fofanova (2015) define IC as the interaction between representatives of different cultures. A more detailed definition by Bogatikova (2009) describes IC as the direct or indirect exchange of information between representatives of different linguistic cultures, leading to mutual understanding related to various national cultures.

Globalization, which gained momentum at the end of the 19th century, has significantly impacted IC. According to the Cambridge Dictionary (2019), globalization is the development of closer economic, cultural, and political relations among countries, facilitated by advancements in travel and communication. The Industrial Revolution and the advent of railways, airplanes, and cars increased human mobility and expanded economic activities beyond local communities, creating global supply chains that integrated labor and markets worldwide.

Despite its benefits, globalization has also brought cultural consequences. The Internet has created a single global network, leading to changes in cultural views and the borrowing of fashions and trends, which impact the cultural identity of individual nations. This process has unfavorable effects, such as the absorption of smaller cultures by larger ones, leading to the emergence of a global universal culture. This raises concerns about the loss of cultural identity and the erosion of essential cultural values.

Deglobalization, a response to the negative consequences of globalization, emerged in the early 2000s with events like the global financial crisis and protectionist measures by major economies such as China and the United States (Knyazev, 2022; Omarbakiyev et al., 2023). The coronavirus crisis of 2020 further deepened deglobalization, highlighting the need for nations to balance global interdependence with cultural and economic sovereignty. Deglobalization involves diminishing nations' connections in commerce, trade, and investment, and it often coincides with a rise in nationalism and protectionist policies (Wallstreetmojo Team, n.d.).

The sociocultural shift towards protectionist policies reflects a desire to maintain and protect distinct traditions, languages, and values. Limiting the influence of foreign cultures is seen as a method to preserve national identity and cultural heritage. This approach promotes domestic production and self-sufficiency, encouraging people to value their national inheritance more highly (Malykh, 2009; Korobova & Balashova, 2016; Alimova et al., 2023).

The focus of intercultural relations has increasingly shifted towards the East, particularly in Russia, which has expanded its cooperation with Arab and Asian countries (Ponarina, 2010; Panibratsev, 2019; Razumnova & Migaleva, 2019). The growing economic power of China and the United Arab Emirates has heightened interest in their cultures and languages, leading to an increase in related educational programs in many European countries (Shamahov & Mezhevich, 2021; Skubenko, 2017; Voskresensky et al., 2024).

This study aims to address the gap between theoretical knowledge and practical application in intercultural communication. By analyzing key models proposed by E. T. Hall, G. Hofstede, and R. Lewis, and implementing these in educational settings, we seek to develop practical tasks that enhance intercultural competence among future specialists. The objectives are to analyze existing literature, compare intercultural communication models using a structured framework, and create professional tasks that reflect cultural differences and can be used in teaching practices.

The relevance of this study lies in the need for culturally aware manpower in various fields. Intercultural competence is crucial not only in professional spheres but also in everyday interactions. However, this study acknowledges limitations related to the chosen methods and models, suggesting that further research could explore additional models and methods to provide a more comprehensive analysis.

## METHODS AND MATERIALS

This study employs a mixed-methods research design integrating both qualitative and quantitative approaches. The primary aim was to develop practical tasks that enhance intercultural competence among future specialists by analyzing key intercultural communication models and implementing these in educational settings.

Participants in this study included a diverse group of undergraduate and graduate students from the Financial University under the Government of the Russian Federation and the University of Science and Technology "MISIS". These students were enrolled in courses related to intercultural communication and were selected to provide a broad perspective on the applicability of the developed tasks across different academic disciplines.

The first part of the study reviewed existing literature on intercultural communication, focusing on identifying key models and their applications in various contexts. The models of E. T. Hall,

G. Hofstede, and R. Lewis were compared using a structured framework that categorized their elements into general, specific, and distinct features. The “general” aspect consists of cultural dimensions present in all models, the “specific” aspect includes cultural dimensions inherent to only one model, and the “distinct” aspect captures each author’s unique perspective on cultural differences.

This analysis was aimed at understanding the strengths and limitations of each model. This methodology of comparing and finding general, specific and unique features of a phenomena or objects is used as a tool to analyze their similarities and differences (Aliboeva, 2022).

Based on the insights gained from the comparative analysis, a series of professional tasks were developed. These tasks were designed to simulate real-world intercultural communication scenarios and were integrated into the curriculum of relevant courses.

The tasks were implemented in classroom settings, and students were asked to complete them as part of their coursework. Following the implementation, feedback was collected through surveys and focus group discussions to assess the tasks’ impact on students’ intercultural competence.

The feedback from students was analyzed qualitatively to identify common themes and insights regarding the effectiveness of the tasks. This involved coding responses and categorizing them into key themes related to intercultural competence.

Where applicable, quantitative data such as the number of students successfully completing the tasks and their scores were analyzed to measure the tasks’ effectiveness.

This study adhered to ethical guidelines by ensuring voluntary participation, obtaining informed consent from all participants, and maintaining confidentiality. The study was approved by the institutional review boards of the Financial University under the Government of the Russian Federation and the University of Science and Technology “MISIS”.

## RESULTS AND DISCUSSION

### Comparative analysis of cross-cultural communication models

The results of the comparative analysis of selected cross-cultural communication models presented in the Table 1.

R. Lewis’s model is rather simplified and explains the differences in cultures mainly in the context of the structuring of working time and other activities. Whereas E. T. Hall’s and G. Hofstede’s models are more detailed and touch upon larger range of cultural characteristics of different nations.

Such are the preliminary conclusions concerning the distinctive features of each model. In the next part of our research, we will examine in detail the discussed models of IC proposed by E. Hall, G. Hofstede and R. Lewis. Nowadays they form the basis of scientific knowledge about cultural diversification and are widely used in cultural research and studying programs across the world.

For the first time the term “intercultural communication” was introduced in the middle of the XX century by American cultural anthropologist and founder of IC as a discipline E. T. Hall (Rogers et al., 2002: 3). By IC he considered the exchange of information between representatives of different languages and cultures. Additionally, it is a negotiated grasp of the significance of human experiences in various social systems and communities. E. T. Hall inferred: “Culture is communication and communication is culture” (Rogers et al., 2002: 7).

**TABLE 1.** Comparative analysis of selected cross-cultural communication models

Features of model	E. T. Hall's communicative model of culture	G. Hofstede's parametric model of culture	R. Lewis's model of culture
General	<p>E. T. Hall's model is similar to models by other authors as time is one of the most important factors causing cultural diversification. According to E. T. Hall cultures are divided into monochrome and polychronic in terms of time aspect. In G. Hofstede's model time facet is reflected in the "uncertainty avoidance" dimension. Finally, R. Lewis's model include one's perception of time and other components of reality by people of different cultures.</p>	<p>G. Hofstede's model, as already mentioned, correlates with other models in terms of time. In addition, the "uncertainty avoidance" dimension is partially reflected in E. T. Hall's "context orientation" one.</p>	<p>R. Lewis's model, as we have mentioned above, include the perception of time as a distinctive cultural feature. Moreover, E.T. Hall's division of cultures into monochronic and polychronic is practically the same as R. Lewis's linear-active and multi-active division</p>
Specific	<p>The model differs from other ones by the presence of "space" and "information flow" dimensions. G. Hofstede's and R. Lewis's models do not include the perception of such kind of factors.</p>	<p>G. Hofstede is the only one who devised "individualism/collectivism" and "femininity/masculinity" cultural element. E. T. Hall's and R. Lewis's models do not include such aspect of analyses.</p>	<p>Despite sharing some similarities with other models in terms of time perception; however, R. Lewis's model has a third, distinctive parameter as a reactive type of culture.</p>
Distinct	<p>E. T. Hall's model of culture is focused on the perception of reality by a person, such as time, space and information. Cultural difference according to E. T. Hall manifests itself through this kind of factors, which does not correlate with other models.</p>	<p>G. Hofstede's model and cultural dimensions that he identified are focused on the nature of the relationship between individuals, between an individual and society. His parametric model reflects cultural diversity through human relations at work, in family and in a society itself.</p>	<p>R. Lewis's model is unique in its structure because, unlike E. T. Hall's and G. Hofstede's models, which include four cultural dimensions, it does not highlight any specific parameters of comparison and divides all cultures just into three types. This cultural model is rather simplified and explains the differences in cultures mainly in the context of the structuring of working time and other activities. Whereas E. T. Hall's and G. Hofstede's models are more detailed and touch upon larger range of cultural characteristics of different nations.</p>

Further development of his ideas about the relationship between culture and communication led E. T. Hall concluded that there is a need to teach culture. With this purpose he came up the concept of communicative model of culture (Kulikova, 2011). E. T. Hall identified four main dimensions affecting the process of cross-cultural communication. They are as follows: time, context, space and information flows.

Now let us look more specifically at these aspects. In terms of time, the anthropologist divided cultures into monochronic and polychronic (Hall & Hall, 1990: 19). People in cultures with monochromatic orientation see time linearly and prefer to carry out their tasks one by one without combining them. Whereas in polychromatic cultures time is viewed in more vague way. Representatives of such kind of culture tend to do many things simultaneously.

Context orientation involves dividing cultures into high-context and low-context (Schoen, 2015: 2). The first type is characterized by the much presence of non-verbal signals and unwritten rules, communication is held as a clear flow of information that does not deviate from the main topic and purpose of interaction. People of such kind of culture are deeply rooted in ideologies, beliefs and traditions. In countries of the second type communication tend to be very straightforward and apparent, the dialog tends to be held in more relaxed way.

Speaking about the space orientation, E. T. Hall means different personal space or “territory” needed for comfortable communication. Everybody is encircled by an imperceptible bubble of space, which varies in size depending on cultural traits. People get anxious or hostile when this bubble is altered by the presence of too many or too few other people in it (Hall & Hall, 1990: 11). The exact size of this space is determined by many factors, such as cultural background, communicative situation and emotional state of a person.

Finally, yet importantly cultural dimension that we are to mention is the information flow or speed of the communicative situation (Schoen, 2015: 4). It deals with the way how fast information is reported by the speaker and by which complexity it is received by the recipient. This aspect is closely related to the trust and confidence while speaking with a stranger. The fact is that in some cultures it is quite easy for people to strike up a dialogue with a little-known person. However, this conversation will not be deep and get personal. As we know Americans are very outgoing and easily can get into a contact, but it's really difficult to penetrate their inner feelings and thoughts. The French, in contrary, are more reserved, it is much harder to enter into a dialogue with them, because it is needed to gain their trust at first. Nevertheless, as soon as one succeed in it, they will open up completely.

Another way of classifying cultural dimensions influencing the interaction of cultures has been proposed by Dutch sociologist G. Hofstede. His parametric model, like E. T. Hall's one, is based on four dimensions, namely power distance, collectivism/individualism, femininity/masculinity, and uncertainty avoidance (Kulikova, 2011). Now we are going to look closely at each of them.

The first dimension, power distance, examines how people relate to the varied degrees of social inequality that exist in every nation. G. Hofstede characterized this component of cultural diversity at the level of subordinates' acceptance of the unequal allocation of authority in different social institutions within a state. There are cultures with low and high-power distances, according to G. Hofstede. In cultures of the first type superiors and inferiors communicate in a less formal, freer manner. In such societies a subordinate has the right to disagree with the boss's perspective or choice, whereas the senior is always open to communication.



All contradictions are resolved through constructive conversations, in which all participants are willing to make concessions if necessary. By contrast, in cultures of high-power distance there is a strict social hierarchy which determines the way of communication between lower and higher status members of society (Naumenko & Morozova, 2018: 145). Hence, an authoritarian or patriarchal management style is adopted. Additionally, it has to be said that power distance can be observed not only in work relationships, but also in family ones. Thus, in cultures of high-power distance type a child is supposed to obey their older relatives and respect their opinions whatever they are, while in low power distance cultures a child is given more freedom of expressing his own wish.

The second dimension which is individualism/collectivism examines whose interests are most important to a person, their own or the groups. In the collectivistic societies interests of a group are put higher than ones of individual (Kulikova, 2011). Children of such kind of culture are raised with the focus on mutual help and benefit for all members of a society. In contrary, in an individualistic society interests and goals of any individual prevail on those of entire community. Accordingly, the influence of the group on an individual is minimal. After comparing the indicators of two cultural characteristics (power distance and individualism/collectivism), G. Hofstede discovered that they are inversely connected. By this it is implied that countries with a large power distance are likely to have collectivist cultures, while countries with a short power distance tend to have individualistic cultures.

As for the third dimension which is femininity/masculinity it is tied with the manifestation of traditionally male or female patterns of behavior by members of a nation (Naumenko & Morozova, 2018; Hernández García de Velazco et al., 2022). In societies of masculine nature competition, achievements and material welfare are considered the leading community's values. The level of sex differentiation is high there, so men are aimed at moving up the social ladder, while women have to be modest and sensitive, creating comfort in the house and raising children. In female-type cultures, on the contrary, people value family and human relations more than their social status. The differentiation of sexes in this kind of culture is quite blurred, so men and women perform approximately the same social roles.

The last dimension devised by G. Hofstede which is uncertainty avoidance examines the degree of people's anxiousness about unclear or unexpected situations (Kulikova, 2011). Countries with a high tolerance for uncertainty are those in which unexpected events and situations are viewed as usual and so their behavior depends on specific conditions. Written laws and regulations are not considered obligatory in countries with a high tolerance for ambiguity. Differently, in cultures with a low tolerance for unpredictability unexpected situations induce emotional distress and discomfort. Following laws, codified rules, and regulations is essential here; thus, it helps people avoid as many accidents as possible. Within the framework, their communicative behavior is defined as persistent, active, time is viewed as a resource, yet they are conservative and restless.

The third model introduced by R. Lewis divide cultures of three types: linear-active, multi-active and reactive (Seluzhytskaya, 2019: 135). It is natural for linear-active cultures to organize their activities in a clear sequence, performing one action after another. Combining clear goal setting and rational time consumption is considered as a key to success here.

In contrast, representatives of multi-active cultures tend to perform many actions at a time and often they do not complete them. People of such kind of prioritize the order of their activities not according to the degree of its importance in relation to the schedule, but according to the degree of its attractiveness at exact moment of time. Interpersonal relationships are of greater value for them than completing pre-planned tasks.

The third type of culture that is reactive can be described as one where politeness and respect are the most important factors. People of such type of culture prefer to listen their opponent first and only after it they gently give their response. The main type of communication there is a monolog, while in cultures of the first two types it is a dialog. However, individuals of reactive kind are likely to discuss many things at a time. It is also very important to mention that reactive cultures are deeply rooted in traditions and beliefs. Establishing trust, honoring traditions, and building relationships seem to be the most important things to people, so time in such cultures is seen as infinite; thus, rushing it would be considered as a sign of ignorance.

We can now summarize our theoretical research by saying that models that we described are all valuable in case of intercultural awareness. The interaction of essential cultural factors such as values, regulations, attitudes, and language codes lies in the center of cross-cultural dialogue. Paying attention to the heritage and national features of representatives from other cultures can help us to foresee and calculate the way they act in society and business. Practical knowledge of the fundamental characteristics of other cultures will reduce uncomfortable situations during conversation, provide the essential comprehension, and enable one to overcome communication challenges with representatives of other cultures.

### **Practical assignments for teaching intercultural communication**

As it was mentioned above in the present educational practice, there are not so many assignments, the purpose of which is the development of knowledge about other cultures. One of such disciplines is clearly “Fundamentals of Intercultural Communication”. This discipline is a basic one in the curricula - the classes offer a lot of tasks for comparing cultures.

Below we provide some examples of professional tasks that are used in the process of teaching the discipline “Fundamentals of Intercultural Communication” and “Practical Course of Spanish as a Second Foreign Language”, the purpose of which is to familiarize with the models of intercultural communication presented above.

It is a common knowledge, that the goal of any educational process and training of competent personnel is the formation of such professional competence that it would allow a specialist to solve various groups of professional problems and tasks.

Within the framework of the discipline “Theory and Practice of Intercultural Communication”, which is aimed at developing cultural and communicative competence, students can also be offered to find a solution to different practical cases.

To work out theoretical material on models of IC and acquire increased intercultural competence of manpower, we can propose the following professional tasks (Table 2).

**TABLE 2.** Professional tasks for enhancing intercultural competence and understanding IC model

Task structure	Task 1	Task 2
<b>Generalized formulation of the problem</b>	In large international corporations, cross-cultural teams are quite often formed to carry out joint projects. The urgent question is how to solve the inevitable problems of language, social and psychological nature?	Modern society requires manpower capable of intercultural interaction. Observations show that today more and more problems arise when working with migrants. To maintain a peaceful and calm environment within the team or organization, there is a need to find solutions to overcome cultural and language barriers in communication.
<b>Key task</b>	Describe what culturally determined difficulties may arise during the interaction of members of an international group? What solutions can you propose to eliminate them?	Give your idea of what a successful intercultural interaction should be like.
<b>Context for solving the problem</b>	A large German company specializing in the production of engine oils chose to develop a new product to attract the consumers' attention. With this purpose, it was decided to unite employees of Swedish, Russian and German subsidiaries of the company into a single project group. At the first interaction between the participants, the presence of linguistic, cultural and psychological difficulties became obvious.	Imagine that you are a young unexperienced schoolteacher who has recently graduated from university and has come to his first job in an American public school. There are several children in your class who come from other countries, mainly from India and Italy. They are often the object of mockery for their classmates; everyone avoids them. Due to misunderstanding and bullying from peers in the class, these children have poor academic performance in all subjects.
<b>Tasks that will lead to a solution</b>	Describe the cultures of Germany, Sweden and Russia according to three models of IC (E. T. Hall, G. Hofstede, R. Lewis). Collect information about the characteristics of business cultures of Germany, Sweden and Russia. Compare your findings and identify where difficulties and misunderstandings may arise. Develop measures to overcome various communication barriers and increase mutual understanding within the group.	Describe American, Italian and Indian cultures according to models of IC communication introduced by E. T. Hall, G. Hofstede, R. Lewis. Conduct a comparative analysis of cultures and find out where the difficulties in interaction may occur. Consider ways to improve your intercultural competence as a teacher. Suggest your options for solving the problem of non-acceptance of migrants in class. What can you, as a teacher, do to defuse the situation in an international classroom?

At this point we conclude our review of potential tasks on work out the material on models of IC. We have presented only some variants of tasks, but other examples can be given. The main thing is that they meet the needs of the studied topic. For example, students may be given a task to do a role play, where all the participants are divided into two teams. Each team consists of representatives from two different cultures.

Considering the fact that at the present stage one of the educational goals in teaching foreign languages is for students to master not one, but two or more foreign languages, we will consider within the framework of the article also how knowledge about the culture of countries helps in learning Spanish within the discipline “Practical course of Spanish as a second foreign language”.

“Currently, the social order forms new trends in the field of teaching and learning foreign languages in higher education. Expansion of international relations, integration into a single European educational space, development of the international labor market has created the need to train professionals of various profiles who are proficient in foreign languages. In conditions when one of the main goals of the higher education system is to prepare students for social and professional interaction, effective communication in a multicultural society, it is becoming increasingly important for graduates to master not one, but two or more foreign languages. The concept of multilingualism has become determinant in the approach of the Council of Europe to the problem of language learning” (Alimova & González, 2018: 231).

Continuing the idea of realizing the models of intercultural communication within the framework of the discipline “Practical Course of Spanish as a Second Foreign Language”, which stands in the curriculum after “Fundamentals of Intercultural Communication”, we will give examples of assignments in Spanish (Table 3).

The proposed assignments are designed considering the outlined models. The reference to the second language is determined by the polynguality of modern education and the authors’ attempt to show the possibilities of polynguality in the study of cultures in practice.

**TABLE 3.** Examples of assignments for “Practical course of Spanish as a second foreign language” Incorporating Intercultural Communication Models

Task structure	Task 1	Task 2
Topic	Character and traditions of the population of Spanish-speaking countries	Organization of meeting and reception of business partners from Venezuela
General formulation of the problem.	It is impossible to imagine learning Spanish without knowledge of the main national traditions and temperament of the population of Spain and Latin American countries.	The significant cultural differences and misaligned expectations can lead to misunderstandings and ultimately the breakdown of negotiations.

**TABLE 3. Continuación**

Task structure	Task 1	Task 2
The main questions	<p>What are the main differences in planning affairs and their implementation observed in the behavior of representatives of Spanish-speaking countries and Russian people?</p>	<p>What were the cultural differences and expectations that affected the negotiations from the beginning?                      In what ways could the companies have adapted their negotiation approaches to achieve a mutually satisfactory agreement?                      What was the role of expectations regarding speed of progress and contractual terms in the stalemate of negotiations?                      How could TechWave Solutions have shown more interest in the local customs and cultural values of InnovateTech Venezuela?                      What steps could both companies have taken to resolve the lack of engagement and evasion in responses during negotiations?                      What strategies could they have implemented to maintain more effective communication as the negotiations progressed?</p>
Context	<p>The Russian representative arrived at the scheduled business meeting between representatives of Spain, Russia, and Argentina at the office of a Spanish firm 15 minutes before it started. What was his surprise when, upon entering the meeting room, he met no one there. Argentinean representatives arrived only forty minutes later, and the hosts of the meeting - the Spaniards arrived at the office only an hour later. Neither the Argentines nor the Spaniards apologized and continued to write something quickly in their notebooks, while the Russian representative calmly waited for the meeting to begin.</p>	<p>The company TechWave Solutions, an international technology company based in St. Petersburg, aimed to expand its presence in Latin America, including the Venezuelan market. After conducting a market analysis, they identified the company InnovateTech Venezuela, as a possible local company with which they could establish a strategic partnership to boost their growth in Venezuela.                      Both companies showed interest in an initial meeting to explore collaboration opportunities. The first meeting was held in a cordial atmosphere, where representatives of both sides introduced themselves and expressed their expectations for the potential collaboration. However, from the very beginning, some cultural differences and expectations became apparent that would eventually affect the negotiations.                      At the second meeting, the conversations became more formal, and TechWave Solutions presented its detailed proposal on how the collaboration could benefit both companies. However, a lack of clarity was noted in InnovateTech Venezuela's response and willingness to make concessions. The expectations regarding the speed of progress and the contractual terms did not coincide between both parties.</p>



TABLE 3. Continuación

Task structure	Task 1	Task 2
		<p>As the negotiations progressed, the cultural differences intensified. TechWave Solutions had a more direct vision and focused on results. TechWave Solutions representatives felt that InnovateTech Venezuela's answers were evasive and did not reflect a clear commitment towards collaboration.</p> <p>Over time, both companies began to express frustration and discontent. TechWave Solutions was puzzled by the lack of decision and the apparent lack of interest in closing a deal, while InnovateTech Venezuela perceived TechWave Solutions as too direct and unwilling to adapt to local customs and cultural values.</p> <p>Despite efforts to bring positions closer, negotiations stalled and eventually broke down. Both companies decided to end the talks without reaching a mutually satisfactory agreement.</p>

Another type of assignment that contributes to the effective development of intercultural competence in the learning process is practice-oriented project assignments. They can be used both in the process of seminar work and as an intermediate control not only within the framework of the discipline "Fundamentals of Intercultural Communication", but also in the process of learning a foreign language, as they allow you to apply the knowledge acquired within various disciplines with future professional activities students (Dronova et al., 2023).

One example of such a task could be a project assignment "Organization of an excursion route for foreign colleagues".

It is necessary to develop your own author's route for foreign partner colleagues in order to introduce them to our culture and traditions. The excursion program should be designed for 3-4 days and start in the city of negotiations and end in a city with an international airport for the convenience of foreign partners.

Task conditions:

- it is necessary to determine the target audience (country, age, interests, cultural characteristics) and the number of people in the group and take this into account when planning the route;
- conduct a comparative analysis of cultures and find out where the difficulties in interaction may occur during the route.
- the route should show the cultural wealth of our country and take into account the cultural characteristics of the guests;

- all places and events included in the itinerary (hotels, restaurants, museums, concerts, exhibitions, etc.) must be real;
- when planning a route, it is necessary to consider the distances between points, the schedule of transport or the possibility of renting a vehicle, as well as the budget of the company.
- Providing the results of the work:
  - Estimate – detailing costs by day. It is executed in word or excel format and sent to the teacher. If an excursion is planned for a fee (optional, in free time), then its cost is prescribed, but it is not included in the total for the day.
  - Booklet – advertising brochure. The booklet should be colorful and informative. It is necessary to briefly describe the route and its advantages, write which cities or places are visited on which days. Format: A4 sheet. It is possible to fold three times like a classic booklet, but other options are possible if they do not go to the detriment of the purpose and informativeness.
  - Presentation: During the presentation to the “external relations department” of your organization, it is necessary to talk about the route as a whole and briefly for each day. The goal is to interest and justify the cultural significance of the route and its validity in the context of attracting foreign partners and establishing productive business relationships, the presentation should be indicative, attractive, “selling”. After the presentation, listeners ask questions along the route. Presentation structure: title slide with the name of the route; comparative analysis of the cultures and a list of possible difficulties, slide with a brief description of the route and its display on the map; at least one slide for each day of the trip: with the name of the day (name of the city / sights), main points, photos, if desired - the map of the day. On the slide with the description of the route or on the last slide - the total cost of the trip in rubles per person and per group.

Completion of such assignments helps students to improve their word processing skills, prepare reports, develop critical thinking, and help strengthen interdisciplinary connections. Students realize that the material they have learned in the Fundamentals of Intercultural Communication course helps them to solve academic problems related to the study of other theoretical and practical disciplines.

To develop tasks that would fully reflect situations where knowledge of cultural characteristics is applicable, it is worth contacting specialists in this field, namely: linguists, interpreters, diplomats, politicians, and heads of international business corporations.

## CONCLUSION

In conclusion we can confidently claim that intercultural communication surrounds us everywhere, in all spheres of our social life. Therefore, it is so important to be culturally aware in order to successfully communicate not only with your compatriots, but also with representatives of other cultures, traditions, and religions.

On the basis of the work carried out in the theoretical part of our work we have come to the following conclusions.

A detailed study of the main global trends in intercultural interaction allowed us to get an idea of the direction in which global cooperation is moving. Moreover, an overview of the current po-

litical, economic and cultural world situation allowed us to understand and see what underlies the world “landscape” that we observe today. Thus, we were convinced that intercultural communication does not always bring positive results.

By comparing the main models of IC introduced by E. T. Hall, G. Hofstede and R. Lewis, using the “general-specific-distinct” method, we identified individual characteristics of each model. This allowed us to see the features of each approach to the study of cultural diversity.

The study of the cultural dimensions that were identified by each author allows us to see by what parameters cultural difference as a whole is determined, and also helps to get an idea of how different cultures are.

In the empirical part of our work, we provided some examples of cultures and practical situations applicable to each cultural dimension. Furthermore, we developed examples of possible professional tasks that can be used in the process of teaching cultural communication as an academic discipline. Several equally important conclusions can be drawn here. Consequently, the application of other research methods and adding other communication models can be used to conduct further research and development of the topic. Practical contribution of our study is that professional tasks we have devised will be useful and they will be able to employ them in their classes. We are convinced that these cases would help both students and teachers to practice their communication skills and apply their theoretical knowledge of IC models as well as the role of the models in teaching practice.

We must mention that study has some limitations connected to the used methods of the research and chosen models of communication. Firstly, the focus of our research is to study the three main models of intercultural communication, which are the most common and therefore relevant. However, there are some other models from other authors that can also be taken into consideration and elaboration. Secondly, limitations in the methods we have used do not allow us to conduct a full analysis of the selected material. Therefore, when using, for example, an experimental method where representatives of different cultural communities are placed in an experimental situation, other results and conclusions can be revealed.

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## La motivación de los trabajadores científicos y pedagógicos y su eficacia

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**Resumen.** El factor más importante que determina la calidad de la educación en una universidad es la motivación del personal científico y docente, y existen diferentes modelos de motivación para esta categoría de empleados en el mundo. El objetivo del estudio es analizar la motivación de los trabajadores científicos y pedagógicos en Ucrania en comparación con los trabajadores científicos y pedagógicos en Europa y Estados Unidos. Para lograr este objetivo, los autores utilizan los siguientes métodos de investigación: métodos abstractos, comparativos, deductivos, tabulares y gráficos. Los principales componentes motivacionales de los incentivos para el personal científico y pedagógico en los Estados Unidos son los salarios base, las becas de investigación, que influyen significativamente en el nivel de los salarios, y una parte importante de la motivación no financiera son los paquetes de seguro médico. Los países europeos se basan en el salario base en sus modelos de incentivos e incluyen una parte variable de hasta el 20%, que tiene en cuenta estipendios y asignaciones personales. En Francia y Alemania, los paquetes sociales se utilizan ampliamente como motivación no financiera. En Ucrania, la motivación de los trabajadores científicos y pedagógicos está regulada activamente por una serie de pagos y bonificaciones adicionales, que no tienen en cuenta los méritos individuales de los científicos, sino que se aplican de manera formulada.

**Palabras clave:** trabajadores científicos y pedagógicos, motivación, motivación material, motivación inmaterial, salario, paquete social.

## Motivation of scientific and pedagogical workers and its effectiveness

**Abstract.** The most important factor determining the quality of education at a university is the motivation of scientific and teaching staff, and there are different models of motivation for this category of employees in the world. The purpose of the study is to analyze the motivation of scientific and pedagogical workers in Ukraine in comparison with scientific and pedagogical workers in Europe and the USA. To achieve this goal, the authors use the following research methods: abstract, comparative, deductive, tabular and graphical methods. The main motivational components of incentives for scientific and pedagogical personnel in the United States are base salaries, research grants, which significantly influence the level of wages, and a significant part of non-financial motivation is health insurance packages. European countries rely on the base salary in their incentive models and include a variable part of up to 20%, which takes into account personal stipends and allowances. In France and Germany, social packages are widely used as non-financial motivation. In Ukraine, the motivation of scientific and pedagogical workers is actively regulated by a number of additional payments and bonuses, which do not take into account the individual merits of scientists, but are applied in a formulaic manner.

**Key words:** scientific and pedagogical workers, motivation, material motivation, non-material motivation, salary, social packages.

### INTRODUCTION

Scientific and pedagogical workers play a central role in the development and implementation of the educational strategy of the state, the formation of qualified labor resources, and in the research sphere, which is an important basis for the overall development of each state. The activities of scientific and pedagogical workers are aimed at helping their countries to solve development problems, as their mission is focused on two broad areas. One area is research. This involves generating invaluable contextualized knowledge and recommendations that can be used to formulate and implement policies; solve existential problems; create technological products; and generate new knowledge that can be adapted for economic, political, and social improvement. Research projects can originate directly in higher education institutions or be a response to requests from private organizations or the government with appropriate funding. Another area of engagement of scientific and academic staff is to develop and produce relevant and influential graduates with the necessary skills, knowledge and competencies. Accordingly, scientific and pedagogical staff are a powerful driver of development, educating the next generation of scientists, sociologists, politicians, business leaders and entrepreneurs, civil servants and other professionals.

Despite the all-encompassing role played by scientific and pedagogical workers in society, in the Ukrainian context, this issue requires a deeper approach to understanding in light of the strategic and geopolitical needs of our country. Today, Ukraine critically needs to revise the models of scientific potential development, which should become the basis not only for further recovery of the country after the devastating attack and missile attacks by Russian troops, but also for strengthening the defense capability in general and Ukraine's ability to resist the enemy informationally,

socially and economically. This requires considerable effort and comprehensive knowledge. Modern challenges require restructuring the educational system and strengthening the role of scientific and pedagogical staff in the formation of a competitive workforce within the state. Ukraine needs to strengthen the knowledge and scientific and technological components of its own development, and it is scientific and technological solutions that should contribute to the development of the IT sector and the military complex. These issues are of existential importance for Ukrainian society today. Therefore, today's scientific and pedagogical staff is faced with the task of strengthening scientific and technological innovation by not only increasing development and research, but also training and supporting young people, which will become the basis for further growth of Ukraine's competitiveness on the world stage. This is where the issue of proper motivation of scientific and pedagogical staff to generate new knowledge and disseminate and implement it becomes acute. This leads to the focus of modern research on the search for effective models of motivation of scientific and pedagogical workers through the stimulating effect.

### **ANALYSIS OF THE LATEST RESEARCH AND PUBLICATIONS**

In today's world, many technologically advanced countries have realized that true power lies not in the physical quantity of labor, but in the educated mind. As a result, each country has begun to restructure its education system to meet the demands of technology. In the information age of the 21st century, fast access to information is crucial for the development of society. To take their place among knowledge societies in a world that is rapidly moving towards globalization, states must closely monitor technological innovations and meet the demands of technology. This can be achieved by providing learning opportunities for everyone who is interested in pursuing education in their field of interest. In today's world, it is impossible to talk about education without technology or technology without education (Cetin et al., 2004).

Education and vocational training, and higher education in particular, are the most important areas of contemporary policy for shaping the knowledge-based economy of the 21st century. Education has become a driving force that policymakers use to achieve a wide range of goals, from increasing global competitiveness and creating and retaining high-quality jobs to reducing wage inequality and fostering innovation (Finegold, 2015).

Higher education institutions have close ties to society. While university teaching should be student-centered, scientific and pedagogical staff play a key role in the teaching and learning process. At the same time, higher education institutions are responsible not only for informing students, but also for generating new knowledge that can be useful in order to face the current challenges that humanity must face (Zamora-Polo et al., 2019).

At the same time, scientific and pedagogical staff is the basis for the existence and functioning of higher education institutions, the development of science, and a source of professional education for specialists in various fields and specialties. Every year, new requirements are put forward to the teaching staff of different levels, which complicate self-development. The high costs of publishing scientific achievements in international journals, the underestimation of official salaries at the state level, and remote communication with students make educational institutions think about activating the teaching staff and using both tangible and intangible means of influence to encourage staff to provide higher education services (Ostapchuk et al., 2020; Yekimov et al., 2023).

Motivation is an integral part of personal and professional development and determines the effectiveness of teachers' pedagogical development (Cunter, 2013). Scientific and pedagogical workers are motivated by various elements, both internal and external. The work of scientific and pedagogical staff combines several types of activities - teaching, research and communication of research results. Through this combination, higher education teachers are mobilized to apply the results of their professional work and achieve specific educational goals (Corrales-Serrano et al., 2018). As in any other human activity, the decision to enter the teaching profession is influenced by internal factors, such as vocation or the need for personal satisfaction, as well as external factors, such as family, recognition, or social status, in addition to its results. In the case of the teaching profession, motivational factors refer to the specific characteristics that define the profession. In general, the factors that influence the motivation of a scientific and pedagogical worker can be classified according to two main dimensions (personal and organizational). Another important variable that is analyzed in terms of its impact on teacher motivation is the time spent on professional activities or classes taught. However, the number of studies that examine the pedagogical motivation of higher education teachers is limited (Espejo-Antúnez et al., 2021).

The formation of effective motivation is possible only through a developed incentive system that ensures the motivation of scientific and pedagogical staff to fulfill the tasks set by universities. To effectively manage motivation, it is necessary to combine tangible and intangible methods of encouragement. Ukrainian universities usually use traditional mechanisms of material motivation, which include the payment of a fixed salary, one-time bonuses and other allowances. However, it should not be forgotten that there are more modern models of motivating scientific and pedagogical staff used in developed and developing countries. When using non-financial incentives, attention should be paid to the cultural, mental and psychological characteristics of employees. After all, qualifications, professionalism, experience, knowledge and education are the key to a specialist's work being much better: more efficient and productive. It is worth emphasizing that for motivational measures to be effective, universities need to organize the work of scientific and pedagogical staff, coordinate their activities, and ensure order and compliance with labor discipline. Ukraine has sufficient human and intellectual potential, so it would be justified to switch to HR management methods that give preference to increasing the moral motivation of employees, and the state will make informed decisions on the material remuneration of scientific and pedagogical staff, which will guarantee the quality of the educational process following the example of developed countries (Ostapchuk et al., 2020).

**The purpose of the study is** to analyze the motivation of scientific and pedagogical workers. Within the framework of this goal, the following **tasks** have been defined:

- 1) to identify the countries with the highest scientific index in the world, with the greatest scientific potential;
- 2) to review the motivational models for scientific and pedagogical staff of leading countries;
- 3) to reveal the model of motivation of Ukrainian research and teaching staff;
- 4) to draw conclusions about the peculiarities of successful models of motivation of scientific and pedagogical workers;
- 5) to determine the directions of perspective revision of the domestic practice of motivation of scientific and pedagogical workers to strengthen the scientific potential and development of young scientists for the long-term development of the state.

## RESEARCH METHODS

To achieve the above goal, appropriate research methods have been selected that allow us to fulfill the tasks. To study the specifics of the models of motivation of scientific and pedagogical workers in developed countries and in countries that have accumulated a strong scientific potential, the methods of analyzing literary sources and Internet resources were used. The use of the method of literature analysis allowed us to get acquainted with the modern achievements of developed countries in the field of successful motivation of scientific and pedagogical workers, which became the basis for the country's competitiveness in the field of science development and in the labor market of scientific workers. The application of the abstraction method allowed us to focus the study on the motivation of scientific and pedagogical workers, emphasizing this special category of staff of higher education institutions. The choice of this method is based on its versatility and the ability to focus on specific properties, moving away from non-essential elements that do not contribute to the disclosure of the chosen topic and the achievement of the research goal. To analyze different models of motivation, the author applies the method of comparative analysis, which is traditionally used to study objects and systems of different nature. A specific condition for using this method is that the objects under study have a common property, against which the variability of the variables under study can be distinguished. Therefore, using the method of comparative analysis, the object of the study was the models of motivation of scientific and pedagogical workers in different countries. The deductive method used in writing the article made it possible to identify certain characteristic features of the motivational system of higher education institutions to stimulate scientific and pedagogical staff. In addition, to improve the perception of the information presented, the article uses a tabular method (for compiling 1 table) and a graphical method (for compiling 1 figure). This method, in combination with the methods of grouping and generalization, allowed us to present the results of the study of individual components of the study. The method of generalization was used to draw conclusions.

## RESULTS OF THE STUDY

Guided by Article 53 of the Law of Ukraine "On Higher Education" (2014) defines a scientific and pedagogical worker as a person employed at the main place in a higher education institution where they carry out activities of an educational, methodological, scientific (scientific, technical, artistic) and organizational nature.

The most important determinant of quality education in a higher education institution is the motivation of scientific and pedagogical staff. It is important to understand the success of higher education teachers through the prism of their motivation and in comparison, with their cognitive capabilities. Helping others (especially students) and vocation are the most important motivators for scientific and pedagogical staff. Some of the demotivating factors at the professional level for teachers are due to factors such as job instability and lack of recognition both in society and at the university itself (Corrales-Serrano et al., 2018).

According to the results of the study of the motivational component of teacher candidates, it was found that they are more positively motivated by internal factors related to the teaching profession. Almost all negative motivational factors are exogenous. Such motivational factors affect the attitudes and perceptions of teacher candidates about their profession. It is possible to produce



competent teachers who are motivated by their work by increasing the motivational elements that novice teachers perceive as positive and decreasing the elements that are perceived as negative. In this way, significant progress can be made in achieving educational goals (Yarım et al., 2022).

In addition, teachers must be motivated to implement reforms that are based on top-down policy initiatives. Two main theories of motivation are often used to develop motivational models for scientific and pedagogical workers: intrinsic and extrinsic. Intrinsically motivated individuals engage in tasks because they feel an inherent interest and satisfaction in their work. Competence and autonomy are basic psychological needs that often lead to intrinsic motivation. Extrinsic motivation involves performing a task because of expected individual consequences. Although extrinsic motivation is often perceived as a weaker incentive for self-directed change, people can integrate external cues if they are consistent with their values and beliefs. At the same time, teachers with autonomy often accept the goals of administrators, principals, or educational leaders if they believe these goals are reasonable and achievable and rational. When the goals came from an authoritative person such as a principal or administrator, specific and challenging goals elicited more effort at the same time, combining both extrinsic and intrinsic incentives into one motivation policy is difficult because the interaction of extrinsic and intrinsic incentives is ambiguous (Mintz et al., 2021).

Firestone (2014) proposed three main problems when combining incentives to form a motivational model for scientific and pedagogical staff:

- a) intrinsic incentives are negated by extrinsic incentives,
- b) high-stakes exams may not provide teachers with productive feedback,
- c) the time required for administrators to collect evidence of effectiveness competes with time for teacher self-efficacy.

The autonomy needed to sustain intrinsic incentives does not apply when rewards are predictable, such as pay for performance or merit pay (Firestone, 2014) In addition, there are challenges in designing evaluations that can monitor the distribution of extrinsic rewards while creating intrinsic ones. Faculty have used accountability assessment data productively when the data were immediately available and did not have high stakes. Finally, the time it takes for administrators to gather the necessary information to allocate extrinsic rewards competes with the time it takes to create the working conditions that will increase teacher effectiveness. Research has shown that administrators have less time to provide support and productive feedback to teachers in need, often sharing responsibilities with others to minimize the increased demands of accountability policies. As a result, teachers may not receive reliable information to develop their teaching capacity, which negatively affects their motivation. A fundamental question for reform in terms of implementing effective motivation models is how to balance the need for intrinsic motivation with the demands of external accountability and how to use these assessments to improve learning. The two parts of this question are based on different theories of motivation. The first part relies on extrinsic incentives to motivate teachers to improve instruction. The second part focuses on intrinsic incentives, whereby teachers engage in professional development of their own volition to improve learning (Mintz et al., 2021). This explains the existence of different models of motivation for scientific and pedagogical staff.

So, to get acquainted with such models, let us first identify the countries that have achieved success and significant results in this regard.

In accordance with the world ranking of countries, Table 1 presents the countries with the highest level of scientific potential according to the Scientific Index.

**TABLE 1.** World ranking of countries with the highest scientific index  
(Ad Scientific Index, 2023)

Place of country	Country	The best institution in the country World ranking/ Name	Total number of institutions in the country	Total number of scientists in the index	The total number of scientists in 3% of the world's best scientists	The total number of scientists in 10% of the world's best scientists
1	USA	1 Harvard University	<b>3019</b>	<b>290591</b>	17 049	47787
2	United Kingdom	4 University of Oxford	<b>310</b>	<b>53 680</b>	3538	10 509
3	Australia	32 University of Queensland	<b>140</b>	<b>33438</b>	1974	6581
4	Germany	89 Ludwig Maximilians University of Munich	<b>528</b>	<b>40345</b>	1922	5870
5	Canada	16 University of Toronto	<b>272</b>	<b>33209</b>	1838	6108
6	Italy	23 Istituto Nazionale di Fisica Nucleare	<b>243</b>	<b>36406</b>	1724	6729
7	China	73 Tsinghua University	<b>961</b>	<b>61941</b>	1616	5913
8	Netherlands	41 Utrecht University	<b>100</b>	<b>16572</b>	1206	3310
9	France	113 INSERM	<b>469</b>	<b>33606</b>	937	4123
10	Spain	124 University of Barcelona	<b>319</b>	<b>34218</b>	874	3989
	For reference					
69	Ukraine	1540 Institute for Nuclear Research of the National Academy of Sciences of Ukraine	<b>185</b>	<b>7680</b>	6	52

Thus, a strong scientific potential has been formed in the United States, the United Kingdom, Australia, Germany, and Canada. When studying the levels of financial motivation in different countries, it should be noted that academic salaries can vary significantly depending on the rank, country, and institution. The average salary of professors in the United States is \$98,533 per year. The lowest offer from higher education institutions is \$48,262, and the highest is \$201,168 (Indeed, 2023). Associate professors earn an average of \$79,654, and senior researchers earn \$69,206 (Academic Positions, n/d).

US universities usually do not use a bonus system, but large research grants are widely used, which affects the annual process of determining base salary increases for faculty. In general, incentive systems vary widely from university to university and may include (Yaun, 2020):

- 1) Payment of summer salary. Since most professors receive a nine-month salary, they can supplement their income by 1/3 by finding sources to pay for three summer months, such as research grants. So, this is a direct payment for additional summer work.
- 2) Additional base salary - some universities allow you to increase a certain percentage, e.g. 20% of your base salary, by using funds for research. This reflects the additional work on the project.
- 3) Incentive compensation for research.
- 4) A productive researcher can also receive higher bonuses or a scholarship.

An important motivational factor in the United States is the health insurance package offered by different educational institutions in different formats, increasing the competitiveness of the labor market offer.

In the UK, the average salary of a lecturer is £40,760, while the average salary of a senior lecturer is £51,590. The average salary of an assistant professor is £64,356, while a professor earns an average of £91,891. German professors are civil servants, so national legislation fixes their salaries according to the state. Junior associate professors (Juniordozent) earn from 4713 to 5301 euros per month. Associate professors (dozent) earn from 5365 to 6676 euros per month, and professors earn from 5343 to 7578 euros per month. Since French universities are public and state-owned, academics who hold permanent positions are civil servants. The government sets their salaries, which are independent of the institution and discipline. The salary level is broken down by grade and length of service. The salary of a full-time assistant/associate professor can range from 25,225 euros to 53,828 euros per year, depending on the grade and seniority of the scientist. Full professors can expect to earn from 36,560 to 73,343 euros per year, depending on their grade and seniority (Academic Positions, n/d).

The above European countries use fixed and variable salary components, except for Italy, where there is only a fixed component. The variable component is fixed by law in France, while in Germany and the UK it can be negotiated, and on average in these countries it reaches 20% of the base salary. In France and Germany, the incentive policy includes an intangible social security incentive in favor of families and is geographically based, which is important given the cost of living. In contrast, in the UK, academic discipline is important in determining salaries. In the UK, France, and Germany, there is a practice of providing monetary bonuses for outstanding research, which stimulates the level of research in general. Looking at the average gross salary, the UK and Germany are the most competitive systems, followed by Italy, which sets higher salaries than France, despite the complete absence of variable remuneration. At the same time, among these countries, Italy has the lowest average salary for the first two levels of scientific and academic staff (28,256 euros and

40,988 euros, equivalent to 30,400 and 44,000 US dollars, respectively) and is only slightly ahead of France at the level of professor. Scientific and pedagogical workers in the UK occupy the leading positions in the salary table both in terms of basic gross salary and net salary, and professors in the German states receive the next highest levels of net salary, leaving France in last place, slightly behind the net salary of Italian professors. The absence of a variable component in the salaries of Italian scientific and pedagogical staff makes the offers of higher education institutions uncompetitive in the European labor market, leading to a brain drain, especially among young talents coming out of Italian universities (Mitchell, 2023).

The motivation of scientific and pedagogical workers in many other countries is also based on high salaries. For example, in Australia, the average basic salary of a professor is \$194,166 per year, a lecturer - more than \$47 thousand per year, and a senior lecturer - \$67 thousand per year (Indeed, 2023). According to Statistics Canada (Statistics Canada, 2023), the average salary of a full-time faculty member (all ranks) in Canada was \$124,375 in the 2022/2023 academic year. The highest earners are professors with an average salary of \$160 thousand, while associate professors earn an average of \$125.4 thousand and senior lecturers \$103 thousand (Academic Positions, n/d). In Sweden, lecturers earn SEK 41,181 per month. Associate professors earn an average of 44-50 thousand SEK per month. Taxes in Sweden are approximately 45%. Swiss academic salaries are the highest in Europe. They are fixed by each canton (province). For example, at the University of Lausanne, associate professors' salaries range from 125,250 to 158,783 Swiss francs per year. Instead, professors earn from 149,728 to 171,380 Swiss francs per year. Full professors with a departmental assignment receive from 163,564 to 210,793 Swiss francs per year. In Zurich, the range for senior junior researchers is from CHF 148,682 to CHF 214,767 per year and from CHF 178,996 to CHF 245,080 per year for associate professors. While professors earn from 209,247 to 275,359 Swiss francs per year (Academic Positions, n/d).

In Denmark, faculty salaries are determined by contracts concluded between academic unions and the government. A teacher's salary is determined by a combination of seniority and rank. Senior lecturers earn an average of 38 thousand Danish kroner per month. Associate professors earn an average of 44,4204 DKK per month, while professors earn an average of 58,236 DKK per month. Taxes in Denmark are relatively high at 40-50% depending on income. Similarly, to Denmark, the collective labor agreement of Dutch universities (CAO-NU) provides for a scale of remuneration for teachers. Lecturers earn from 3821 to 5943 euros per month. Associate professors earn between 5294 and 7097 euros per month. Professors earn from 5,864 euros to 10,309 euros per month. Taxes in the Netherlands are about 40%. Salaries of Belgian teachers depend on seniority. Entry-level associate professors earn 29,914 euros per year, while associate professors with 24 years of experience are at the top of the salary scale (47,443 euros per year). Associate professors with more than 24 years of experience can earn from 34.2 to 58.4 thousand euros. Salaries of professors start at 40.0 thousand euros per year and after 18 years reach the amount of 61.2 thousand euros per year, and after 15 years of experience, professors earn about 68.6 thousand euros. Belgium also has a relatively high tax rate of 45-52%. Norwegian academic salaries are determined in accordance with collective agreements between trade unions and government agencies. Within the salary scale, the level of remuneration is influenced by academic rank and length of service. The average salary for teaching staff is NOK 629.2 thousand per year and NOK 703.1 thousand per year for associate professors. The average annual salary of a professor is 897.9 thousand Norwegian kroner. Taxes in Norway are about 40%. Academic salaries in Finland are also set according to a collective bargaining

agreement. The salary of a teacher is influenced by the work requirements and individual results. An assistant/associate professor earns from 3709 euros to 6051 euros per month, while a professor earns from 5.2-9.3 thousand euros per month. Taxes in Finland are 25-32% (Academic Positions, n/d).

In Ukraine, a single tariff scale is used to determine salaries, where grades are linked to academic titles. In some institutions, the terms of remuneration may differ. For example, at the Taras Shevchenko National University of Kyiv, a separate Presidential Decree established 2-fold salaries; higher salaries are paid to scientific and pedagogical staff working at national universities. Separately defined tariff categories and salaries are set if the higher education institution is subordinated to another specialized ministry. For the category of scientific and pedagogical workers, according to Resolution No. 36 (2019), a number of additional payments and allowances are applied, as well as an 11% increase in salaries. Such employees work according to individual work plans that provide for the distribution of the workload in hours by the following types of work

- 1) teaching component - work in class, lecturing, conducting practical and seminar classes. All other components are formally considered extracurricular activities, although they can also be conducted together with university students;
- 2) methodological component - preparation of methodological instructions for classes, work and curricula, syllabi, educational projects, etc.;
- 3) organizational component - curatorial work, participation in department meetings, preparation of reports, participation in various meetings held in and outside higher education institutions;
- 4) the scientific component is the preparation of scientific articles, reports at conferences, conducting various kinds of research, etc. The specifics are determined by the field of science to which the teacher's department belongs (Onyshchenko, 2023).

The number of total allowances for scientific and pedagogical workers in higher education institutions with the status of "national" can reach up to 100%, and institutions of other status - up to 50%.

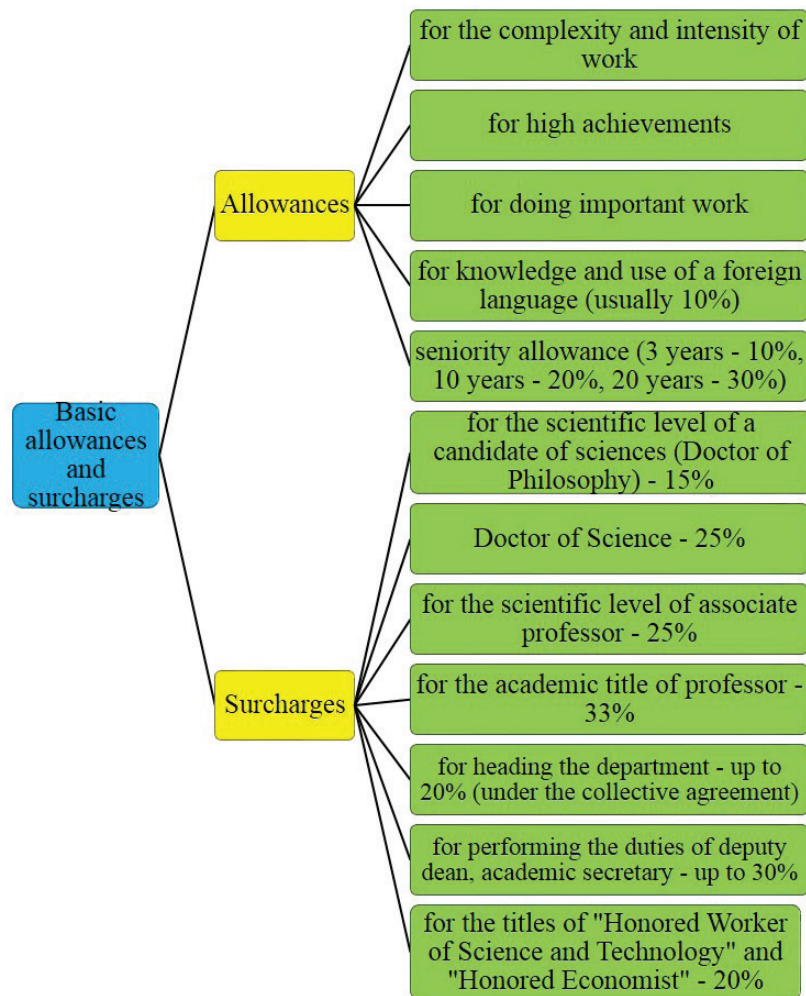
Figure 1 shows the main allowances and surcharges for scientific and pedagogical staff.

Despite a wide range of allowances and surcharges, the average salary of scientific and pedagogical workers in Ukraine is low. Scientific and pedagogical workers in Ukraine receive an average monthly salary of UAH 32,700. The salary range is from UAH 16,700 to UAH 50,400 (the highest) per month. The level of experience is the most important factor in determining salaries - the more years of experience, the higher the salary. For example, scientific and pedagogical workers with ten to fifteen years of experience receive the equivalent of UAH 41,100, which is 20% more than workers with five to ten years of experience. If the level of experience is from fifteen to twenty years, the expected salary is UAH 44,700, which is 9% more than a person with ten to fifteen years of experience. Finally, employees with more than twenty years of work experience receive a salary of UAH 48,200, which is 8% more than people with fifteen to twenty years of experience (Salary explorer, 2023).

Regarding the intangible component of the motivation model for Ukrainian scientific and pedagogical workers, it should be noted that the main intangible motivation factor is the possibility of self-realization, which is contained in an intellectual product. It can also be manifested in the establishment of special working hours, participation in conferences, seminars, securing intellectual property rights, etc. There are three main types of incentives for employees in their free time:



**Figura 1.** Main allowances and surcharges for scientific and pedagogical workers (Onishchenko, 2023)



- 1) general - for all employees;
- 2) indicative or benchmark - for employees who have achieved specific results
- 3) competitive - for the best employees (Rudyk, 2018).

Thus, the motivation model of Ukrainian scientific and pedagogical workers mainly uses material incentives in the form of tariff wages and allowances and surcharges, intangible factors are based on the flexibility of the work schedule and the satisfaction of the need for self-acknowledgment.

Conclusions and Prospects for Further Research. The main motivational components of incentives for scientific and pedagogical workers in the United States are basic salary and research grants, which significantly affect the level of salary. Health insurance packages are an important part of non-financial incentives.

The most developed European countries rely on a base salary in their incentive models, which is either fixed by law (France) or formed on a contractual basis (UK and Germany), and includes a variable part of up to 20%, which takes into account personal scholarships and allowances. Social packages are widely used as non-financial incentives in France and Germany.

The example of Italy shows the inability of fixed salaries for teaching staff without a variable part that takes into account the personal contribution of a scientist or researcher, and intangible motivation factors to form a competitive offer to retain scientific and pedagogical staff, who choose not only higher education institutions in Northern Europe, but also the private sector in Italy, where they pay much higher salaries, at the beginning of their careers. It should be noted, however, that Italy's motivational model provides for extensive tax benefits that generally smooth out the level of salaries compared to leading higher education institutions in other developed European countries, but their impact is insufficient.

As we can see, the scientific potential of countries is based on powerful motivational models for scientific and pedagogical staff, which provide for a high level of basic salaries, grants or variable supplements and social or insurance packages for families, tax benefits.

In the absence of adequate non-material incentives (personal and family insurance packages, social packages, tax benefits, etc.) and the absence of individual bonuses or widespread use of grants as a variable part of material motivation, Ukraine is actively guided by a number of surcharges and allowances that do not allow for individual merit of researchers but are used in a template manner. Since scientific activity is highly intellectual and socially significant, it is important that it is incentivized in accordance with the complex structure of scientific and pedagogical staff motives. This implies the use of a flexible system of non-material motivation of scientific and pedagogical staff, development and implementation of a wide range of practical ways to stimulate and motivate employees, taking into account their personal contribution. And despite the fact that the main feature of scientific and pedagogical workers is that more often than not, higher-level needs prevail over material incentives, it is important to ensure a competitive level of salary that takes into account the individual merits of each employee and flexibly combines them with material incentives.

In Ukraine, in order to strengthen the scientific potential and retain young scientists for the long-term development of the state, it is necessary to gradually raise the salaries of research and teaching staff to the European level. It is also necessary to individualize the variable component based on research results to a greater extent, i.e. the part of a researcher's income that directly takes into account his or her personal achievements in the scientific field. First of all, a system of grants should be developed at the state level and with the involvement of international donors to finance research of certain groups of scientists. It is also necessary to introduce state awards for significant developments in various fields, for example, an annual award for the largest contribution or a one-time award for scientific contribution during the year (for example, for the number of scientific publications in internationally recognized journals), and it is also possible to introduce ratings of scientists within each institution and set the level of individual surcharges according to the position, for example, to set the level of surcharges for leadership in scientific development. In order for young scientists to compete with experienced colleagues, it is advisable to form a rating for a certain period (six months, a year) with the achievements for this period recorded.

It is also important to introduce open competitions for research grants within each scientific institution and university, attracting not only young scientists but also promising students and motivating them to work on the development of Ukrainian science. The state should act as a customer and major financial investor in important developments in Ukraine's strategic and priority industries, such as agriculture, energy, medicine, transplantation, prosthetics, communications, information and cybersecurity, etc. This will motivate scientists to work on topics important to Ukraine's recovery. Therefore, it is advisable for Ukraine to fundamentally revise not only the salaries of re-

searchers, but also to create a competitive field where individual supplemental payments will depend entirely on the personal work of researchers, which will form a competitive model of motivation.

The vast majority of scientists choose an academic career not because they need high pay, but because they love science and the freedom to decide what to work on. However, there are some conditions that need to be met (keeping in mind that academics come from a limited pool of very talented students), namely, an income that allows for a decent living, a clear career path, and the ability to devote time to their own research. Further research should focus on developing an adequate incentive model for Ukrainian scientific and pedagogical staff that will stimulate research development and be competitive to keep young scientists in Ukraine.

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# El concepto de impacto de la Inteligencia Artificial en la Educación Artística: nuevos horizontes para la creatividad, el cambio social, la innovación y el enriquecimiento cultural

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**Resumen.** La inteligencia artificial (IA) está transformando la cultura y el arte contemporáneos, abriendo nuevas oportunidades para la creatividad, la innovación, la transformación social y el enriquecimiento cultural. Sin embargo, su aplicación en el arte también plantea serias cuestiones éticas y filosóficas relacionadas con la naturaleza de la creatividad y la originalidad. El propósito de este estudio es explorar el impacto de la inteligencia artificial en la educación artística utilizando un enfoque mixto que incorpora metodologías de ciencia de datos, big data y ágil. La IA se considera cada vez más una herramienta que amplía los límites de la creatividad humana, permitiendo a los artistas explorar nuevas formas y técnicas y crear obras interactivas y adaptativas que antes eran inalcanzables. La Sociedad Internacional para la Educación a través de las Artes (InSEA) desempeña un papel clave en el desarrollo de la educación artística en todo el mundo. Este estudio analiza un nuevo paradigma educativo basado en un enfoque humanista del desarrollo humano y que aboga por la integración de la IA en el proceso educativo para mejorar las capacidades culturales y creativas de las personas.

**Palabras clave:** inteligencia artificial, desarrollo social, educación artística, creatividad, innovación.



# The concept of Artificial Intelligence's impact on Art Education: new horizons for creativity, social change innovation and cultural enrichment

**Abstract.** Artificial intelligence (AI) is reshaping contemporary culture and art by unlocking new avenues for creativity, innovation, social transformation, and cultural enrichment. However, its application in the arts also introduces significant ethical and philosophical challenges related to the nature of creativity and originality. This study seeks to examine the influence of AI on art education through a mixed-method approach, incorporating Data Science, Big Data, and Agile methodologies. AI is increasingly viewed as a tool that extends the boundaries of human creativity, enabling artists to explore novel forms and techniques, and to create interactive and adaptive works that were previously unattainable. The International Society for Education through Art (InSEA) plays a pivotal role in advancing art education worldwide. This study discusses a new educational paradigm rooted in a humanistic approach to human development, advocating for the integration of AI into the educational process to enhance the cultural and creative capacities of individuals.

**Keywords:** artificial intelligence, social development, art education, creativity, innovation.

## INTRODUCTION

Modern advances in artificial intelligence, innovation and technological progress offer new tools for artists and designers. Algorithms can generate complex visual and musical works, which expands the boundaries of creative possibilities. The use of AI makes it possible to create art that was previously impossible or very difficult to realise. Thanks to the availability of AI technologies, art creation is becoming more accessible to the general public, resulting in the demythologisation of art. This opens up new opportunities for amateurs and young artists who can use artificial intelligence to implement their ideas without the need for deep technical knowledge. AI allows for interactive art projects and new forms of interaction where viewers can interact with works in real time. This is changing the way people perceive and interact with art, making it more immersive and personalised. The debate around whether artificial intelligence can be a real artist or whether AI-generated works can be considered art stimulates deep philosophical reflections on the nature of creativity. The art industry using AI is opening up new markets and business models as AI has a significant economic impact (Andriukaitiene et al., 2017). From the sale of digital works and NFTs to new forms of art installations and exhibitions, AI technology offers new sources of income for artists and galleries. AI can also be used to preserve and restore cultural heritage and support traditional art. Algorithms can restore damaged artworks, analyse ancient techniques and styles, contributing to the preservation of cultural history, and changing the artistic landscape through AI.

InSEA (International Society for Art Education) is a global organisation dedicated to the support and development of art education worldwide. Established in 1954, InSEA is one of

the oldest and most influential international organisations that brings together artists, teachers, researchers and students interested in the development of arts education (Bostrom, 2020). The main goals and activities of InSEA are: 1) Supporting arts education, InSEA promotes the development of arts education at all levels - from primary school to higher education. The organisation provides resources, support and professional development opportunities for art teachers. 3) International cooperation, InSEA brings together members from different countries, creating a platform for the exchange of experiences, ideas and best practices in the field of arts education. The organisation organises international conferences, symposia and workshops where professionals can communicate and learn from each other. 3) Research and publications, InSEA actively supports research in the field of arts education. The organisation publishes scholarly journals, books and other publications that contribute to the dissemination of knowledge and innovative approaches to arts education. 4) Integration of new technologies, InSEA encourages the use of the latest technologies in arts education, including digital media, virtual and augmented reality, and artificial intelligence. This helps to adapt curricula to modern challenges and opportunities. 5) Social and Cultural Initiatives, the organisation supports projects that use the arts as a means of social change and cultural enrichment. This includes programmes for marginalised groups, refugee integration projects and other initiatives that promote social cohesion (Dean, 2021). They include programmes for marginalised groups, refugee integration projects and other initiatives that promote social cohesion.

The aim of the study is to conceptualise artificial intelligence in the arts in the context of new horizons of creativity, social change innovation and cultural enrichment. To achieve this goal, it is necessary to: 1) to analyse the place and role of InSEA in the development of art education at the global level (Marcus, 2023); 2) to find out the impact of AI on personal expression through art, new horizons of creativity, digital educational innovations in the context of global challenges; 3) to substantiate the concept of a new educational paradigm as a humanistic perspective of human development; 4) to identify areas of AI development through art for the cultural enrichment of the individual. The topic “AI and Art” is determined by the wide range of its impact on modern society. Artificial intelligence not only changes the way art is created and perceived, but also promotes the development of new forms of creativity, innovation, social change, and cultural enrichment. This makes it an important topic for research and discussion in the contemporary art context. AI and the arts is the process of using modern digital technologies and tools to enhance learning to engage with art, creativity, innovation, access to knowledge, and communication in an educational environment. This may include the use of AI computers, tablets, smartphones, software, online courses, web resources, and other digital resources (Kivlyuk et al., 2023).

## **MATERIALS AND METHODS**

The concept of the impact of artificial intelligence on art education in the context of developing new horizons of creativity, innovations of social change and cultural enrichment and in the environment of threats and new global challenges can be analysed using the following methods:

- 1) Data Science, which is based on the analysis and processing of artificial intelligence data in art, which opens up new opportunities for creativity, social change innovation and cultural enrichment in digital form.

- 2) Development of AI, including data mining, intelligent and in-depth data analysis to expand and personalise data on creativity, social change and cultural enrichment for the further development of the educational process.
- 3) Use of Big Data methods such as graph mining and topological analysis to analyse the place and role of InSEA in the development of arts education globally.
- 4) Improving the Agile method of creative smart digitalisation technologies to increase the effectiveness of AI's impact on creativity, innovation and educational innovation in the context of global challenges.
- 5) Using Scrum methodology to analyse the phenomenon of digitalisation and its components in art education projects.
- 6) Implementation of deep learning models in education to improve the concept of a new educational paradigm through creative digital technologies.

The conceptualisation of artificial intelligence in art in the context of new horizons of creativity, innovations of social change and cultural enrichment is complemented by the following concepts: 1) The concept of the “reverse classroom”, which uses online platforms for learning at home and using classroom activities to solve practical problems. 2) The concept of integrating digital technologies into the learning process to engage students and improve their academic performance. 3) The concept of an interactive programming environment for children aimed at teaching computational thinking and developing creative skills through digital tools.

To study the topic “The impact of artificial intelligence on art education: new horizons of creativity, innovation, social change and cultural enrichment”, a comprehensive approach can be used, which will include several methods.

- 1) Developing questionnaires for teachers, students and other participants of art education who use or have experience of using AI in their educational activities. Conducting surveys to collect data on experience, attitudes, challenges and benefits of using AI in art education. Analysing the collected data to determine the main trends and development prospects.
- 2) The experimental method includes conducting experiments on integrating AI into the curricula of art education institutions. Measuring the impact of such innovations on the creative process, learning outcomes, and overall student satisfaction. Comparison of the results of experimental groups with control groups to determine the effectiveness of AI.
- 3) Content analysis involves analysing the content created by students using AI to identify new forms of creativity and artistic expression. The study of visual, audio, and textual materials created with the help of AI to identify innovative approaches in art.
- 4) Observation, which includes conducting observations in classes where AI is used to understand the process of integrating technology into the learning process. Analysis of students' interaction with AI tools and their impact on learning and creativity.
- 5) Case studies include an in-depth analysis of individual cases of successful use of AI in art education. The study of specific examples of educational institutions or programmes where AI has contributed to the improvement of the learning process and student creativity.

- 6) Data analysis methodology, including the use of statistical methods to analyse quantitative data from surveys and experiments. The use of data processing software, such as SPSS or R, to conduct detailed analysis and identify significant patterns. The combination of these methods will allow us to gain a comprehensive understanding of the impact of artificial intelligence on arts education, identify new opportunities for creativity and innovation, and assess the social and cultural changes associated with this integration.

The history of artificial intelligence dates back to ancient civilisations, where myths and legends mentioned machines and creatures with human intelligence. However, modern research in this area began only in the 1950s with the advent of the first electronic computers. An important moment was the seminar on “artificial intelligence” held in 1956 by a group of researchers from Dartmouth College, which is considered to be the birth of AI as a science. In the following decades, researchers made significant advances, including the development of expert systems, neural networks, and machine learning algorithms. However, progress has been uneven, and AI research has experienced both ups and downs. In recent years, thanks to the growth of computing power and the availability of huge amounts of data, interest in AI has revived, and the field is once again actively developing. The goal of researchers is to create intelligent machines that can compete with and even surpass human intelligence.

## RESULTS AND DISCUSSION

### **The place and role of InSEA in the development of arts education at the global level.**

The International Society for Education through the Arts (InSEA) was founded in France in 1954 to promote the model of education first formulated by Herbert Reed in his seminal work *Education through the Arts* (1943). InSEA (International Society for Education through Art) is one of the oldest and largest international organisations dedicated to education through the arts. The purpose of this association is to support and develop art education around the world, in accordance with the ideas of Herbert Reed, who believed that art is an important component in the comprehensive development of the individual. InSEA’s goal is to promote the exchange of knowledge, ideas and practices in the field of arts education, as well as to raise the level of arts education both internationally and nationally. “Education through the arts” is a natural means of learning at all stages of personal development, cultivating values vital for the full intellectual, emotional and social development of people in a community. Recently, the art educator community has revisited Red’s vision, advocating the philosophical position that the visual arts are a fundamental human right and have inherent educational value, that a balanced education is a right for everyone and should provide opportunities for students of all ages to communicate and collaborate with others in society through creativity and curiosity. AI can allow a person who is completely unable to draw to create a “world-famous painting” in a few minutes. All you need to do is enter a few words or sentences to describe it, and you’ll get a work like the one below.



(AI painting, creativity, NFT: technology or art?)

The overall goal of education should be to develop responsible and creative individuals who can contribute to the common good. The visual arts are a natural way to achieve these goals. InSEA is an important organisation that promotes art education on a global scale. Its activities cover a wide range of areas, including support for educators, research, international collaboration and the integration of new technologies. Through InSEA, arts education is becoming more accessible, more innovative and more influential in promoting social change and cultural enrichment. InSEA (International Society for Arts Education) can develop through a number of initiatives that will contribute to the development of arts education worldwide. Global Arts Education Programmes InSEA can facilitate the development and implementation of global arts education programmes that will promote the integration of the arts into educational processes in all countries (Nikitenko et al., 2024). InSEA can organise regular international conferences where representatives from different countries can share experiences and best practices in arts education. InSEA can develop and maintain online platforms and resources to facilitate the exchange of knowledge and ideas in the field of arts education. The organisation supports the introduction of the latest technologies, including AI, into curricula. This contributes to the training of future artists who are able to use modern technologies to create new art forms and solve social problems.

Thanks to InSEA, AI is actively used in art education, as interactive AI-based platforms can teach students various artistic techniques, analyse their work, and provide individualised recommendations. This contributes to more efficient and personalised learning, which can help develop new talent. Art created in collaboration between humans and artificial intelligence opens up new perspectives for creativity. Artists can use AI as a tool to inspire, generate ideas, or complement their work. This interaction creates unique works that combine human intuition and machine power. Artists use AI to draw attention to social issues and activism. For example, interactive installations can highlight environ-



mental issues, human rights, or political conflicts, creating a strong emotional impact on the audience and promoting social change. AI opens up space for experiments in art. Artists can try out new forms, styles, and techniques that were previously unavailable. This contributes to the development of new genres and trends in art that enrich the cultural landscape. The use of AI in art contributes to the development of creative industries such as cinema, music, design, and advertising. Automation of routine processes allows to focus on creative aspects, improving the quality and efficiency of production. AI is contributing to the globalisation of art, allowing artists from different parts of the world to collaborate and exchange ideas. This creates new opportunities for cultural exchange and enrichment, promoting mutual understanding and integration of different cultures. AI can be used to create personalised art experiences that adapt to the preferences and emotional state of the viewer. This can be used in museums, galleries, exhibitions, and virtual spaces, making art more accessible and engaging. The use of digital technologies and AI in art can have a positive impact on the environment by reducing the need for physical materials and transport. This contributes to a more sustainable approach to art creation and consumption (Polishchuk et al., 2024). The “artificial intelligence gold rush” is an expression that describes the general excitement and demand for the development and application of artificial intelligence in the arts. Although some people still argue whether the creations can be called art and whether they have artistic value, these works have already been appreciated. Since AI technology was introduced to the art world, it has already had a significant impact on this world. In the shadow of digital transformation, it will continue to have an even deeper impact. As Ahmad Elgammal, director of the Art and Artificial Intelligence Lab at Rutgers University, said, “For the first time ever, the tool has some creativity that might surprise you.



(AI painting, creativity, NFT: technology or art?)

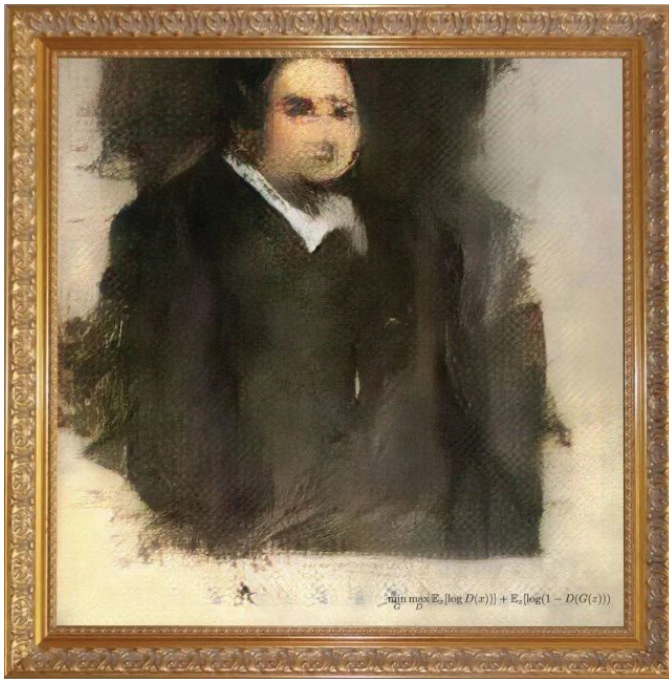
Elgammal's team created AICAN (Artificial Intelligence Creative Competitive Network) and stated that this program has learned existing artistic styles and aesthetics, is capable of creating innovative images and can be said to be an almost autonomous artist. In 2017, AICAN works were presented at the Art Basel exhibition, and 75% of visitors mistook them for works created by humans.



(AI painting, creativity, NFT: technology or art?)

Later that year, one of AICAN's works was sold at auction for almost \$16,000. In 2018, the portrait "Portrait of Edmond de Belamy" created by the French art group Obvious using the GAN algorithm was sold at Christie's for an impressive high price of USD 432,500 (approximately RMB 2.98 million), becoming the first official painting in history created by artificial intelligence to be put up for sale at auction. You might be wondering what this expensive piece of art created by artificial intelligence looks like, but you might be disappointed when you see it (Chibalashvili, 2021).

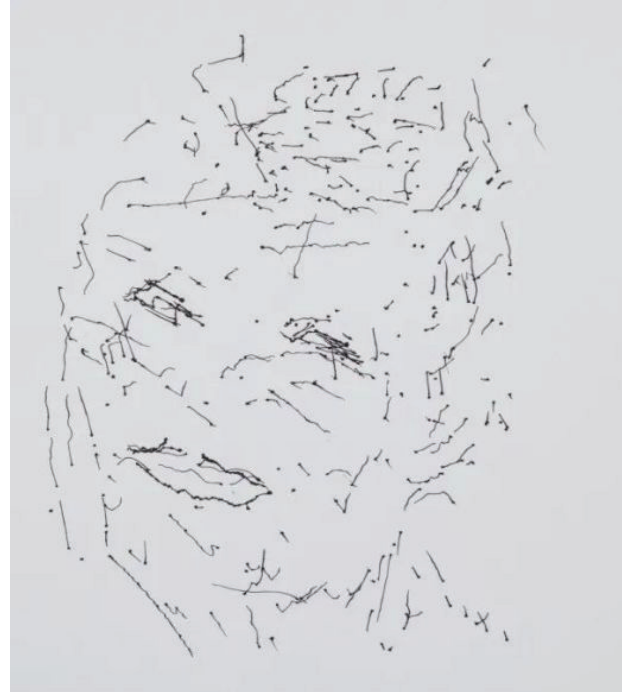




(AI painting, creativity, NFT: technology or art?)

Compared to many of the outstanding works in the field of artificial intelligence today, this is not so surprising. You could say it's boring and lacking in beauty, and sometimes even looks like a program crash or the product of a debugging process. In 2019, Ai-Da, a humanoid robot that combines skills such as drawing, sculpting, writing poetry, gesturing, blinking, and speaking, was named "the first hyper-realistic humanoid AI artist" (after the first female programmer, Ada Lovelace), and sold over \$1 million worth of artwork at one of her art exhibitions (Kapitsa, 2021).

There is also a lot of controversy and doubt about Ai Dee's identity as an AI artist and her work. For example, some believe that her so-called creation is actually just following instructions from a given code, and the art she expresses is just a personal idea of the programmer. Her personality as an artist is also seen as a marketing ploy and hype, and can only be perceived as a performance (Voznesenska, 2015).

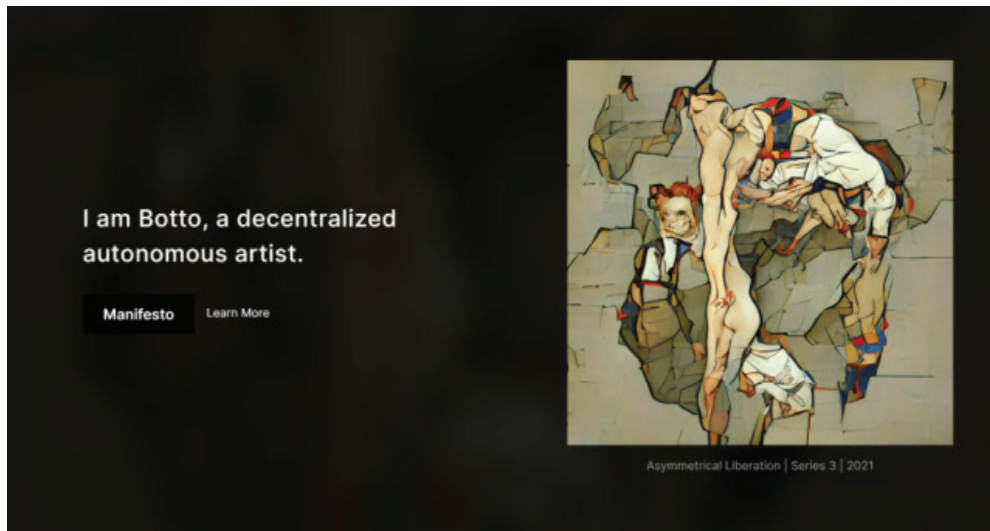


(AI painting, creativity, NFT: technology or art?)



(AI painting, creativity, NFT: technology or art?)

While not everyone is an artist, everyone can create works of art with the help of AI tools.



(AI painting, creativity, NFT: technology or art?)



(AI painting, creativity, NFT: technology or art?)

A world invented by AI: It is clear that artworks created by artificial intelligence are having an impact on the art market. However, the above-mentioned AI creations seem to be just research and technology from laboratories or technology companies and may not have much meaning for many people. The development of user-friendly tools and applications has allowed more people to experience the novelty of AI creation, making it easier than ever to create artwork (Pchelyansky et al., 2019).

In today's world, the rapid development of technology, in particular artificial intelligence (AI), has a significant impact on various areas of human activity, including art. The use of AI in the arts opens up new horizons of creativity, innovation, and cultural enrichment, as well as contributes to social change. AI offers artists many new tools and opportunities for self-expression. Thanks to machine learning algorithms, artists can create unique visual and audio works that go beyond traditional methods. Generative art, where AI creates paintings, music, and other art forms, demonstrates how technology can stimulate creativity and inspire new approaches to creativity.

Innovative AI technologies are changing the process of art creation. Artists are using neural networks, deep learning algorithms, and other AI tools to create complex and detailed works. For example, projects such as DeepArt and AI Portraits show how AI can analyse and interpret the styles of famous artists to create new works in the same style.

AI promotes social change through art by drawing attention to important issues and problems. Interactive installations created using AI can raise public awareness of environmental prob-



lems, human rights, and other social issues. Art is becoming a tool for activism, influencing people's consciousness and encouraging action. AI contributes to the globalisation of art, allowing artists from all over the world to collaborate and exchange ideas. This leads to the cross-fertilisation of cultures and the creation of new genres and trends in art. In addition, AI can help preserve and restore cultural heritage by analysing ancient techniques and styles and restoring damaged works (Sovgira, 2021).

However, the use of AI in art raises important ethical issues. In particular, the issue of authorship is being discussed: who is the real author of a work created by AI - the machine or the person who programmed it? In addition, there are concerns about the originality and authenticity of AI-generated works.

**TABLE 1.** The impact of AI on art for inspiration, idea generation and activism

№	Development area	Content and characteristics
1	Education and training	AI is actively used in art education. AI-powered interactive platforms can teach students various artistic techniques, analyse their work, and provide individualised recommendations. This contributes to more efficient and personalised learning, which can help develop new talent.
2	Collaboration between man and machine	Art created in collaboration between humans and artificial intelligence opens up new perspectives for creativity. Artists can use AI as a tool to inspire, generate ideas, or complement their work. This interaction creates unique works that combine human intuition and machine power.
3	Impact on social change and engagement	Artists use AI to draw attention to social issues and activism. For example, interactive installations can highlight environmental issues, human rights, or political conflicts, creating a strong emotional impact on the audience and promoting social change.
4	Experimental approaches	AI opens up space for experimentation in art. Artists can try out new forms, styles, and techniques that were previously unavailable. This contributes to the development of new genres and trends in art that enrich the cultural landscape.
5	Development of creative industries	The use of AI in the arts contributes to the development of creative industries such as film, music, design, and advertising. Automation of routine processes allows to focus on creative aspects, improving the quality and efficiency of production.
6	Globalisation and cultural exchange	AI is contributing to the globalisation of art by enabling artists from different parts of the world to collaborate and exchange ideas. This creates new opportunities for cultural exchange and enrichment, promoting mutual understanding and integration of different cultures.
7	Personalised art experiences	AI can be used to create personalised art experiences that adapt to the viewer's preferences and emotional state. This can be used in museums, galleries, exhibitions, and virtual spaces, making art more accessible and engaging.
8	Environmental aspects	The use of digital technologies and AI in art can have a positive impact on the environment by reducing the need for physical materials and transport. This contributes to a more sustainable approach to the creation and consumption of art.

Thus, the relevance of AI and Art is due to the wide range of its impact on modern society. Artificial intelligence not only changes the way art is created and perceived, but also promotes the development of new forms of creativity, innovation, social change, and cultural enrichment. This makes it an important topic for research and discussion in the modern context. The topic of AI and art is extremely relevant, as it covers technological, cultural, social, and economic aspects that affect the development of contemporary art and society as a whole, which is based on the Concept of AI Use (On Approval of the Concept of Artificial Intelligence Development in Ukraine, 2021).

### **AI's impact on personal expression through art: new horizons of creativity and innovation**

InSEA intensifies research work in the field of art education, promoting the development of new approaches, methods and technologies in art education. InSEA initiatives can focus on supporting art therapy, the use of art for social change and development, and other social initiatives aimed at improving the quality of life through the arts.

The future of education through the lens of art is based on integrated education, technology and virtual reality, artistic creativity as a means of self-expression and personal development, global cultural education, art therapy and psychological well-being, art as a means of innovative thinking, integration of art and STEM, accessibility of art education, individualised approach to teaching art, interdisciplinarity and cooperation, creation of art and education centres, art education and ethics. Educational programmes integrate the arts into all aspects of learning. For example, mathematics can be learned through music, where students analyse rhythmic structures, or history through painting, where they analyse paintings as a source of historical information. Thanks to the development of technology, students will be able to interact with art in virtual reality, creating their own artistic masterpieces or exploring virtual museums and exhibitions. The curriculum will place an increased emphasis on developing creativity and self-expression through art.

The main objectives of InSEA include: 1) Strengthening cooperation between art education professionals from around the world. 2) Promoting the development of new approaches and methods in art education. 3) Promoting the arts as an important element of education and cultural development. 4) Supporting the international exchange of programmes and projects in the field of art education. 5) Encouraging research and innovation in the field of arts and education. InSEA regularly organises conferences, seminars, working groups and publications, facilitating the exchange of experience and information among its members. The organisation is an important forum for communication between arts education professionals and promoting the further development of the field throughout the world.

The main idea of InSEA is to develop creativity, self-confidence and critical thinking skills. Educational programmes will become more global, taking into account diverse cultures and traditions through the arts. This will help create a more understanding and tolerant society. The arts will be used as a means to relieve stress, improve emotional well-being and psychological health. Educational institutions will have more programmes and services aimed at psychological support through the arts. Students will learn to apply the principles of art in various fields, which will contribute to the development of innovative thinking and solving complex problems (Kryzhnia, 2024).

The integration of the arts with the fields of science, technology, engineering and mathematics (STEM) will become even more active. Students will use artistic methods to creatively solve problems and stimulate innovation in science and technology. The development of digital technologies

will make art education more accessible to all segments of society. Open online courses, virtual workshops, and platforms for collaborative creative processes will help expand access to art education around the world. With the help of artificial intelligence and adaptive technologies, educational programmes will be more individualised. This will allow students to develop their artistic abilities in accordance with their unique needs and interests.

Educational institutions will facilitate interdisciplinary cooperation between students of different disciplines to create innovative art projects. This will stimulate the development of communication and collaboration skills. Specialised artistic and educational centres will appear in cities where students will be able to study, create and share art in a favourable atmosphere. These ideas can be the basis for the development of the concept of education through the arts in 2050, helping to create a more flexible, creative and harmonious educational system. Alongside the development of artistic skills, educational programmes will focus on artistic education and ethics. Students will learn not only techniques and technologies, but also the values and moral aspects of art. These ideas are aimed at creating a holistic and innovative art education system that will contribute to personal development, creativity and harmony in society in 2050.

The concept of Art 2050 emphasises collaborative and project-based learning. Compared to 2020, education will emphasise collaborative and co-created integrated learning between students and teachers. research will be embedded in the learning process to address common global complex problems through interdisciplinary and intercultural discovery. As stated in the InSEA Manifesto (2018): “All learners have the right to an arts education that deeply connects them to their world, their cultural history, and creates new ways of seeing, thinking, doing and being, possibilities and perspectives.”

### **Areas of AI development through art**

Today, schools are not actively responding to the challenges of the Fourth Industrial Revolution (World Economic Forum, 2020). Therefore, it is necessary to transform knowledge, its cultural interface, the knowledge system and the structure that destroys and changes knowledge, the origin of knowledge and the origin of stories. The concept emphasises that artists, art educators and the arts sector should work together to develop models of democratic education together with local leaders. InSEA supports and disseminates community-based arts education and local models of education and excellent examples that can serve as a starting point for decolonising educational practice. The idea behind the concept is that a new understanding of tribal/community societies should be explored through decolonised knowledge and research to rethink how knowledge and learning will shape the future of humanity.

Future curriculum models need to be diversified and avoid divisions caused by existing colonial values in order to be inclusive. It is crucial to understand the multiple voices of the world and explore the conditions of human life, which should be learned from local traditions for the betterment of humanity and future learning. The vision for the future of education is a multidisciplinary and programmatic vision that provides sufficient physical and time space for the arts in schools. In addition, it is also important to have well-educated professional art teachers who are guided by arts-based educational research methods and practices and who build professionalism and the unique educational role of the arts. Professional art teachers should come from diverse socio-cultural backgrounds, thus reflecting changes in the social fabric. Teaching and learning the visual arts should be

seen as a shared experience to encourage an understanding of diversity and respect for other cultures around the world (For a 6-year-old to create a masterpiece, 2024).

Educators will innovate together to solve the problems of human life, learn to combine knowledge exploration, foster empathy, imagination and inclusiveness to broaden understanding of what it means to be 'human'. Learning will be a collaborative experience that emphasises visual literacy, which encourages the integration of cognitive and sensory modalities of inquiry and understanding, design thinking, image interpretation, discerning quality and developing narratives, and will enable students to engage in critical communication, developing the communication skills necessary for creative thinking (Eisner, 2002). By 2050, educational programmes and curriculum models will equip citizens with adaptable intelligence and creative verbal and non-verbal communication skills (InSEA Manifesto, 2018).

In 2050, teachers will teach knowledge not as a single a priori and defined object, but as a process of multiple discoveries in intercultural interfaces. There will be less teaching with the traditional omniscient teacher and students as passive participants. We promote the active transformation of students and oppose the model of "accumulation" education. Collaborative learning environments will have inclusive participants, with teachers as learners, students as teachers, and community members. Each student will develop the ability to lead, work effectively with others, and work independently. Teachers will facilitate the "construction" of knowledge by creating space for narratives of aesthetic experience and empathy, understanding the values of people in specific social contexts (Silverman, 2016), keen observation and care for the natural environment, and awareness of non-judgmental perception and response.

The education space will become an innovative learning space. The InSEA concession is based on the 2050 approach to education, which will include active and collaborative student engagement, a decolonised curriculum, inclusive and diverse processes of discovery, and the development of imagination and aesthetic perception. The design of learning environments will foster an understanding of the 'common good' and global action. Schools as educational centres will provide students with easy access between communities, physical spaces on earth and digital culture.

After 2050, there will be many ways of "schooling". Innovative learning spaces will not only be inclusive, intercultural and creative, but will also reflect the entrepreneurial mindset of students who design, co-design and build learning environments. The concept of the classroom will be more like a studio, and these potentially mobile studio spaces will be filled with opportunities to explore the world and consult on complex issues. Innovative learning spaces will enable artistic exploration through the use of a variety of media, play objects and artefacts. It is important for learners to have a physical structure, space and time for group learning so that the learning space is a permanent, sustainable and open structure (All Alarmed: How AI is affecting art, film, music and literature, 2024). Students need to be provided with knowledge, experience and literacy in a variety of ways. By 2050, it will become increasingly important to develop skills of keen observation, adaptation, experimentation and collaboration through the arts, where education can harness critical thinking and creative responses to local and global socio-cultural contexts (Eisner, 2002).

Throughout history, people have survived and thrived by using their imagination and creativity to face unforeseen challenges. InSEA believes that imagination must be nurtured to create an inclusive, collaborative, resilient and sustainable world by 2050. By 2050, education, regardless of its form, will need to respond critically and intuitively to the social, cultural, economic and envi-

ronmental challenges of our time. As we assume responsibility for living together and protecting the planet, we need to let our imaginations run wild and allow for different perspectives. Learning environments in 2050 will foster what philosopher Martha Nussbaum describes as the “narrative imagination”, whereby we expand our understanding of ourselves by deeply understanding the stories of others in the context of their lives (1998). Engaging in the visual arts is a natural way to communicate and focus on narrative imagination, incorporating First Nations and Aboriginal stories while envisioning new spatial models for learning.

The learning environment of 2050 will reflect multigenerational and community-based learning; an integrated curriculum focused on experience, exploration, collaboration and interdisciplinary approaches; reimagining the learning environment and moving beyond school structures as we know them today; and creating a science that is symbiotic with technology, engineering and the arts. Knowledge connects the uncertainty of the past to the future, and imagination guides global citizens to achieve their visions with humility, wonder and perseverance, compassion and responsibility.

As the educator John Dewey said, so-called basic academic skills need to change, and education includes “flexible goals” (1938); instead of emphasising the transfer of knowledge, it is better to encourage the exploratory life of the process of inquiry through investigation and discovery. By 2050, learning spaces will inspire learners to build supportive and trusting relationships within imagined possibilities and to persevere in tackling global challenges such as water insecurity, poverty, environmental destruction, migration and injustice. When learning environments encourage the imagination, we have opportunity, as educational philosopher Maxine Greene reminds us: “Working together to uncover what is hidden, to contextualise what is happening to us, to dialectically structure the structures that marginalise us, can keep us alive.” The development of imagination and aesthetic perception is the key to opening up learning spaces. The creative process begins with exploration, experimentation, discovery, questioning and problem-solving as a way to learn. When envisioning education in 2050, we believe that the visual arts optimise the enrichment scenarios that a global society needs; whether it is through active participation in painting, design, digital media or three-dimensional architecture, visual literacy enables learning for all ages and cultures. The visual arts create habits of mind that are both life-affirming and actionable, leading to a better future. Skills such as visual exploration, problem solving, reframing problems and challenges, engaging in research and analysis, curiosity, dealing with complex situations, critical thinking, collaboration, and using media to broaden one’s horizons are powerful ways to address the complex socio-cultural issues that will be at the centre of the world in 2050 (The Puchon Fantastic Film Festival presented awards for the best film created with the help of AI).

## CONCLUSION

Artificial intelligence is having a significant impact on the arts, opening up new opportunities for creativity, innovation, and cultural enrichment. It also contributes to social change by drawing attention to important issues through art. However, the use of AI in the arts requires careful discussion of ethical issues and challenges associated with new technologies. The topic of AI and art is relevant and important for understanding current trends in culture and technology. In order to find viable alternatives to outdated school structures, subjects, assessments, and ability distributions, and to move beyond automation, dogmatism, etc., we need creative thinking and creative approaches to collaboration. The creative process embraces diversity and provides learners with a new way of meet-



ing and interacting with the world. Learning spaces allow children to combine emotional, intellectual, physical and spiritual learning in the context of a global society and the natural world in which they live together. Visual literacy liberates the mind and soul, changes how and what is taught, and helps to re-identify the self. Furthermore, we define education as ubiquitous, flexible and innovative systems that are inclusive and flexible enough to integrate people of different abilities without the need for common standards of learning and assessment. With the visual arts at the centre of learning, the global community will have the opportunity to embrace inclusion and diversity, develop innovative pedagogies, foster creativity and imagination, and redesign learning spaces to promote integrity, the common good and the 'real world'. The results allowed us to identify areas for the development of AI through art for the cultural enrichment of the individual. Artificial intelligence opens up new opportunities for creativity and innovation, which contributes to social change and cultural development. Integrating AI into art education is an important step towards creating a new humanistic educational paradigm.

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## La educación a distancia en el sistema de factores de adaptabilidad de la esfera social de Ucrania

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**Resumen.** Debido a la reducida accesibilidad del proceso educativo bajo las restricciones actuales (que, junto con el COVID y la ley marcial, continúan por cuarto año), se están produciendo procesos críticos que afectan directamente a la disminución de la calidad de la educación, lo que, a su vez, no permite la formación de las competencias necesarias en los escolares modernos. El objetivo del estudio es evaluar las complejas consecuencias de la difusión de la educación a distancia en las escuelas secundarias ucranianas en relación con la capacidad de la esfera social ucraniana en general y de la esfera educativa en particular para adaptarse a las condiciones y desafíos de la vida moderna. Utilizamos los métodos de agrupación analítica, análisis factorial de series temporales, análisis estructural-funcional y otros métodos científicos. El estudio concluye que las actuales condiciones de compromiso entre la accesibilidad (prevalencia) y la calidad de la educación en Ucrania implican un giro hacia la preservación de la accesibilidad a costa de una reducción forzosa de la calidad, así como una potencial distancia. educación como factor de mejora de su calidad no se aprovecha plenamente.

**Palabras clave:** ámbito social, educación a distancia, adaptabilidad, eficacia, potencial.

## Distance education in the system of factors of adaptability of the social sphere of Ukraine

**Abstract.** Due to the decreasing accessibility of the educational process under the current restrictions (which, together with COVID and martial law, are continuing for the fourth year), critical processes are taking place that directly affect the decline in the quality of education, which, in turn, does not allow to form the necessary competencies in modern schoolchildren. The purpose of the study is to assess the complex consequences of the spread of distance education in Ukrainian secondary schools regarding the ability of the Ukrainian social sphere in general and the educational sphere in particular to adapt to the conditions and challenges of modern life. We used the methods of analytical grouping, factor analysis of time series, structural-functional analysis and other scientific methods. The study concludes that the current conditions of compromise between accessibility (prevalence) and quality of education in Ukraine imply a shift towards preserving accessibility at the cost of a forced reduction in quality, as well as potential distance education as a factor in improving its quality is not fully utilized.

**Key words:** social sphere, distance education, adaptability, efficiency, capacity.

### INTRODUCTION

The issue of effective management of distance education today should be considered in the context of the fact that from the beginning of the pandemic to the present day, this form of education has been important for the educational environment, while education in general is the basic guarantor of the development of the capacity of the social sphere to adapt to further challenges. In 2022, in addition to isolation and sanitary restrictions due to COVID, security conditions in some regions became another challenge for the effectiveness of the social sector in general and the educational system of Ukraine in particular. As a result of the large-scale invasion in the Eastern and Southern regions of Ukraine, the organization of the educational process has been complicated. In some regions, due to constant threats and challenges, online education through remote channels remains the only available form of education. In this aspect, it is important to prevent a decline in the quality of educational services.

In 2024, the issue of quality training and adaptation of the educational process to the conditions of security threats arises, which will force the periodic use of distance learning. It is already necessary to determine the organizational and methodological levers for developing the necessary competencies of students who will be responsible for the restoration of Ukraine. At the same time, distance education is still seen mainly as a factor in ensuring its accessibility and continuity in wartime, but a full picture of the impact of the spread of distance education (in some regions, it has become the dominant form of organizing the educational process) on the adaptation of the social sphere to the conditions and challenges of the current period requires much more thorough research, in particular on changes in the quality of education that accompany the transition to a distance form of its organization. After all, it is important to take into account both the impact of the spread of distance education on the ability of the education sector to maintain the desired level of coverage of educational programs and the

quality of education, its effectiveness, that is, its ability to act as a significant factor in the growth of labor productivity and income of today's students in the future.

At present, the conditions of functioning of the social sphere in general and the education sector in particular are studied mainly in the context of maintaining the availability of basic services for the population, but the qualitative changes that are taking place in the social efficiency of such services, the ability of the social sphere to ensure the effectiveness of investments in human capital do not receive the necessary scientific reflection, due to the lack of both primary information (shortcomings of the statistical base) and shortcomings of the methodological support for processing such information.

**The purpose of the study.** The purpose of this study is to assess the complex of consequences of the spread of distance education in secondary schools in Ukraine in terms of the ability of the Ukrainian social sphere in general and the education sector in particular to adapt to the conditions and challenges of the current period. This goal involves the following tasks:

- to identify the challenges of managing distance education;
- analyze the current state of distance education in Ukraine;
- to assess the dynamics of both accessibility and quality of education in Ukrainian schools against the background of the growing importance of distance education.

## ANALYSIS OF RECENT RESEARCH AND PUBLICATIONS

The problems of studying the social effect of the functioning of the social sphere in the context of adaptation to the problems and challenges of the current stage of development of the national economy have been considered in many publications. In particular, the problems of the correlation between resource and institutional factors of social efficiency of the social sphere are considered in the publications of Ukrainian researchers (Verba et al, 2021; Kudina & Verba, 2014); the problems of adaptation of the social sphere (in its broad interpretation) to the digitalization of the economy in the work of A. Kolot (Kolot, 2019); prospects for the development of the social sphere in general and the educational sector in particular in the context of the economic recovery of Ukraine - in the works of (Lopushnyak et al. (2023); Simakhova and Tserkovnyi, (2022), Oleksenko et al. (2018)).

Since the launch of distance learning, researchers have been interested in its effectiveness and the successful use of tools that will not deteriorate the quality of knowledge. Numerous analyses have focused on the statistical reflection of the number of students who were taught in distance learning and the quality of their education (M. Bondar (2021) and M. Voloshyn (2023)). The results of such analyzes pointed to problem areas and bottlenecks in distance learning, which were the focus of subsequent studies (Hnatiuk, 2021; Oleksenko et al. 2023). Since 2022, research on the problems of organizing distance learning under martial law has been updated (O. Hnatiuk (2022)). Current research focuses on evaluating the effectiveness of individual distance education tools and organizational measures for its implementation (Klopov et al. (2023); Nikitenko et al. (2022)).



## MATERIALS AND METHODS

The research methodology involves the identification of the object of study with the formulation of the subject of study and hypothesis, which, in accordance with the established purpose, allows you to choose the appropriate methods for research.

The object of research is the system of general secondary education in Ukraine in the context of the COVID-19 pandemic and martial law. The subject of the study is the impact of distance education on the ability of the social sphere of Ukraine to adapt to the conditions and challenges of the current period.

To formulate the hypothesis, it is worth noting that distance education in Ukraine has been widely used since 2020 due to the pandemic. At the same time, its introduction did not correspond to the strategic vision of education development in Ukraine, so the mechanism itself and the means and channels were not properly prepared. In 2022, as a result of Russian aggression, distance education in many regions became the leading and sometimes the only form of education that provided students with access to education in general. Lack of infrastructure support and insufficient teaching and learning materials in the field of distance education pose numerous risks and challenges to the ability to achieve the appropriate quality. Given the above, we formulate the initial hypothesis of the study as follows: in the context of the forced (caused first by the COVID-19 pandemic and later by martial law) expansion of the scale and importance of distance education, there are both risks to the social efficiency of the education sector (in particular, due to the erosion of education quality standards and obstacles to the acquisition of certain competencies) and opportunities (in particular, due to increased access to education and the harmonious combination of different educational programs within the same educational periods).

The materials for the study are statistical data on general secondary education published by the State Statistics Service for the last 5 years and the results of the PISA survey for 2018 and 2022.

The research methods involve an integrated approach.

The following methods were used to highlight the challenges of managing distance education in the context of the COVID-19 pandemic and martial law in Ukraine: analysis of literary sources and regulations, analysis of reports, recommendations and publications covering distance education issues, such as NUS reports (2020); analysis of the structure and functioning of distance education in a pandemic and martial law, primarily studying the implementation and use of digital platforms such as All-Ukrainian School Online, the system of automation of inclusive and resourceful education. The article uses the analysis and structuring of modern challenges for distance education based on the study of theoretical sources, which became the basis for generalizing the challenges of distance education management.

The following methods were used to analyze the current state of distance education in Ukraine and to study its impact on the adaptive capacity of the education sector: analysis of statistical data (data from the State Statistics Service of Ukraine (2022) were used to determine the number of general secondary education institutions, the number of students and teachers, which made it possible to assess the dynamics of changes in these indicators for the period from 2018/2019 to 2022/2023 academic years); analysis of the number of schools that switched to distance learning and the number of students covered by distance learning

Statistical methods were used to analyze statistical information on secondary education institutions based on data from the State Statistics Service, which allowed us to analyze the current state of distance education in Ukraine.

In particular, two main quantitative characteristics of the adaptive potential of distance education are proposed. The first one is the dynamics of the number of students and the share of the school-age population enrolled in Ukrainian schools as an indicator of the ability of the education sector to maintain accessibility and wide coverage of the population in a pandemic, and later - a full-scale invasion. The second is the level of success of students in mastering knowledge within the basic elements of educational programs, which reflects the ability of the education sector to adapt to modern conditions while maintaining the quality of educational services.

To evaluate the effectiveness of distance education in Ukraine, a comparative analysis of the PISA results for 2018 and 2022 was used, and generalizations were made about the impact of distance education on the level of students' competence, which is the main performance indicator for managing distance education. To position the educational sector of Ukraine in relation to the dynamics of educational results of schoolchildren in European countries, the method of assessing the deviation of an individual value from the group average was used. The results of this comparative analysis allowed us to draw conclusions about the effectiveness of distance education.

The method of graphical display was used to visualize the results of the study.

## RESEARCH RESULTS

### Challenges of managing distance education

Distance education is one of the available forms of education for Ukrainian students in accordance with the Law of Ukraine "On Education" (2017). The choice of distance education is made by parents or other legal representatives of the child. Martial law expands the coverage of distance education, and schools can create remote classes/groups for children who have gone abroad or do not want to study offline for security reasons (Ministry of Education and Science, 2023a).

In 2020, the main problem with the effectiveness of distance education was the lack of systematic communication at the school level, which negatively affected both teachers and educational managers, as well as students and their parents (NUSH, 2020).

Thus, O. Hnatiuk (2021) notes a number of main challenges that should be taken into account when managing distance education to ensure its effectiveness. Thus, the main challenges in managing distance education can be structured as follows:

- 1) organization of students' self-education, including the development of independent learning skills; insufficient readiness of students to master the educational material independently; the need to involve parents in their children's education and control;
- 2) student motivation. A critical requirement for the effectiveness of distance education is the need for conscious motivation for distance learning, while proper motivation in distance learning is becoming a complex problem;
- 3) communication, including the reduction of social communication and problems in organizing communication during online meetings and asynchronous learning
- 4) time management;

- 5) difficulties in individualizing learning in a mass school during distance learning;
- 6) identification of students, including avoidance of falsification of results due to insufficient methods of control over the actions and results of students in distance learning;
- 7) the need for teachers to master new means and methods of teaching in the digital environment;
- 8) lack of a single unified platform (Hnatiuk, 2021).

Regarding the management of distance education during martial law, the Ministry of Education and Science of Ukraine has implemented important measures to enhance the effectiveness of this process, such as the introduction of the All-Ukrainian School Online electronic platform; launching a system for automating the work of inclusive resource centers; and connecting schools to the AICOM system, which introduces electronic diaries and journals (Hnatiuk, 2022). At the same time, the learning process itself can be provided in synchronous and asynchronous modes using numerous digital platforms and communication services. In recent years, the methodology of distance learning has been improving (Hnatiuk, 2022). At the same time, the effectiveness of distance education management has not been sufficiently studied either during quarantine or martial law. The significance of the issue is due to the formation of a significant gap in research on the impact of distance education on the quality of learning.

### Current state of distance education in Ukraine

Table 1 presents the general dynamics of educational institutions and students of general secondary education institutions at the beginning of the academic year (AY) according to the State Statistics Service (2022).

**TABLE 1.** General secondary education institutions at the beginning of the academic year, thousand

Years	Number of general secondary education institutions	Number of students in general secondary education institutions	Of these, in institutions		Graduation of students from general secondary education institutions		Number of teachers in general secondary education institutions
			Daytime	evening (variable)	received a certificate of basic general secondary education	received a certificate of complete general secondary education	
2018/19	15,5	4042	4017	25	345	195	441
2019/20	15,2	4138	4116	22	352	198	440
2020/21	14,9	4211	4191	20	345	222	440
2021/22	14,0	4230	4103	17	363	229 6	435
2022/23	13,0	4042	3122	12	366	221 6	402

Source: compiled from (State Statistics Service, 2022).

In the 2020/2021 academic year, the number of distance education schools amounted to 4,882. About 30% of students were enrolled in distance education. This situation required adaptation and changes in the education system, and many teachers, parents, and students began to actively use distance resources and online courses (Bondar, 2021).

The statistics on the number of distance education institutions for 2021/2022 and 2022/2023 academic years according to the State Statistics Service (2022) are presented in Table 2.

In 2021/2022, 3.3 thousand schools in Ukraine were engaged in distance learning (Ukrinform, 2021). In the 2022/2023 academic year, the educational process was implemented in a distance form in 4,363 institutions, and another 4,608 institutions followed a mixed form. In five oblasts - Donetsk, Zaporizhzhia, Luhansk, Kharkiv, and Kherson - constant threats to the security situation and rocket attacks do not allow for the educational process to be conducted in person or in a mixed form, which is why all schools operate remotely (NUSH, 2023).

**TABLE 2.** Number of students enrolled in distance learning in 2021/2022 and 2022/2023

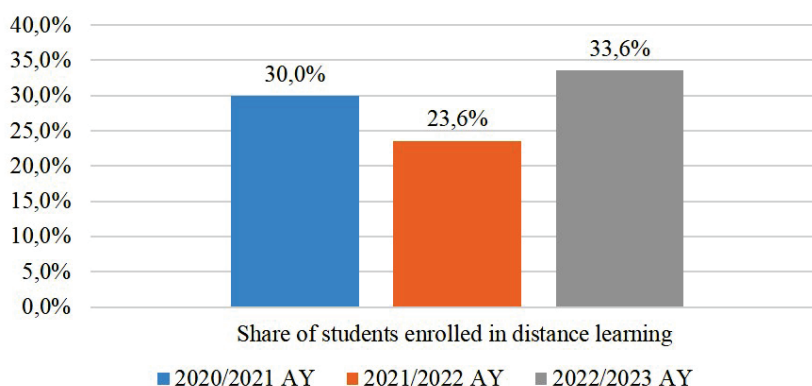
Indicator	Total	2021/2022 AY		Total	2022/2023 AY	
		In urban areas	In rural areas		In urban areas	In rural areas
Number of institutions, total	13 991	5 545	8 446	12 976	5 278	7 698
Total number of students, persons	4 230 358	3 034 679	1 195 679	4 041 976	2 907 979	1 133 997
Number of students enrolled in distance learning	17 688	17 256	432	747 893	589 358	158 535

Source: compiled from (State Statistics Service, 2022).

According to the Ministry of Education and Science, 12929 secondary education institutions started the 2023/2024 academic year, with 3.9 million students and 388 thousand teachers (Ministry of Education and Science, 2023). 15% of institutions work remotely (Voloshyn, 2023).

So, in Figure 1 shows the dynamics of the share of students studying remotely.

**Figure 1.** Dynamics of the share of students who studied at a distance, %



Source: compiled by (State Statistics Service, 2022).

In 2020-2023, the share of students enrolled in distance education was 30-33.6%.

Accordingly, according to the first criterion for assessing the impact of the spread of distance education on the adaptive capacity of the education sector, there is a significant positive impact of distance education. Against the background of a slight decrease in the absolute scale of this form of educational process (the number of institutions that used this form of educational process decreased by 7.3%, and the number of students enrolled in distance education - by 4.5%), there is a significant increase in the importance of distance education in meeting the needs of the population in educational services (the share of students studying remotely increased by 10 percentage points).

### **Assessment of the effectiveness of distance education**

A qualitative indicator that allows to assess the effectiveness of distance education management is the international PISA assessment, the comparison of the results of which for 2018 and 2022 will allow to compare the level of education of Ukrainian students.

PISA-2018, an international study of the quality of education, showed the following results of 15-year-old Ukrainian students:

- 1) mathematical competence - the average score in Ukraine is 453 points (the leading country has 591 points, the average in OECD countries is 489);
- 2) reading competence - the average score of Ukrainian students in reading is 466 points (the leading country is 555, the average in OECD countries is 487).
- 3) competence in science - the average score in Ukraine is 469 points (the leading country is 590, the average in OECD countries is 489) (PISA, 2018).

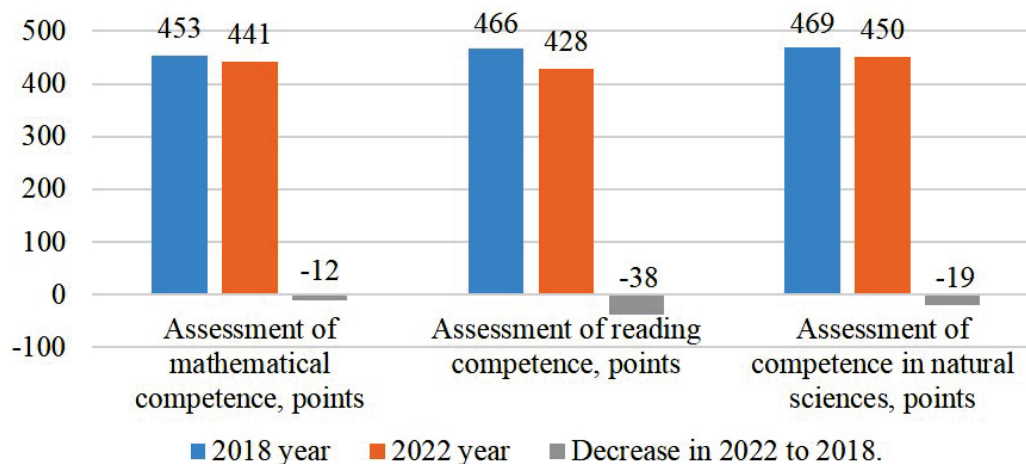
According to PISA 2022 results:

- 1) in mathematics, the main subject of PISA 2022, 15-year-olds scored 441 points compared to the average of 472 points in OECD countries;
- 2) on average, 15-year-olds scored 428 points in reading, compared to an average of 476 points in OECD countries;
- 3) in Ukraine, the average science score of 15-year-olds is 450 points, while in OECD countries it is 485 points (PISA, 2022).

Figure 2 compares the results of PISA 2018 and 2022.

Accordingly, with regard to the second criterion for assessing the impact of the spread of distance education on the adaptive capacity of the education sector, there is a significant negative impact of distance education. Of course, it is incorrect to attribute the decline in the level of competence of school students in all three areas of study recorded in 2022 to the impact of the spread of distance education alone, as a number of other factors also contributed to the recorded dynamics. However, the combination of the two trends (the increase in the share of distance education with a decrease in average student performance) is quite pronounced. The average score in math decreased by 2.65%, although the gap between the performance of Ukrainian students and the European average decreased from 7.4% to 6.6% (by 0.8 percentage points). The average reading score decreased by 8.2%, and the gap with the European average increased from 4.3% to 10.1% (by 5.8 percentage points). Finally, in natural sciences, similar indicators are equal to a 4.1% decrease in the average score and an increase in the gap from 4.1% to 7.2%.



**Figure 2.** Changes in student survey results, %.

Source: compiled by (PISA, 2018; PISA, 2022).

Thus, based on the analysis, we can conclude that the potential of distance education to ensure the adaptation of the education sector to the conditions and challenges of today, while maintaining not only the coverage of the population with educational services, but also the quality of educational services, is not fully realized. Over the past three years, the growth of distance education coverage to 23-30% of the total number of students has been accompanied by a significant decline in their competence in basic subjects.

## CONCLUSIONS

The study found that over the past three full academic years, about a third of students have received educational services in a distance format. This is due to the fact that anti-pandemic restrictions were introduced in 2020/2021 academic year, and in 2021/2022 academic year and 2022/2023 academic year, students were forced to study under martial law. The international PISA assessments in 2018 were conducted under the conditions that all Ukrainian institutions were operating in full-time mode. At the same time, the results of the PISA assessment in 2022 showed a significant decline in the basic competencies of 15-year-old students (in math, reading, and science). Comparing the PISA results in 2022 with those of 2018, it was found that the level of competence has critically decreased, indicating that the introduction of distance education was not effective and its management is carried out at an inadequate level, without taking into account the requirements of the times, which has a direct impact on the lack of educational services and, accordingly, the reduction in the effectiveness of education in general. This creates a range of threats to the further development of Ukraine's educational system and the adaptive capacity of the social sphere. The persistent negative dynamics of inadequate quality of distance education undermines Ukraine's long-term ability to ensure social growth and well-being of the population.

Further research should be aimed at improving the efficiency of distance education in Ukraine, given the importance of educational potential for the development of the social sphere. In addition,

it is necessary to analyze regional changes in the quality of education, especially focusing on regions where distance education has been introduced due to the increased danger of students' physical presence in educational institutions. This will give impetus to further optimization of distance education in Ukraine by identifying gaps in management processes and eliminating them.

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## Calidad de la educación en línea como componente para garantizar el empleo

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**Resumen.** El propósito del artículo es diagnosticar el estado actual de la calidad del aprendizaje en línea en las instituciones de educación superior, identificar los principales problemas existentes en esta área y desarrollar medidas para mejorarla con el fin de aumentar la competitividad de los graduados y acelerar su empleo y proporcionar empleo efectivo. El artículo utiliza métodos científicos generales y especiales, en particular métodos dialécticos, de análisis y síntesis, históricos y lógicos para diagnosticar el estado actual de la calidad del aprendizaje en línea e identificar direcciones para mejorar su nivel en las instituciones de educación superior; método de investigación sociológica para identificar problemas en la prestación de servicios educativos por parte de instituciones de educación superior en línea; método gráfico-analítico para ilustrar los principales resultados de la investigación sociológica. Como resultado del estudio, se estableció que el aprendizaje en línea se ha consolidado firmemente en la práctica educativa y será utilizado en el proceso educativo independientemente de la influencia de factores globales, ya que amplía las oportunidades educativas de los estudiantes.

**Palabras clave:** aprendizaje en línea, calidad de la educación superior, empleo, tecnologías de la información.

## Quality of online education as a component to ensure employment

**Abstract.** The purpose of the article is to diagnose the current state of the quality of online learning in higher education institutions, to identify the existing main problems in this area and to develop measures to improve it in order to increase the competitiveness of graduates, accelerate their employment and ensure effective employment. The article uses general scientific and special methods, in particular, dialectical, analysis and synthesis, historical and logical methods to diagnose the current state of the quality of online learning and identify areas for improving its level in higher education institutions; the method of sociological research to identify problems in the provision of educational services by higher education institutions online; graphical and analytical method to illustrate the main results of the sociological research. As a result of the study, it was found that online learning is firmly established in educational practice and will be used in the educational process regardless of the influence of global factors, as it expands the educational opportunities of students.

**Keywords:** online learning, quality of higher education, employment, information Technology.

### INTRODUCTION

The events of the last four years related to the global pandemic have had a significant impact on both the global labor market and its local segments. In Ukraine, since February 24, 2022, in addition to quarantine restrictions, the country's socio-economic situation has been unprecedentedly affected by Russian military aggression, which has resulted in huge losses of human and production potential, territory, material and technical, and all other resources. More than 30% of enterprises have stopped their operations due to physical destruction and temporary occupation of part of the territory. The National Bank of Ukraine estimates a 29.1% decline in real GDP in 2022, with the overall GDP level returning to the level of the early 2000s (Poharska, 2023).

The consequences of these two global disruptive factors were a decline in employment and a decline in incomes. Unemployment at the beginning of the war reached 30%. Of course, not all sectoral markets suffered the same losses, but most still suffered from a significant drop in consumer demand for goods and services, and, accordingly, incurred losses, curtailing their business activities and reducing sales. The consequences of these processes are massive emigration of the population abroad, an increase in the number of internally displaced persons, closure of enterprises, dismissal of a significant part of the staff and transfer of an even larger part of it to remote (remote) employment. Thus, according to experts, as of June 2023, there were 9 million forced migrants outside Ukraine, and 5 million people had temporary protection status in the EU. The number of internally displaced persons is estimated at 5 million (Ibid). These circumstances have a negative impact on the labor market, causing a labor shortage of 4.5 million people for the post-war economic recovery.

The pandemic and the war have dealt a significant blow not only to the country's economy, but have posed serious challenges in virtually all areas of human life. The problem of adaptation to new conditions in the field of higher education has become extremely acute. The importance and significance of the quality of services in this sector in Ukrainian society is second only to the health-



care sector. The higher education sector in Ukraine is the area where professional competencies of managers, specialists and professionals are formed, where the competitiveness of the labor force is created. With this in mind, it is extremely important to ensure the quality of educational services for higher education students under quarantine restrictions, martial law and post-war conditions. Due to the spread of the pandemic and the war, the original problems of Ukraine's higher education sector (chronic funding shortages, inconsistency of higher education programs with the needs of the business environment, imbalance between the professional and qualification structure of graduates and the needs of the labor market, etc.) The latter has become a serious challenge for all participants in the educational process, both for academic staff and students.

We should pay tribute to the Ukrainian higher education sector, which quickly adapted to quarantine restrictions and lockdowns, and later martial law, and has effectively mastered alternative formats of educational services. The spring 2020 semester, which was mostly remote, and the 2020-2023 academic years, which were held online and in mixed modes, were successfully completed. At the same time, the relative novelty of alternative learning formats necessitates research and scientific study of their essence and specific features.

## LITERATURE REVIEW

It should be noted that the problems of the labor market, employment, quality and balance of the labor market and the market of educational services are constantly in the focus of attention of many Ukrainian and foreign scholars. In particular, the problems of transformation of the labor market, employment and incomes of the population are devoted to the works of A. Kolot, M. Makhsma and many others. The market of educational services, the quality of higher education is studied in the scientific works of V. Khorunzhyi, O. Radchuk, K. Oleksenko, O. Kryvylova, I. Khavina, I. Klopov, V. Molodychenko, V. Voronkova and others.

Among the recent publications of foreign researchers of online learning, the works of B. Gilbert, Tomas J. Law, and others are worthy of attention. For example, B. Gilbert considers the potential problems and disadvantages of online courses. raises the question of how best to support students enrolled in an online course (Gilbert, 2015). G. Tareen and M. Haand, studying the perceptions of graduate students about the advantages and problems of online learning, concluded that this format is convenient and generally meets the needs and expectations of graduate students, while emphasizing such disadvantages as lack of interaction between students, unclear assessment strategy, lack of accurate feedback and support from teachers, and lack of interest in learning (Tareen et al., 2020). T. Hongsuchon and I. Emary, studying the effectiveness of online learning, noted that it depends on many factors, including student and teacher self-efficacy, confident use of IT technologies, use of educational strategies, ability to monitor and evaluate learning outcomes, and student motivation. Their research has shown that universities can increase the effectiveness of online learning by motivating students to join online classes and developing appropriate learning strategies for their individual needs (Hongsuchon et al., 2022). T. Wang, C. Lin, and Y. Su conducted an online survey of 854 students and applied econometric modeling to test the hypothesis that technical support for promoting online learning helped students complete course assignments during the pandemic and generated a continued intention to use online learning in the future. The model largely confirmed students' intentions to continue using online learning in the post-quarantine period. In view of this, higher education institutions are encouraged to popularize online learning modes and methods after

the COVID-19 pandemic (Wang, Lin, 2021). B. Xhaffery and G. Xhaffery studied the problems of online learning at the Southeastern European University. After conducting a survey of students of linguistic faculties, they concluded that the advantages of this teaching format outweigh the disadvantages. At the same time, they emphasize the need to support students to increase their self-motivation and discipline (Xhaffery, 2020).

P. Gautam emphasizes the advantages and disadvantages of online learning (Gautam, 2020). T. Law highlights the mostly positive characteristics of online learning, including the wide availability of this learning format for students and the high degree of freedom of teachers and students in choosing time and other learning conditions. In addition, it provides an overview of the most effective digital educational platforms and indicates the average salary level of online teachers (Law, 2021). The study of the impact of teacher stress, determining the role of professional support during the Covid-19 pandemic, the impact on their involvement in the educational process and their labor productivity is devoted to the work of K. Obran (Obran, 2020).

Despite the sufficiently deep development of this scientific issue, new teaching formats, and in particular, the online format, require further research. Given this, the purpose of the article is to diagnose the current state of quality of online learning in higher education institutions, identify the existing major problems in this area and develop measures to improve it in order to increase the competitiveness of graduates, accelerate their employment and ensure effective employment.

## RESEARCH METHODS

To achieve this goal, general scientific and special methods were used, in particular, the dialectical method was applied in analyzing trends in higher education in the context of the challenges of a pandemic and a full-scale war. In particular, the quality of online learning in this article is not considered as a separate category or process, but as part of the entire education system, which is influenced by numerous factors of the macro and micro environment, in dynamics, development and close relationship with the economic system.

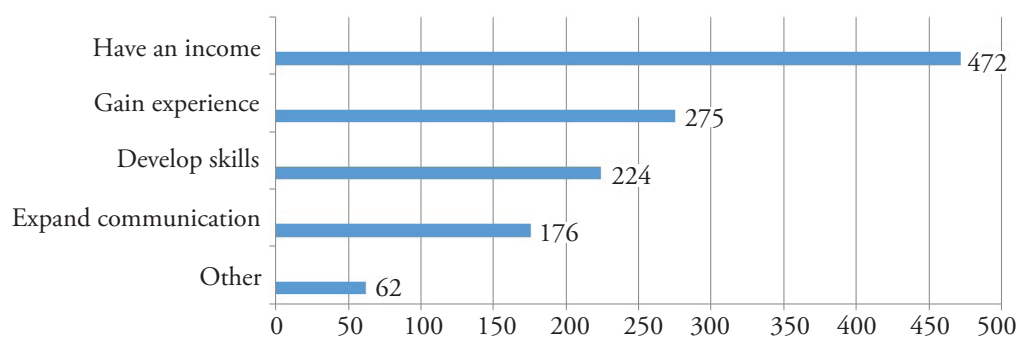
The method of analysis, which consists in dividing the whole into parts and considering each individual element as part of the whole, has been widely used in identifying the current state of quality of educational services in the field of higher education. The method of synthesis was used to summarize the identified patterns and trends in the field of online learning and to formulate the conclusions of the study. The historical and logical methods were used to develop proposals for improving the level of online learning in higher education institutions. The method of sociological research was used to identify the main problems in the provision of educational services by higher education institutions online. The sample of 630 students is representative. To this end, in 2021-2023, a survey was conducted of 630 HEI students located in Kyiv (443 people) 74.3%, in Chernihiv 70 people (11.3%) and 117 people (14.4%) as well as in the cities of: Kharkiv, Lviv, Odesa, Poltava, Zhytomyr. As for the gender distribution, the vast majority of respondents are women - 373 people (62.6%), and 233 people (37.4%) are men. All respondents are enrolled in different courses. In particular, the first-year respondents accounted for 67 people (11.2%); the second - 335 people (56.2%); the third - 101 people (16.9%); the fourth - 54 people (9.1%) and the fifth - 39 people (6.5%). Almost all survey participants are full-time students, 561 people (94.1%). There are 35 part-time students (5.9%). The graphical and analytical method was used to illustrate the main results of the sociological survey.

## RESULTS OF THE STUDY

To find out whether studying is the only type of employment for students, they were asked the question “Do you combine studying with work?”. The distribution of answers to this question showed that despite the fact that almost all respondents are full-time students, only one third of the respondents - 189 people (31.2%) - are engaged in studying only, i.e. do not combine study and work. The overwhelming majority of respondents - 260 people (43.6%) - said they work full-time, and another 147 people (24.7%) said they sometimes combine work and study. It should be noted that for the vast majority of those who work, their job is not related to their future profession. Only one third of respondents said they have a job in the field of their study.

The main reasons that motivate higher education students to combine study and work are the following: lack of money, the need to gain experience, develop professional skills, expanding the circle of friends, and others. Thus, according to the survey, three quarters of working students combine study and work because they want to have their own income. Almost half of the respondents (43.7%) mentioned gaining experience as an important reason for their work (Figure 1). Another 38% of respondents noted the need to develop professional skills. Almost 30% of students also work to expand their social circle. Other reasons for working were also mentioned by full-time students. In particular, the need to pay tuition fees. Some work for development, pleasure, boredom, to occupy their free time, and even to overcome emotional pain. So, the reasons for working are quite diverse, but the main ones are still material incentives and gaining professional experience. The combination of study and work for the vast majority of surveyed students positively characterizes them as individuals with an active life position. In this regard, it is important to emphasize the need for proper prioritization. The top priority should be to obtain a quality education, as this will largely determine the future professional success of each student.

**Figure 1.** Distribution of answers to the question «If you combine study and work, what are the reasons? (p.9)

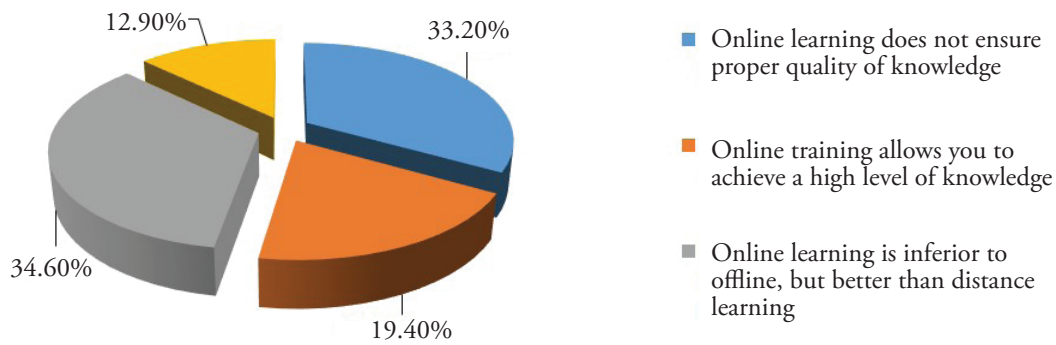


Source: calculated by the author based on the results of the survey.

In the context of prolonged quarantine restrictions, it is important to know how the direct consumers of these services evaluate them in order to improve the quality of educational services provided by higher education institutions. To this end, students were asked several questions on this topic. In particular, the survey found that only 17% were negative about online learning, another 23% found it difficult to evaluate it, while the vast majority of students surveyed were positive (22.9%) or generally positive (38.7%) about forced online learning caused by quarantine measures.

It turned out that almost all respondents noted the connection between the quality of educational services and the teaching mode. The answers to this question were distributed as follows. More than a third of respondents (34.2%) said that the online format does not provide adequate quality of knowledge (Figure 2).

**Figure 2.** In your opinion, does the quality of education depend on the form of education? (p.10)

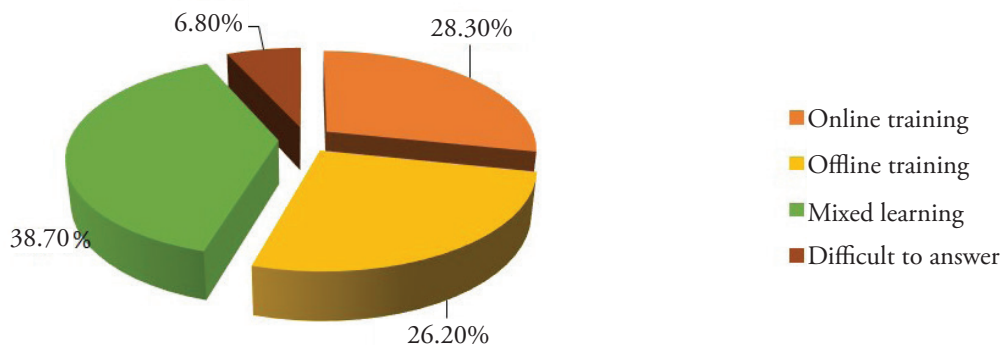


Source: calculated by the author based on the results of the survey.

According to almost 20% of respondents, online learning provides a high level of knowledge, which indicates their satisfaction with this mode of teaching. And about a third of the respondents realize that online teaching is inferior to offline teaching, but agree that it is better than distance learning.

Interestingly, the largest number of respondents (232 people, or 38.9%) said they would choose a blended learning mode if they had a choice (Figure 3). The full-time (offline) form was supported by 26.8% of respondents. 27.3% of respondents preferred the online mode of study. This distribution of students' opinions indicates that after the end of quarantine restrictions, education is unlikely to switch to 100% offline mode. Probably, the most optimal form will be a mixed form, in which part of the classes will be held in the classroom and part in the online format.

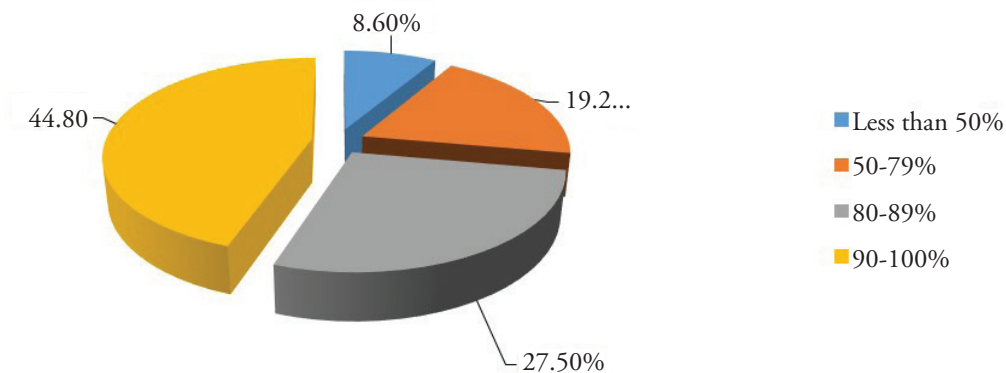
**Figure 3.** If you had a choice: online or offline education, which form would you choose? (p.10).



Source: calculated by the author based on the results of the survey.

It should be noted that during the quarantine, it turned out that not all teachers who were supposed to teach online classes were doing so. For example, almost 10% of respondents complained that less than 50% of teachers conducted online classes (Figure 4). Another 20% of respondents said that only 50-80% of all classes were held online. However, almost half of the respondents said that 90-100% of their classes were conducted online. The study did not have the opportunity to interview teachers and find out the reasons why classes were not held, but it can be assumed that most of these reasons are objective. But in any case, the absence of classes significantly undermines the authority of the teacher and negatively affects the quality of knowledge.

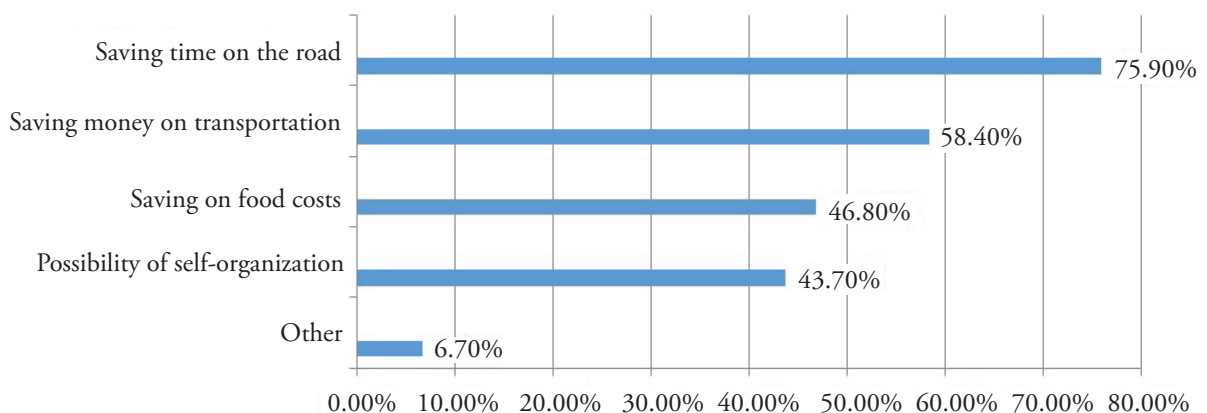
**Figure 4.** Determine the percentage of teachers who conduct online classes (p.11)



Source: calculated by the author based on the results of the survey.

Undoubtedly, students have experienced certain advantages of the online learning format. For many of them, the biggest ones were saving time on the road, saving money on transportation, and saving money on meals away from home. For example, 76.4% of respondents consider saving time on the road to be important (Figure 5). Almost 60% of respondents mention saving money on transportation as an advantage. Another 48% of respondents point to saving money on meals away from home, and almost 43% of students like this situation because they can be self-organized.

**Figure 5.** What are the advantages of online learning for you personally? (p.11)



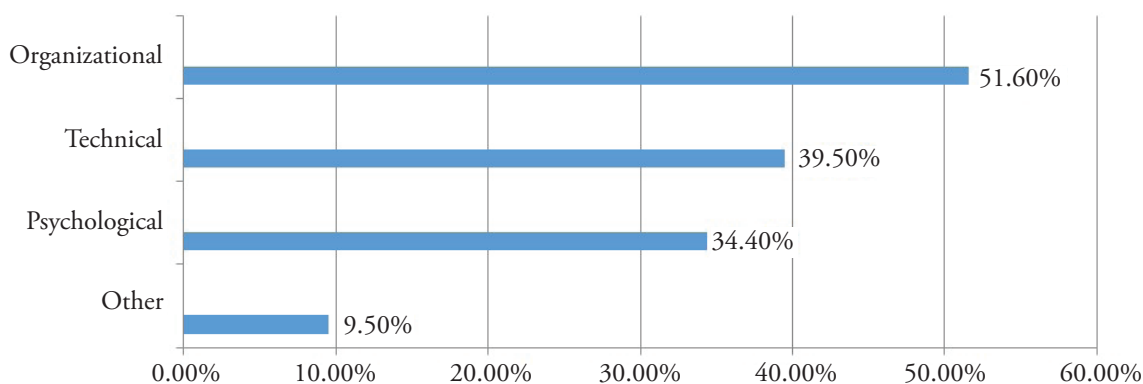
Source: calculated by the author based on the results of the survey.



In this question, there was also a variant of advantages, among which the most frequently mentioned were the opportunity to work (1% of respondents), the ability to realize themselves in other areas, and comfortable home conditions. Some noted that they had more time to complete their assignments and sleep. Some of the respondents mentioned as an advantage that they do not see people they do not like. Other answers also included such advantages as the ability to do household chores during class (since students usually have their cameras turned off). It should be noted that among the respondents there were also those who did not feel any benefits from the online learning mode.

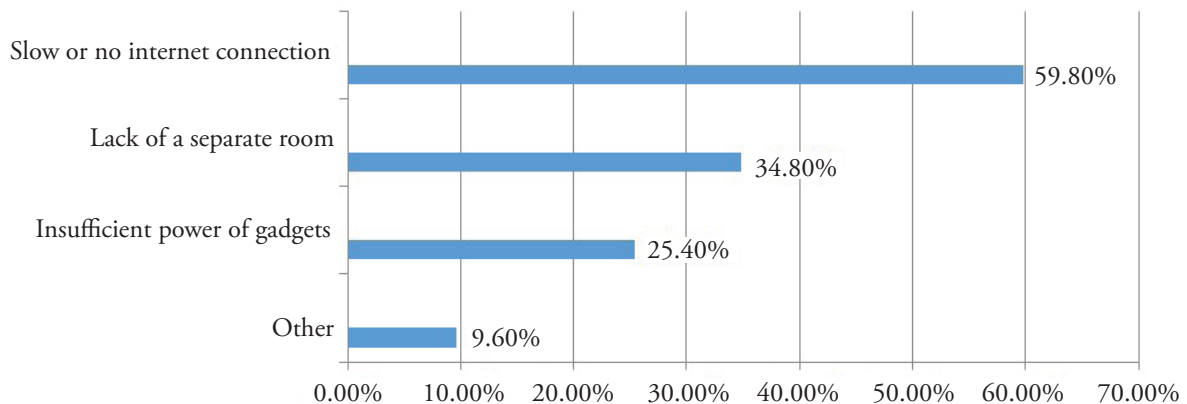
Despite the fact that students identified numerous advantages of online learning, many of them also experienced some difficulties in connection with the transition to this alternative form of education. According to the survey results, the biggest difficulties were organizational. They were mentioned by 311 people or 51.6% of the respondents (Figure 6). About 40% complained about technical difficulties, and 34.4% of respondents complained about psychological difficulties of switching to distance learning. Other difficulties included the following: inability to practice, difficulty in forcing oneself to study, difficulty in learning the material, difficulty in communicating with teachers, not always having a calm environment for learning, and others. It should also be noted that a certain segment of students (4%) did not experience any difficulties in transitioning to this form of education.

**Figure 6.** What were the biggest difficulties you experienced with the transition to online learning? (p.12).



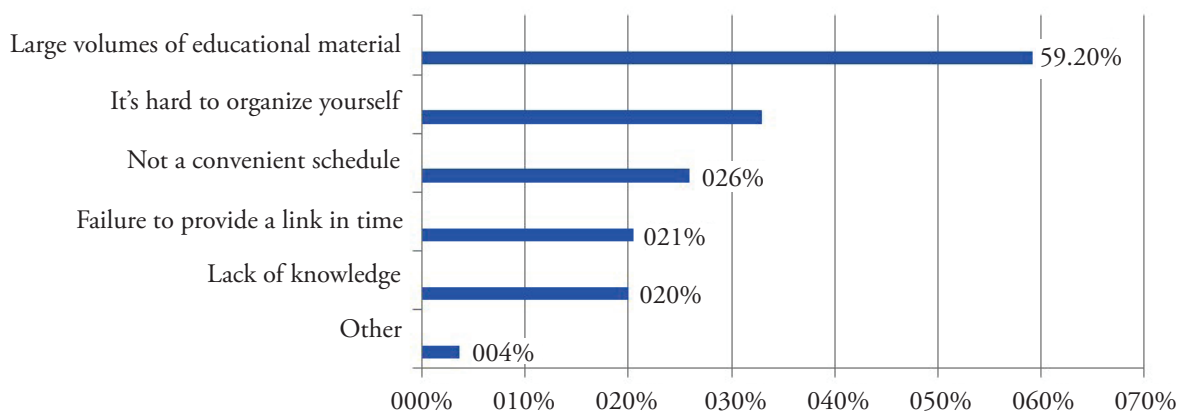
Source: calculated by the authors based on the results of the survey.

In order to specify the composition of each group of problems, students were asked clarifying questions. As a result, it was found that among the reasons of a technical nature, the educational process was most hampered by the slowness and sometimes the absence of the Internet. 60% of respondents complained about this (Figure 7). Insufficient capacity of computer equipment was mentioned by 153 respondents (25.4%). Another important reason was the lack of a separate room. More than a third of respondents cited this reason. It should be noted that more than 5% of respondents said they had not encountered any technical difficulties. Other reasons most often mentioned were: the absence or malfunction of a microphone and webcam, not having the appropriate programs installed, lack of experience with certain software products, and lack of electricity. Some students were hampered in their studies by the need to take care of younger siblings.

**Figure 7.** What technical difficulties did you encounter during your online learning? (p.12).

Source: calculated by the authors based on the results of the survey.

To the question “What were the biggest challenges in organizing online learning?”, a quarter of respondents (25.9%) said that the class schedule was not convenient for them. One in five (121 people (20%)) complained about the lack of knowledge and skills in working with cloud services (Figure 8). Another inconvenience was the untimely sending of links to join video conferences by teachers. This was mentioned by 21% of respondents. However, most complaints were received against teachers for the large amount of educational material sent for self-study. This problem is relevant for 364 respondents (59.2% of respondents). For a third of respondents, the biggest organizational problem was organizing themselves for studying. Some of the respondents complained about the difficulty of combining study and work. Some respondents did not experience any organizational difficulties at all.

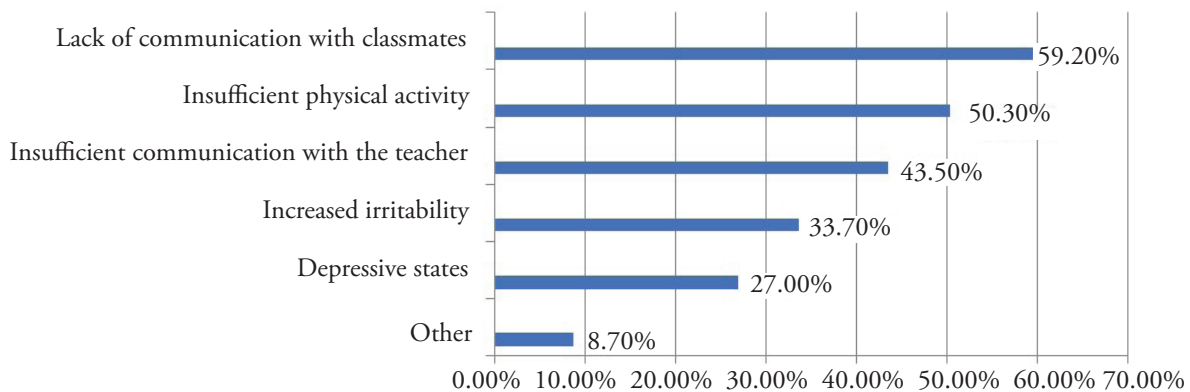
**Figure 8.** What were your biggest challenges in organizing online learning? (p.12).

Source: calculated by the authors based on the results of the survey.

In order to find out the impact of online learning on physical and mental health, the respondents were asked the question “What psychological and physical difficulties have you experienced in connection with the transition to online learning?” More than half of the respondents (59.5%) said

that they lacked live communication with classmates and friends (Figure 9). Lack of communication with teachers was noted by 43.5% of respondents. Every second respondent mentioned a decrease in physical activity and lack of exercise. One-third of respondents noted an increase in irritability. More than a quarter complained of depression. Some respondents noted an increase in fatigue. Among other negative impacts on their physical and mental health, students noted an increase in the load on their eyesight and hearing, an increase in the time spent working with gadgets, and others. Almost 6% of respondents said they did not notice any physical or psychological difficulties.

**Figure 9.** What psychological and physical difficulties have you experienced in connection with the transition to online learning? (p.13)



Source: calculated by the authors based on the results of the survey.

Regarding students' assessment of the quality of educational services, and in particular, the level of theoretical knowledge and practical skills, it is important to note that despite the numerous advantages of distance learning, the largest share of respondents expressed dissatisfaction. In particular, more than 40% of respondents assess the level of theoretical and practical training received online as insufficient. At the same time, more than a third (36%) of the respondents believe that the knowledge and skills they have acquired are sufficient to be applied in practice.

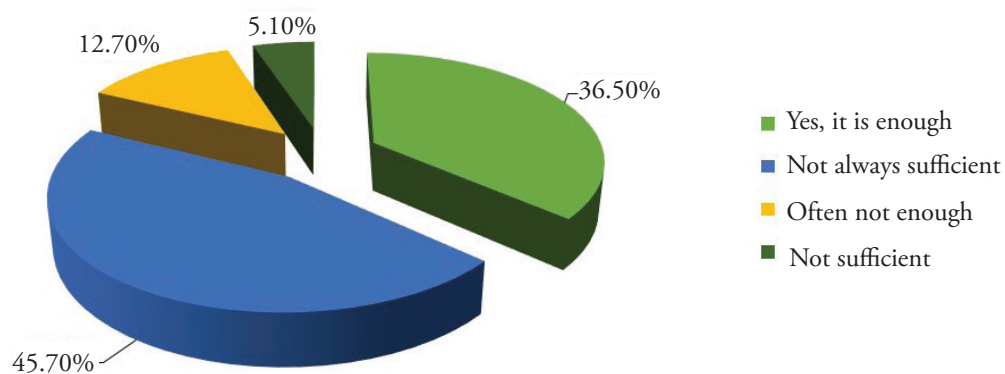
As is well known, the quality of the educational process largely depends on how effectively communication is established between its participants, how promptly and constructively the teaching staff responds to the audience's requests. In this regard, it is important to note that the online learning format somewhat complicates and slows down the process of receiving feedback. This is confirmed by the distribution of answers to the question "Could you influence the amount of educational material offered?". Only 14% of respondents said that they did. Half of the surveyed students said that they could only sometimes influence the amount of educational material. More than 35% said they could not influence teachers to change the amount of material.

At the same time, it is important to note a certain loyalty of students to their teachers, as a significant part of the surveyed respondents (47.6%) are generally satisfied with the amount of feedback. At the same time, 28.2% of respondents believe that the feedback was not sufficient. A significant proportion of the surveyed students are generally satisfied with the amount and quality of the educational material presented. For example, 44% of respondents said that the educational material, its volume and quality fully met their needs. A slightly smaller proportion of respondents

(37%) said that the material met their needs only partially. Only 13% of students were dissatisfied because they believe that the material did not meet their needs.

As part of the study, respondents were asked questions about the adequacy of online assessment of their knowledge. Interestingly, the overwhelming majority of respondents noted that the assessment criteria in the online mode differ from the traditional one. However, opinions differed on whether they have become more complex or simplified. Thus, 26% of respondents believe that online assessment criteria have become more complicated. 22% of the surveyed students noted the simplification of assessment criteria. One third of respondents did not notice any changes in the assessment criteria. About 20% of respondents could not answer this question. In general, the largest share of respondents (46.5%) believes that online assessment of students' knowledge is only partially possible (Figure 10). Another 24.3% of respondents said that the online mode allows for an adequate assessment of students' knowledge. According to 23%, this mode of teaching does not allow for adequate assessment of students' knowledge.

**Figure 10.** In your opinion, is there sufficient teaching and methodological support for the online educational process? (p.15).



Source: calculated by the authors based on the results of the survey.

The surveyed students are not fully satisfied with the educational and methodological support of the online learning process. Almost half of the respondents said that it was only partially sufficient (Figure 10). Another 12.7% of respondents rated the teaching and methodological support as insufficient, which indicates that there are certain problems in this area. At the same time, one third of the respondents rated the teaching and learning support as sufficient.

Some problems in the areas of methodological support, promptness and quality of feedback, and adequacy of assessment to some extent explain the fact that a significant part of respondents (48%) believe that the online learning format allows to develop the necessary professional competencies only partially. About 20% of respondents are convinced that the online learning mode cannot provide the required amount of competencies.

Modern Internet technologies open up new educational opportunities, but at the same time, consumers of educational services realize that it is impossible to fully ensure the training of a specialist using them alone. This was emphasized by 23% of respondents. More than 40% of respondents believe that modern Internet technologies can only partially ensure the train-

ing of a specialist. However, some respondents believe that these technologies are sufficient to train a competitive specialist in demand in the modern labor market.

The experience of implementing the educational process in an online format allowed to test information software platforms to some extent. In this regard, it is worth noting that publicly available free services have proven to be quite good. Thus, almost 45% of the surveyed students rated them as more effective and practical. One in five respondents spoke in favor of specially adapted online platforms, as they consider them more effective.

Given the above survey results, it is obvious that the almost four-year practice of forced use of online learning in higher education institutions has shown that this approach needs to be improved. In our opinion, relevant measures to improve the effectiveness of online learning during quarantine and post-quarantine restrictions, in the current conditions of martial law and post-war reconstruction should include:

- introduction and development of synchronous, asynchronous and blended learning forms to ensure the safety of participants in the educational process and expand their access to educational services;
- application of flexible modes of study and rest for participants of the educational process during the school year and day;
- development of information and communication infrastructure (ensuring quality Internet coverage, providing participants of the educational process with modern computer equipment with appropriate software);
- improving the content of disciplines to focus them on the formation of competencies demanded by the modern labor market;
- application of innovative methods and ways of teaching (in particular, wider use of material visualization, introduction of gamification of the educational process, use of the project approach in teaching) (Makhsma, Chub, 2022);
- raising the professional qualification level of research and teaching staff in the field of information and communication technologies, training the teaching staff in new information technologies, skills in working with online tools and digital learning platforms;
- establishing constructive communication between teachers and students through the use of popular social media messengers to improve student feedback;
- monitoring the quality of educational services by conducting periodic surveys of students on their satisfaction in order to identify shortcomings and make adjustments to the educational process;
- observance of scientifically based work and rest regimes for all participants of the educational process in the online format, prevention of 24/7 work for both academic staff and students;
- providing psychological support to all participants in the educational process, both students and academic staff.



## CONCLUSIONS

The survey of higher education applicants showed that online learning has become a firm part of educational practice and will continue to be used in the educational process regardless of quarantine restrictions and the security situation, as it allows to significantly diversify teaching methods, expand and improve its content, make it more accessible and effective. At the same time, the practice of its application has shown that the use of online learning requires its continuous improvement. Relevant measures in this context are: development of information and communication technologies and infrastructure, raising the professional qualification level of academic staff in the field of information and communication technologies and information literacy of students, regular monitoring of the quality of educational services to identify and eliminate shortcomings, etc. The implementation of these and other similar measures in the educational practice of higher education institutions will ensure the continuity of the educational process, improve the quality and efficiency of online learning, which will have a positive impact on the quality of the future workforce and contribute to its effective employment.

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# Estrategias de aprendizaje de idiomas empleadas por estudiantes universitarios vietnamitas: una comparación de género

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**Resumen.** El propósito de este estudio fue investigar la frecuencia de las estrategias de aprendizaje de idiomas empleadas por estudiantes universitarios vietnamitas de primer año. También examinó la relación entre el género y las estrategias de aprendizaje de idiomas. Para recopilar y analizar datos para este estudio, se utilizaron enfoques de métodos mixtos, que incorporaron datos tanto cuantitativos como cualitativos. En la fase cuantitativa participaron un total de 100 estudiantes de primer año de una universidad vietnamita (50 mujeres y 50 hombres). Veinte estudiantes participaron en la fase de entrevista del estudio durante la fase cualitativa. Se utilizó una guía de entrevista semiestructurada para recopilar datos cualitativos, mientras que en la fase cuantitativa se utilizó un cuestionario adaptado del Strategies Inventory of Language Learning de Oxford (1990). Los hallazgos demostraron que, con la excepción de las estrategias compensatorias, las estudiantes utilizaron estrategias de aprendizaje de idiomas con mucha más frecuencia que los estudiantes varones. En comparación con los hombres, las mujeres emplearon tácticas más indirectas. Además, la técnica social fue la estrategia de aprendizaje de idiomas más utilizada tanto por estudiantes masculinos como femeninos. Los hombres tendieron a emplear tácticas de memoria con más frecuencia que las mujeres, mientras que las mujeres utilizaron estrategias compensatorias con menos frecuencia. Los hallazgos mostraron que, con respecto a la utilización de cada tipo de estrategia, las diferencias de género no fueron estadísticamente significativas en las tres categorías de estrategias de aprendizaje de idiomas: afectiva, compensatoria y cognitiva.

**Palabras clave:** género, estrategias de aprendizaje, influencias de género, estudiantes universitarios, lengua extranjera.

## Language learning strategies employed by Vietnamese university undergraduates: a gender comparison

**Abstract.** The purpose of this study was to look into the frequency of language learning strategies employed by first-year Vietnamese university undergraduates. It also examined the relationship between gender and language learning strategies. In order to collect and analyze data for this study, mix method approaches were used, which incorporated both quantitative and qualitative data. A total of 100 first-year students from a Vietnamese university—50 females and 50 males—were involved in the quantitative phase. Twenty students participated in the study's interview phase during the qualitative phase. A semi-structured interview guide was utilized to gather qualitative data, while a questionnaire adapted from Oxford's (1990) Strategies Inventory of Language Learning was the instrument used in the quantitative phase. The findings demonstrated that, with the exception of compensatory strategies, female students considerably more frequently used language learning strategies than did male students. Compared to males, females employed more indirect tactics. Furthermore, social technique was the most often utilized language learning strategies by both male and female students. Males tended to employ memory tactics more frequently than females, whereas females used compensatory strategies less frequently. The findings showed that, with regard to the utilization of each strategy type, gender differences were not statistically significant in the three language learning strategy categories: affective, compensating, and cognitive.

**Keywords:** gender, learning strategies, influences of gender, undergraduates, foreign language.

### INTRODUCTION

There are many ways to use in order to study a new language effectively. Past studies on second language learning reported that students' performance can be improved by using various strategies in order to learn effectively and efficiently (O'Malley & Chamot, 1990, Boonkongsan, 2014, Oxford, 2013). One of the best ways is using learning strategies, which are defined as "specific actions, behaviors, steps, or techniques -- such as seeking out conversation partners, or giving oneself encouragement to tackle a difficult language task -- used by students to enhance their own learning" (Scarcella & Oxford, 1992, p. 63). It is also proposed that learning strategies are transferable in terms of these potentially advantageous effects of language learning strategies (LLSs), which means they can be taught and learned.

In addition, a great number of studies showed that there are many learner-related factors that influence language learning, and one of those factors is gender. Several researchers in the fields of language education have discussed the impact of gender on access to linguistic and interactional tools, on the complexities of classroom engagement, and on language learning outcomes, moving further into the student's investigation. The impact of gender on ESL and EFL learning, along with language learning techniques and other variables were sought in this regard. Nonetheless, the essence of the relation between gender and learning a foreign or second language remains unclear, or rather, various researchers are approaching it from several different viewpoints.

According to Nguyen (2013), there have been several studies using either quantitative or qualitative methods with respect to research methodology in the field of LLSs. However, there are not many studies which combine both methods to optimize the results of study. Since LLSs are very complicated with many inter-related problems, it is highly recommended that more mixed approaches to the exploration of LLSs among language learners should be used in the exploration of LLSs among language learners. Another gap in the field that needs to be addressed is that the relationship has not been firmly defined between learner variables and the use of LLS. There are cases of contradictory outcomes provided by studies of the same interests, which can be confusing for researchers and practitioners alike.

Studies conducted in Vietnamese teaching and learning contexts are remarkably uncommon considering the increasing research activities worldwide in the field of LLSs. Significant issues such as LLSs have such an obvious significance that they can seem odd in their rarity. Currently, with just a few published articles, Vietnamese context-specific research into various facets of LLSs is still in its infancy stage. This lack of relevant publications suggests a scarcity of practices focused on research or a lack of interest about this topic and poses a significant awareness gap that needs to be filled.

This particular study will use both quantitative and qualitative approaches to have a mostly complete insights into the topic. The previous studies focusing on the use of LLSs and the role of gender only used questionnaires to collect data and evaluate the frequency of use, while the current study used both questionnaires and semi-structured interviews to examine whether there are differences between male and female students in term of LLSs use.

### **Research questions**

The following questions were addressed in this study:

1. What are the language learning strategies used by first-year male and female students?
2. Is there any difference in terms of language learning strategies used by the students based on gender?

## **LITERATURE REVIEW**

### **Definitions of language learning strategies**

LLSs play a crucial role in the learning process and have been defined differently by many researchers. According to Wenden (1987a), LLSs can be defined from the aspect of language learning behaviors, such as learning and regulating the meaning of a second or foreign language, cognitive theory, such as learners' strategic knowledge of language learning, and the affective view, such as learners' motivation, attitude, etc. It is argued that three points of views can improve language learning.

From the cognitive perspective, LLSs are defined by many scholars as techniques, methods, or procedures used by learners to deal with the information they receive. The earliest definition is provided by Rubin (1975) as "techniques or devices which a learner may use to acquire knowledge" (p. 43). In the same line, Weinstein and Mayer (1986) define learning strategies as "methods or techniques that individuals use to improve their comprehension, learning, and retention of information." Similarly, Chamot and Kupper (1989) also acknowledge that LLSs are "techniques which students use to comprehend, store, and remember new information and skills" (p. 13). Chamot (2008) considers learning strategies as "techniques for understanding, remembering, and using information and skills" (p. 1).



From the aspect of learning behaviors, many scholars have provided different definitions of LLSs. O'Malley and Chamot (1990) view learning strategies as “the special thoughts or behaviors that individuals use to help them comprehend, learn, or retain new information” (p. 1). Weinstein and Mayer (1983) consider learning strategies as “behaviors and thoughts in which a learner engages and which are intended to influence the learner’s encoding process” (p. 3). More specifically, according to Anderson (1985), these thoughts and behaviors constitute organized plans of action designed to achieve a goal. These definitions capture the features and the purposes of LLSs. Mayer (1988) defines LLSs as “behaviors of a learner that are intended to influence how the learner processes information” (p. 11).

Taking one step further, Stern (1975, p. 311) states “the concept of learning strategy is dependent on the assumption that learners consciously engage in activities to achieve certain goals and learning strategies can be regarded as broadly conceived intentional directions and learning techniques.” In addition, Oxford (2008, p. 41), claims that L2 learning strategies are “the goal-oriented actions or steps (e.g., plan, evaluate, analyse) that learners take, with some degree of consciousness, to enhance their L2 learning.” Similarly, Chamot (2004) suggests that learning strategies are “the conscious thoughts and actions that learners take in order to achieve a learning goal” (p. 14).

In general, throughout the years, many researchers gave their own definitions about LLSs. Thus, it is rather difficult to generalise all the definitions provided by different scholars. The following table is a summary on the definitions of LLSs from many different researchers.

**TABLE 1.** Definitions of language learning strategies

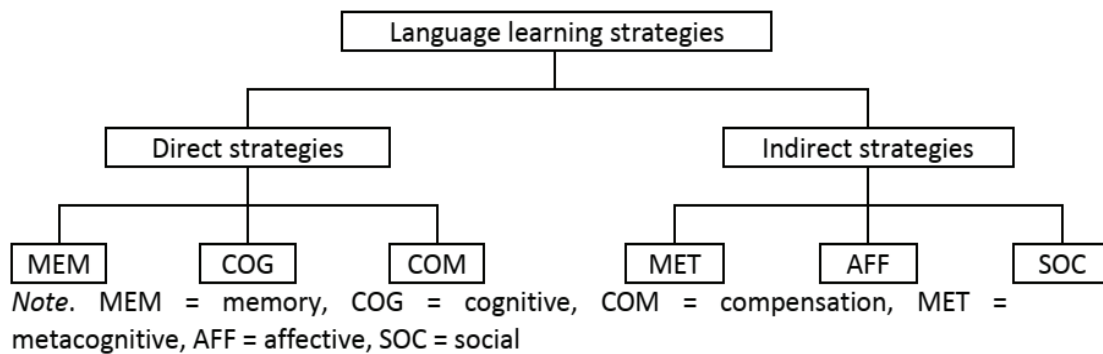
Source	Definition
Tarone (1981)	An attempt to develop linguistic and sociolinguistic competence in the target language.
Rubin (1987)	What learners do to learn and do to regulate their learning.
Chamot (1987)	Techniques, approaches or deliberate actions that students take in order to facilitate learning, recall of both linguistic and content information.
Wenden (1987)	The term refers to language behaviours learners engage in to learn and regulate the learning of L2, to what learners know about the strategies they use (i.e. strategic knowledge), and to what learner know about aspects of L2 learning.
Weinstein and Mayer (1986)	Behaviours and thoughts that a learner engages in during learning that are intended to influence the learner’s encoding process
Oxford (1990)	Behaviours or actions which learners use to make language learning more successful, self-directed and enjoyable.
Ellis (1995)	Generally, a strategy is a mental or behavioural activity related to some specific stage in the process of language acquisition or language use.
Ridley (1997)	Broadly speaking, the term strategy denotes procedures which are sometimes conscious and sometimes unconscious used by a person as a way of reaching a goal.
Cohen (1998)	Processes which are consciously selected by learners and which may result in action taken to enhance the learning or use of a L2, through the storage, recall and application of information about that language.
Purpura (1999)	Conscious or unconscious techniques or activities that an individual invokes in language learning, use or testing.

The definitions of language learner strategies mentioned proves that learning strategies can help learners to control their own learning and become more proficient. Therefore, it is necessary for teachers to make their students aware about these learning strategies and how to use them in learning foreign languages. The following section is devoted to present the main features related to LLSs.

### Oxford's taxonomy of language learning strategies

Oxford's classification is regarded as the most comprehensive classification and has been used by many researchers (Ellis 1994, as cited in Tam 2013) Oxford (1990) has classified LLSs into two categories: direct and indirect strategies as shown in Figure 1. Direct strategies consist of memory strategies, cognitive strategies and compensation strategies whereas indirect strategies comprise metacognitive strategies, affective strategies and social strategies.

**Figure 1.** Strategy system according to Oxford (1990, p. 16)



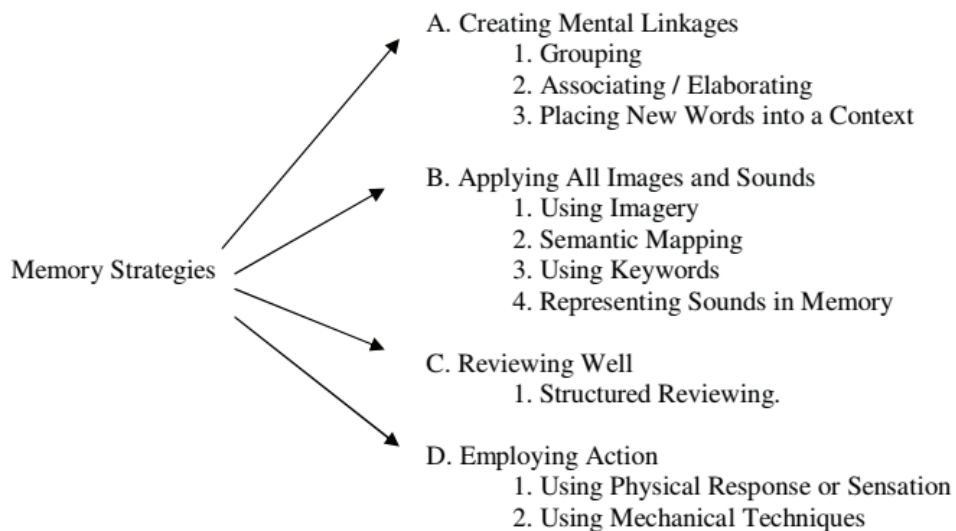
#### *Direct Strategies*

According to Oxford (1990), direct techniques are LLSs that directly involve the target language. The main characteristic of all direct strategies is that they involve the mental processing of the language. Direct strategies are further categorized into three groups: memory strategy, cognitive strategy and compensation strategy.

#### *Memory Strategies*

Memory strategies are defined as methods to help learners store and retrieve new information. Oxford (1990) classifies memory strategies the four categories: creating mental linkage, applying images and sounds, reviewing well, and employing action. The following diagram shows the clusters of the memory strategies.

**Figure 2.** Diagram of the Memory Strategies (Oxford, 1990, p. 18)

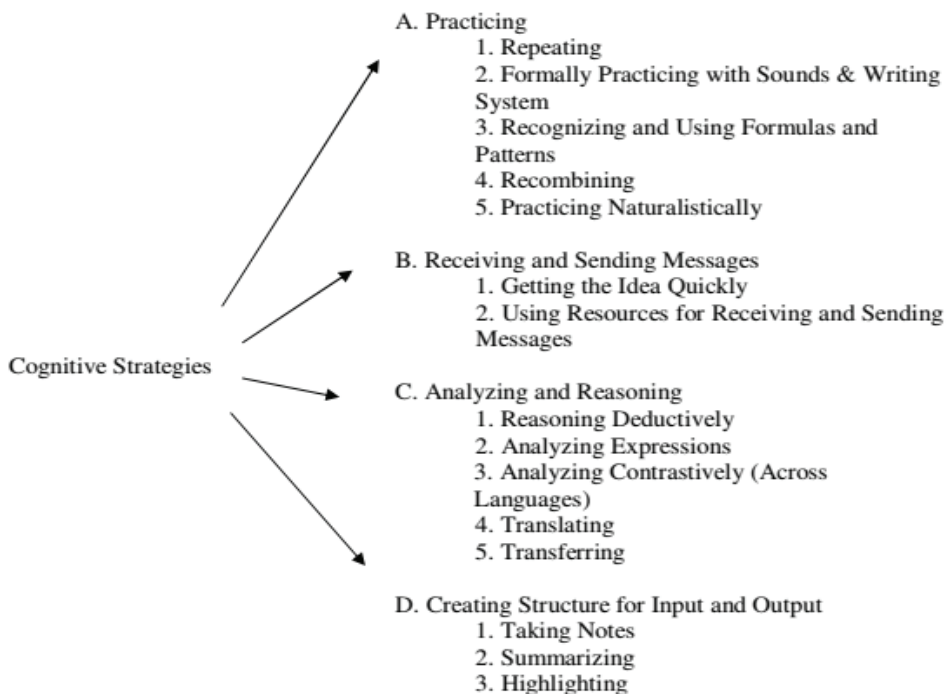


*Cognitive Strategies*

For Oxford (1990), cognitive strategies enable learners to manipulate or transform the target language. In other words, they enable learners to understand and produce new language through many different means.

Cognitive strategies are grouped into four categories: practicing, receiving and sending messages, analyzing and reasoning, and creating structure for input and output. The following diagram shows the clusters of the cognitive strategies.

**Figure 3.** Diagram of the Cognitive Strategies (Oxford, 1990, p. 18-19)

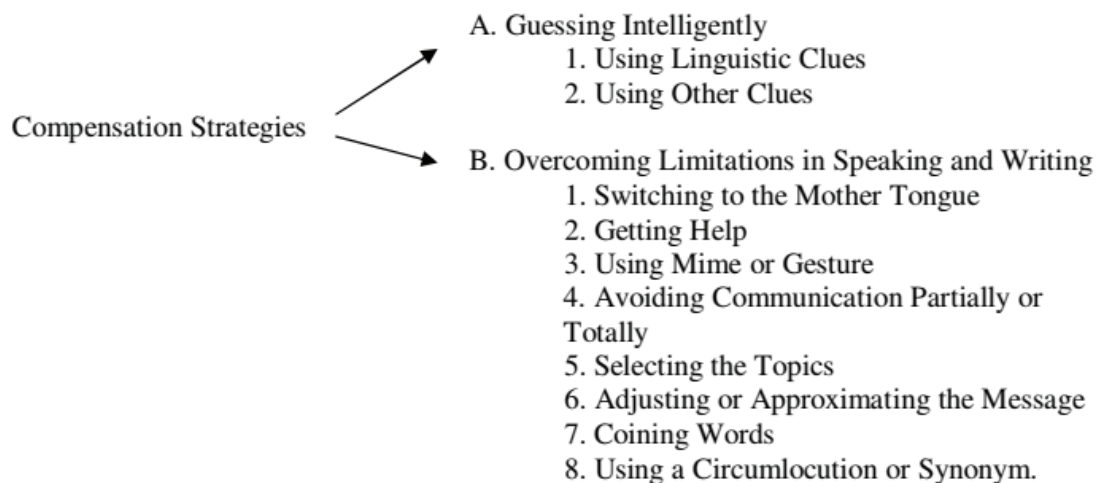


### *Compensation Strategies*

According to Oxford (1990), compensation strategies are the strategies that enable learners to use the new language for either comprehension or production in spite of limitations in knowledge. As compensation is present both in comprehension and in production, these strategies let learners produce both spoken and written expressions in the target language. Compensation strategies for production are used to compensate and make up for a lack of appropriate vocabulary and grammatical knowledge. Besides, some of these strategies help learners become more fluent in their prior knowledge. Oxford (1990) states that learners who reported to use more compensation strategies sometimes communicate better than learners who are not.

There are ten compensation strategies listed under two sets of strategies: guessing intelligently and overcoming limitation in speaking and writing. The following diagram shows the clusters of the compensation strategies.

**Figure 4.** Diagram of the Compensation Strategies (Oxford, 1990, p. 19)



### *Indirect Strategies*

The second major group of LLSs in Oxford's taxonomy is called indirect strategies because they support and manage language learning, in many instances, without directly involving the target language (Oxford, 1990). The indirect strategies work together with the direct strategies to help learner regulate the learning process. Thus, the indirect strategies are useful in practically all language learning situations and are applicable to the four language skills (reading, writing, listening, and speaking) (Oxford, 1990)

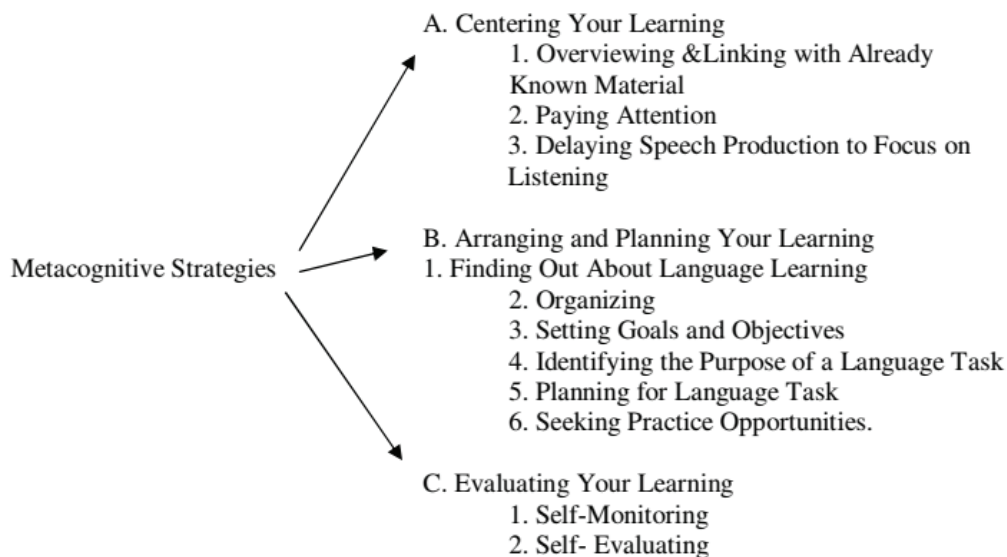
Indirect strategies are separated into three subgroups: metacognitive strategies, affective strategies and social strategies.

### *Metacognitive Strategies*

According to Oxford (1990), metacognitive strategies are actions that go beyond cognitive devices and enable learners to control their own cognition and to coordinate their own learning process. She believes that metacognitive strategies are very important for successful language learning. Nevertheless, despite the importance of metacognitive strategies, learners rarely or unconsciously use these strategies.

Metacognitive strategies include eleven skills listed under three groups of strategies: centering your learning, arranging and planning your learning and evaluating your learning. The following diagram shows the clusters of the metacognitive strategies.

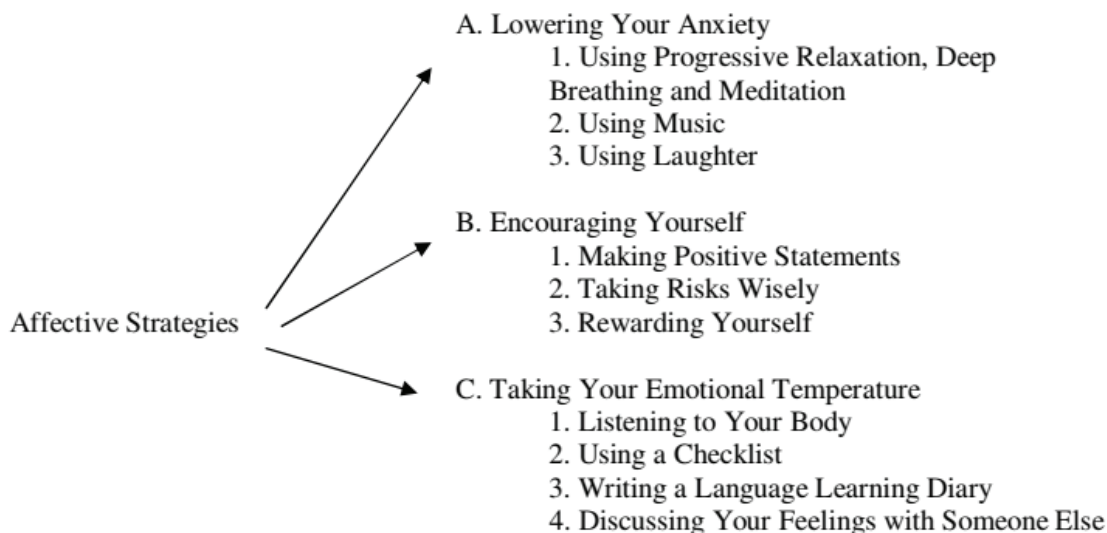
**Figure 5.** Diagram of the Metacognitive Strategies (Oxford, 1990, p. 20)



### *Affective Strategies*

Having a positive feeling will help language learners to archive better performance in language learning. Oxford (1990) refers the term “affective” to emotions, attitudes, motivation and values. The use of affective strategies will enable learners to gain control over factors related to emotions, attitudes, motivations and values through the use of affective strategies. There are ten skills listed under three sets of affective strategies. They are lowering your anxiety, encouraging yourself, and taking your emotional temperature. The following diagram shows the clusters of the affective strategies.

**Figure 6.** Diagram of the Affective Strategies (Oxford, 1990, p. 20)

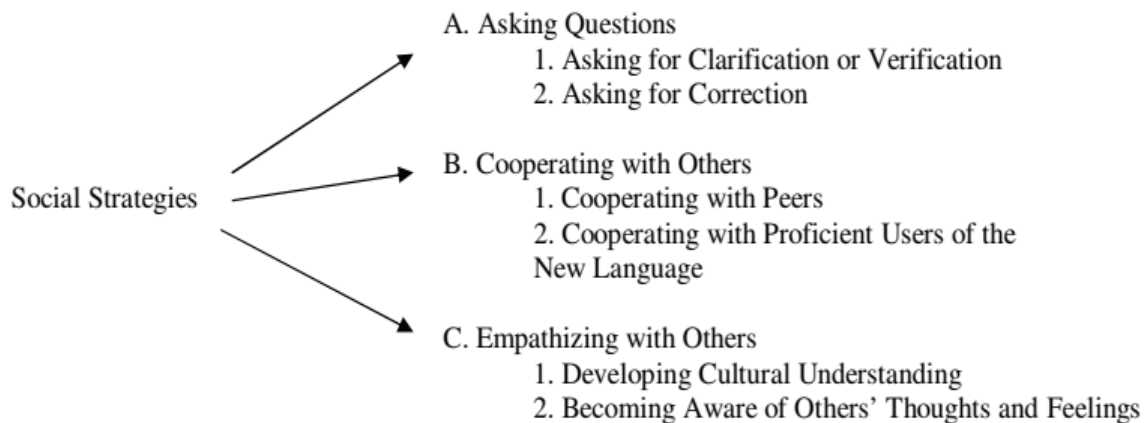




Language learning is not only learning about language but also to understand the target culture. Using social strategies will help learners to work with others and understand the target culture as well.

There are six skills listed under three sets of social strategies. They are asking questions, cooperating with others, and empathizing with others. The following diagram shows the clusters of the social strategies.

**Figure 7.** Diagram of the Social Strategies (Oxford, 1990, p. 21)



## Research methodology

### *Research design*

This study aims to investigate the LLSs used by the male and female undergraduates at a university in Vietnam. For the research design, this study utilized mixed method approach, which combines both quantitative and qualitative data for collection and analysis procedures to understand a research problem more complete and strengthen the study's conclusions (Creswell, 2017).

For the quantitative method, the study collected data from the participants by adapting a questionnaire list of Strategy Inventory for Language Learning (SILL) version 7 by Oxford (1990). The data collected then were analyzed using Statistical Package for the Social Sciences (SPSS) and interpreted the mean. In qualitative research, a semi-structured interview was conducted to explore in depth the students' use of LLSs and verifying whether students' perception of gender influence on LLSs use. According to Dornyei (2007), mixed method research increases the strengths of the study while eliminating the weaknesses, improves the validity of the research, and usually reaches a larger audience than a monomethod study would.

### *Participants*

In the quantitative phase of the study, a total of 100 first-year students (50 females and 50 males) took part in the study. Their ages ranged from 19 to 22. Since they had already passed the placement test and study in the same course, they were considered as at the same English proficiency level. We used stratified sampling method to select the male and female participants who were asked complete a questionnaire about their LLSs. The qualitative phase of the study involves 10 students (5 females and 5 males) randomly selected from among the

questionnaire respondents. The male and female students had previously expressed their willingness to participate in the semi-structured interviews.

*Research instruments*

This study employed a mixed method combining quantitative and qualitative approaches to provide a more complete picture and a voice of the participants. The quantitative data were collected through a questionnaire while a qualitative data were collected based on the participants' responses in semi-structured interviews. This section aims to describe the research instruments used in this study which consist of the questionnaire and a semi-structured interview guide.

*The quantitative instrument*

The questionnaire used in this study consisted of two parts. Part 1 was for the demographic data such as gender, age and student code. Part 2 was the SILL used in this current study which consisted of 48 items classified into six sections. The brief details of SILL are given in Table 2

**TABLE 2.** Strategies, number of items within each section, and one sample item for each section

Strategies	Items	Sample items
Memory	9	I use new English words in a sentence so I can remember them
Cognitive	13	I say or write new English words several times.
Compensation	6	To understand unfamiliar English words, I make guesses.
Metacognitive	9	I look for opportunities to read as much as possible in English.
Affective	6	I encourage myself to speak English even when I am afraid of making a mistake.
Social	5	I ask English speakers to correct me when I talk.

The items are assessed on a five-point Likert scale ranging from 1 to 5. For each statement, they had to decide whether that statement was (1) Never true, (2) Usually not true, (3) Somewhat true, (4) Usually true, or (5) Always true of them.

*The qualitative instrument*

As it is a semi structured interview design, the researcher asked more supplementary questions. The interview guide included the guiding questions and additional prompts. The prompts were used to get deeper insight if the interviewee did not answer the questions by themselves. The interview guide consisted of 5 parts.

Part A of the interview guide was the introduction. The main purpose of this part was to introduce the purpose of the interview, inform about audio taping and assure the interview confidentiality.

Part B consisted of opening questions to explore the background of the students.

Part C focused on how the students use the six categories of LLSs and the influence of their gender perception on LLS use. The data collected will be analyzed to answer the third research question and also to get a deep understanding on the students' responses in quantitative data.

Part D was supplementary questions in order to get more insights into the influence of gender identity on their language learning strategy.

The final part E closed the interview. The interviewer thanked the participants for participating and asked him/her for additional comments.

## RESULTS AND FINDINGS

### *Quantitative phase*

The questionnaire data collected from 100 male and female students were processed using SPSS. The frequency of each individual strategy of the six categories of LLSs was calculated on the basis of the mean scores for male and female participants. Descriptive statistics of language learning strategy use were computed in order to answer the first and the second research questions.

Research Question 1: What are the most/least frequent language learning strategies used by first-year male and female students?

**TABLE 3.** Means, standard deviations and ranks of the six categories of LLSS used by male and female students

Type of strategies	Male			Female			Overall Mean		
	<i>M</i>	<i>SD</i>	<i>Rank</i>	<i>M</i>	<i>SD</i>	<i>Rank</i>	<i>M</i>	<i>SD</i>	<i>Rank</i>
Memory	3.58	.59	6	3.91	.57	3	3.75	.60	4
Cognitive	3.67	.51	4	3.84	.48	4	3.76	.50	3
Compensation	3.70	.59	3	3.61	.65	6	3.66	.62	6
Metacognitive	3.96	.65	2	4.25	.49	2	4.11	.59	2
Affective	3.63	.83	5	3.78	.71	5	3.71	.77	5
Social	4.03	.75	1	4.31	.52	1	4.17	.66	1
Total Average	3.76	.52		3.95	.42		3.86	.48	

As we can see from the table 3, the most preferred strategy category of all the students was social strategy with the overall mean of (4.17), followed by metacognitive strategy, cognitive strategy, memory strategy and affective strategy while compensation strategy ranked the least frequently used with the overall mean of (3.66). It should also be noted that the mean scores of strategy categories are close to each other.

In regard to the rank order of the strategies according to their frequency of usage between male and female students, there was a similarity in their first and second frequent LLSs. Both males and females preferred to use social strategies mostly with the mean score of (4.03) and (4.31), respectively. Metacognitive strategies were their second favored ones with mean of score of (3.96) for males and (4.25) for females. However, the major difference in their LLS usage lied on the third and the sixth strategies. While compensation strategies were ranked in the third place of the used strategies by males, they were the least frequent strategy used by females. Similarly, a reverse order was found for memory strategies, which leads them to the least frequent strategies used by males.

In general, the descriptive statistics showed that female students used strategies with greater frequency than male students in all categories, except for the compensation strategies. The most frequent LLSs used by both male and female students were social strategy. While memory strategies were the least used strategies of males, compensation strategies were the least used by females.

Research Question 2: Is there any difference in terms of language learning strategies used by the students based on gender?

This research question aims at identifying the effect of gender variable regarding the use of LLSs. The independent T-test was run in order to test if there was a difference in use of LLSs between females and males. Table 4.2 shows differences between male and female students regarding direct and indirect strategies.

**TABLE 4.** Independent sample t-test showing students differences regarding direct and indirect strategies according to gender variable

Strategies	Gender	N	M	SD	df	t	Sig. (2-tailed)
Direct	Male	50	3.65	.48	-1.44	98.00	.15
	Female	50	3.79	.46			
Indirect	Male	50	3.87	.62	-2.16	98.00	.03
	Female	50	4.11	.48			

Table 4 showed that there was no statistically significant difference between male ( $M = 3.65$ ,  $SD = 0.48$ ) and female students ( $M = 3.79$ ,  $SD = 0.46$ ) in the means of using direct strategies ( $Sig = .15$ ,  $P > 0.05$ ). However, there was a statistically significant difference in the means of using indirect strategies ( $Sig = .03$ ,  $P < 0.05$ ) between male students ( $M = 3.87$ ,  $SD = 0.62$ ) and female students ( $M = 4.11$ ,  $SD = 0.48$ ). The results indicated the fact that females, on average, employed more indirect strategies than males was significant. In order to provide a more detailed answer to the research question 2, an independent sample t-test was used to analyze any significant differences in the use of six categories of LLSs between male and female students. The results were shown in Table 5.

As we can be seen in table 5, there was statistically significant difference in the overall means of using English learning strategies ( $Sig = .049$ ,  $p < 0.05$ ) between male students ( $M = 3.76$ ,  $SD = 0.52$ ) and female students ( $M = 3.95$ ,  $SD = 0.42$ ), which indicated that females reported higher overall strategy use than males and they were significantly superior to male students in using LLSs. It could be concluded that a significant difference did exist between genders in the students' language learning strategy use.

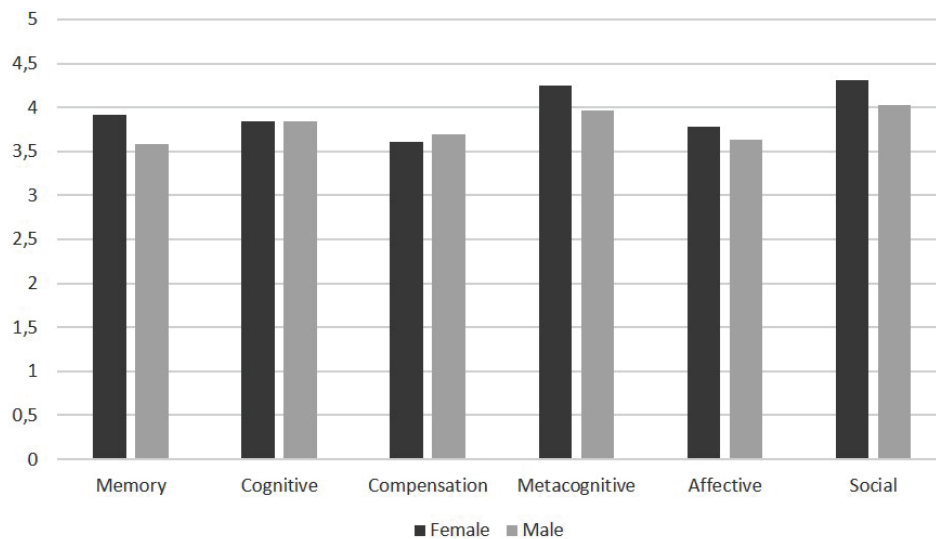
When each strategy category was considered separately, the statistics showed that there were statistically significant differences between male and female students in favor of females in the means of using memory strategies ( $Sig = .006$ ,  $p < 0.05$ ), metacognitive strategies ( $Sig = .015$ ,  $p < 0.05$ ) and social strategies ( $Sig = .034$ ,  $p < 0.05$ ).

A comparison among the means of the six categories of LLSs regarding gender variable listed in Table 5, given above, are graphically presented in Figure 8.

**TABLE 5.** Independent sample t-test showing students' differences regarding six categories of LLSs use according to gender variable

Strategies	Level	N	M	SD	t	df	Sig. (2-tailed)
Memory	Male	50	3.58	.59	-2.83	98.00	.006
	Female	50	3.91	.57			
Cognitive	Male	50	3.67	.51	-1.77	98.00	.079
	Female	50	3.84	.48			
Compensation	Male	50	3.70	.59	.77	98.00	.441
	Female	50	3.61	.65			
Metacognitive	Male	50	3.96	.65	-2.49	90.38	.015
	Female	50	4.25	.49			
Affective	Male	50	3.63	.83	-1.00	98.00	.321
	Female	50	3.78	.71			
Social	Male	50	4.03	.75	-2.16	98.00	.034
	Female	50	4.31	.52			
Whole Instrument	Male	50	3.76	.52	-1.99	98.00	.049
	Female	50	3.95	.42			

**Figure 8.** Means of the Six Categories of LLSs regarding gender variable



As we can see from table 4.3 and chart 4.1, there were no significant differences on cognitive strategies (Sig = .079,  $p > 0.05$ ), compensation strategies (Sig = .441,  $p > 0.05$ ) and affective strategies (Sig = .321,  $p > 0.05$ ) between male and female students in their use of LLSs. The findings revealed that although males reported higher strategy use than females for compensation strategies, this difference was not significant.



In conclusion, the statistic results for research question 2 showed that females significantly used higher overall LLSs than males. For each strategy category use, the results indicated that there were statistically significant differences between male and female students in their use of memory, metacognitive and social; however, gender differences were not significant in the three LLS categories: cognitive, compensation and affective.

### Qualitative phase

Interviews conducted on 20 students including 5 males and 5 females to investigate students' perception of gender in order to address the third research question.

#### *Gender and the use of Memory strategy*

The students' responses through the interview confirmed the findings collected from the questionnaire that the male students seemed to use fewer memory strategies than female students. Most of the male students reported that they did not like to use gestures or body language to remember information. In addition, they only read the old materials when they had to take the exam. Here is an example of the responses:

*"I remember by myself or I often use new words to make sentences in real context. Also, I did not use body language. About review lesson, hmmm, I just do it when the test is coming".* (Male 1, English translation)

In contrast, all of five female students said they have to remember what they learnt in English. Their ways to remember information were abundant, including making sentence with new words, reviewing the old materials, using notebooks, using sounds, images and sensation, etc.

*"I usually make a humorous sentence with a new vocabulary that smartly helps me to memorize vocabularies. When we want to effectively study, we should combine sounds, images and sensation".* (Female 2, English translation)

*"I usually use images and make sentences into a real context to memorize new words. Besides, I have my own note book to write words which I will review after class".* (Female 4, English translation)

When researchers asked about the differences between males and females in the ways of memorizing information, all of the participants agreed on the difference. They said that females studied harder and reviewed the lesson more regularly while males were more interested in entertainment, especially games. Some selected responses from participants are quoted below.

*"To my view, females usually take note then they can review it at home because they personally believe if they cannot answer teachers' question, they will be underated and criticized".* (Female 3, English translation)

*"Men usually go home to play games and when they come for exams, they will begin to practice. On the contrary, the girls study harder".* (Female 5, English translation)

*"Men are often confident of their English skills, so they seldom look at the lessons, while the girls will study hard and regularly review the lessons".* (Male 1, English translation)

#### Gender and the use of Cognitive strategy

Male and female students both successfully used cognitive strategies. Their most common strategies to learn English were listening to music and viewing movies in order to develop their listening skills. Both male and female interviewees had confirmed these.

*"I talk to my friends sometimes. And to practice listening, I also watch English movies". (Male 2, English translation)*

*"I practice English by watching films, listening to music and reading book. I also look up words on Cambridge and Oxford dictionary of which I repeat voice interpretation. It helps me to remember longer". (Female 1, English translation)*

To answer the question "Do you think males and females practice English differently from each other?", the students said that females had the greatest potential to summarize and highlight details. The fact was that 5 of females responded they all highlighted important information. Females preferred to point out vital information using striking colours while males did not create structures for input by that way.

*"To me, highlight pens can set off information that helps I remember with no difficult. In addition, females will take care of details so they will be good at using color to highlight information". (Female 3, English translation)*

*"Males thinks using multicolored pens is fussy, time consuming and expensive". (Male 1, English translation)*

In addition, in the manner they conveyed their thoughts, there was a disparity. Males mostly found and generated opportunities for speaking and listening skills by attending class activities. In contrast, females tended to express ideas on the interactive platform of social media due to their characteristics of being shy and girly.

*"Since I don't have close friends who can read and comment in English, I know that they would like to ignore. Second, my English is not adequate for me to openly publish". (Male 2, English translation)*

*"The boys actively participate in activities in the class because they want to experience, the girls are shy and lack confidence". (Male 4, English translation)*

*"Men are more active and less afraid at crowded, but women are thoughtful and shy that makes they inactive". (Female 1, English translation)*

#### Gender and the use of Compensation strategy

The results revealed that females often used intelligent guessing when they didn't know what the other said. The reason was that they were ashamed of being judged by other people. However, males often instantly filled their gap by asking other people for help.

*"I'm trying to guess myself if it's incorrect, then someone else is going to fix it. I am afraid to inquire again, because I think that I will disrupt the conversation flow and be judged poorly". (Female 2, English translation)*

*"I will usually ask the friend to stop and ask. Because I want to understand at that moment, I will understand the words and situation applied. And the girls will guess the meaning by themselves and ignore it because of politeness and shyness". (Male 1, English translation)*

Both males and females used synonyms, simple terms and body language to solve and clarify difficulties when they do not really know in English. Since males had a confidence in their skillful speaking capacity, they rarely switched to mother tongue in speaking. On the other hand, females preferred to switch to mother tongue when they faced difficulties in expressing their ideas.

*“I will use simple words and synonyms to describe them incorporating body gestures.”* (Male 3, English translation)

*“I will use similar words and combine with body language. If I talk in class, I will switch to Vietnamese because the language is used to understand each other. Or I ask you for help.”* (Female 4, English translation)

Another difference between males and females in their use of compensation strategies was that males did not change the topic even an unfamiliar task while females totally neglected complex and unfamiliar topics and just involved in whatever they had an interesting.

*“I won’t be afraid to talk about strange topics, I’ll try to describe as much as I can. I think the girls won’t listen and move on to another topic on their own if it’s a topic you don’t care about.”* (Male 1, English translation)

*“Of course I will change the subject, since I don’t have much knowledge. When I say the topics I don’t like, I won’t have anything to say. Instead, I should turn to the topics I already know.”* (Female 1, English translation)

#### Gender and the use of Metacognitive strategy

In arranging and planning education, both males and females were successful. When they were studying English, they often set a goal, then they intended precisely to accomplish it. In comparison with males, females found more opportunities to communicate with other people to learn English, such as peers and native populations. Even though teachers did not require them to do this, they wished to develop their ability to speak.

*“I often set big goals then I make detailed plans for each day.”* (Male 5, English translation)

*“I will set a long-term goal by year. I then will plan each month. I have found mechanics to practice English with foreign teachers. I tend to talk to them to improve speaking skills and go places where native people usually come to talk with them.”* (Female 1, English translation)

In order to check the understanding in English learning process, females were recorded as a good self-monitor and self-evaluator. They then could understand and enhance their weaknesses. While some men were too confident about their knowledge, their learning process were rarely assessed.

*“I do not often analyze my own study because I know I do not have many problems. I also do not evaluate my own progress.”* (Male 3, English translation)

*“I often analyze the difficulty and progress of learning a foreign language that helps me improve better.”* (Female 3, English translation)

In terms of concentrating, arranging and measuring their learning, most of them stated that females worked hard to prepare and review lessons at home and males scarcely and hardly prepared before class.

*“Preparing the lesson, reviewing the article and finding out more information that the female will stand out. Men will only find out information when he does not know it, if he only knows a little, he will ignore it.”* (Male 1, English translation)

*“Women will often prepare lessons such as translating homework or taking notes for new lessons. And the boys come to the class to sit and listen.”* (Female 3, English translation)

### *Gender and the use of Affective strategy*

Most females had committed that they felt nervous in English communication while males did not feel the same. Besides, females also asked other people for recommendation.

*“If it is a normal conversation, I do not worry. I only worry if the topic is difficult and I have to present in crowded. When I am stressed, I usually reassure myself, listen to music and be alone”.* (Male 3, English translation)

*“I do feel nervous when I speak English. I usually reassure myself”.* (Female 4, English translation)

*“I has concern with communicate in English. And often I will share and ask others for advice. I love listening to music and sleeping to reduce stress”.* (Interview 2)

Furthermore, all students tended to promote themselves, such as self-motivation. However, they were less self-rewarded.

*“I will reward myself when I get good results and feel I deserve it and help me grow”.* (Male 4, English translation)

*“If I achieve something, I will reward myself. For example, I told myself that if I could reach the aims, I would buy myself a dress. If not, I will be punished”.* (Female 1, English translation)

*“I do not reward myself when I get good results. I just use the goal as the motivation”.* (Male 1, English translation)

For the differences in regulating their emotion for minimizing their anxiety, males had more self-control. They had the ability to control the nonverbal language and the face expression. Meanwhile, females freely shared their nervousness with other individuals. Females also shared their emotions on social media.

*“I think men are good at controlling anxiety, and women will show their nervousness through gestures, attitudes and sharing”.* (Male 5, English translation)

*“Females often share feelings through social networks and often share personal stories to their best friends. But few men do it”.* (Male 4, English translation)

*“Male worry, but they hides personal feelings. Women often share feelings on social network such as photos and captions related to feelings”.* (Female 2, English translation)

### *Gender and the use of Social strategy*

Generally, both male and female students interactively and consciously asked teachers and friends to repeat, slow down, explain and provide input throughout the learning process. Besides, they could work with whether familiar and unusual friends.

*“If I do not understand what my teacher says, I will ask him to repeat”.* (Male 1, English translation)

*“I can cooperate with both inside and outside class and with strangers”.* (Female 1, English translation)

However, in the way they cooperated with other individuals, there were significant differences. Most women would prefer to work in opposite sex groups, so they could get more ideas from multiple backgrounds.

*"I want to cooperate with men. I think men will focus on making it more effective when cooperating, while the female friends are usually procrastinating. Because of the opposite sex, the ideas will be more diverse".* (Female 1, English translation)

*"I want to work with men because they don't get distracted".* (Female 5, English translation)

For male students, they had different viewpoints on this issue. Some of them preferred to work in groups with women because of different frames of reference while some liked to collaborate with the same gender because of matching thought. Some of males only cooperated with other people in addition as teachers require.

*"I like working in groups because working with many people will learn many things. I prefer to work with girls because I'm a man so I learn from female friends".* (Male 3, English translation)

*"I like to work in pair, because the group has too many people and many distracting ideas. And girls are difficult and have conflicting so I prefer work with same gender."* (Male 5, English translation)

In communication, both of males and females considered feelings or thoughts of others. Females gave implicit feedback to other people because they respected their opinions and did not want to hurt emotions of other people. They want to empathize with their mates, so they usually use tenderhearted words when they make a statement. In contrast, male provided other people with direct feedback but also care for the feelings of others.

*"When you are willing to absorb what I point to, I will continue to help you. If not, I won't help anymore".* (Male 1, English translation)

*"... I will indirectly, they just say the same matter so they know. Because speaking out too bluntly will easily offend and hurt friends".* (Female 3, English translation)

All of them agreed that gender affected on the ways they collaborated with other people. Here were some evidences:

*"I think working with women will have many new ideas, but there will be many disagreements. Man can normally work with someone who they do not like, but woman cannot."*

*"Gender does affect teamwork. Men will give direct opinions, while women will give more indirect opinions".* (Female 1, English translation)

## CONCLUSION

This study investigated the use of LLSs among first-year undergraduates at a university in Vietnam and explored the significant differences in the use of LLSs based on gender. In addition, this study also found out whether the students' perceptions of gender influenced their LLSs or not. Generally, the descriptive statistics revealed that in all categories of LLSs, except for the compensation strategies, female students significantly utilized LLSs with much greater frequency than male students. In other words, there was a wide disparity with the use of LLSs among students between genders.

Additionally, the results also showed that the most frequent LLSs used by both male and female students were social strategy. While memory strategies were the least used strategies of males, compensation strategies were the least used by females. Females used more indirect strategies than



males. Regarding each strategy category use, the results indicated that gender differences were not significant in the three LLS categories: cognitive, compensation and affective; however, there were statistically significant differences between male and female students in their use of memory, meta-cognitive and social. In addition, the findings from the interview also revealed that the students' gender perceptions had a great influence on their use of LLSs

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# Desproblematización de las relaciones interétnicas e interconfesionales y política de memoria en la república de Tatarstán

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**Resumen.** Un factor clave de consolidación y armonía en cualquier sociedad es una actitud responsable y respetuosa hacia su pasado. El estudio de la relación entre la política de la memoria y las identidades de los grupos étnicos, para los que el origen y el sentido de un pasado compartido consolida la solidaridad en el presente, determina las percepciones de su identidad y las relaciones con otros grupos, es especialmente significativo. El artículo presenta los resultados del estudio de la Política de la Memoria en la República de Tatarstán y considera los procesos de recurrir al periodo búlgaro como fuente a la que remitirse para explicar los fundamentos y las tendencias actuales de los acontecimientos en la política, la religión, el arte e incluso para analizar una serie de cuestiones éticas (como el patriotismo, la tolerancia, etc.). Las representaciones de la época búlgara ayudan a construir una imagen de «paz natural» evidente entre los representantes de los distintos grupos étnicos y confesiones de la región. La estrategia funciona principalmente a través de canales como los medios de comunicación, las declaraciones de funcionarios y la educación. El efecto positivo de dicha política de memoria es establecer la tolerancia como norma que se utiliza para la socialización en el marco de la institución educativa, mientras que el efecto negativo está relacionado con el hecho de que los problemas de interacción entre múltiples grupos étnicos y confesiones pueden atribuirse a la casualidad, y llevan a ignorar finalmente los problemas sistémicos.

**Palabras clave:** etnia, confesión, políticas de la memoria, memoria social, turismo.

## Deproblematization of interethnic and interconfessional relations and memory policy in the republic of Tatarstan

**Abstract.** A key factor of consolidation and harmony in any society is a responsible and respectful attitude to its past. The study of the relationship between memory politics and the identities of ethnic groups, for whom the origin and sense of a shared past consolidates solidarity in the present, determines the perceptions of their identity and relations with other groups, is particularly significant. The article presents the results of the study of the Politics of Memory in the Republic of Tatarstan and considers the processes of turning to the Bulgarian period as a source that can be referred to in order to explain the foundations and current trends of events in politics, religion, art and even to analyze a number of ethical issues (such as patriotism, tolerance, etc.). Representations of the Bulgarian period help to build an image of a self-evident “natural peace” between representatives of different ethnic groups and confessions in the region. The strategy works primarily through such channels as the media, statements by officials, and education. The positive effect of such a memory policy is to establish tolerance as a norm that is used for socialization within the framework of the institution of education, while the negative effect is related to the fact that the problems of interaction between multiple ethnic groups and confessions can be attributed to chance, and lead to the eventual ignoring of systemic problems.

**Key words:** ethnicity, confession, politics of memory, social memory, tourism.

### INTRODUCTION

Representations of the past largely determine the content of value orientations and identity boundaries of different groups, as well as clarify the context and framework of their interaction. Social memory, in addition to images and representations of the past, is also the activity of their creation, reproduction and actualization at the level of culture as a whole, individual social institutions, groups and communities. This part of social memory is called memory politics.

Within the sociological approach to the study of memory, we should first of all note E. Durkheim's ideas about “collective representations” (Durkheim & Moss, 1996), M. Halbwachs's (2007) studies of social (collective) memory, analysis of social memory through the prism of culture (Durkheim & Moss, 1996), analysis of social memory through the prism of culture in the works of J. Assman and A. Assman (2014), and the works by P. Nora (1999), etc.

The understanding of social memory as a social construct is based on poststructuralist and constructivist sociological concepts. In the context of this study, the concept of reproducing “narratives” by H. White (2002), social constructivism by P. Berger and T. Luckmann (1966), the works of representatives of structural linguistics and the idea of “signifier and signified” (Saussure, 1983), and the theory of representation by S. Hall (1980) are significant.

The connection between memory and local social context is explained using the metaphor of “social field” by P. Bourdieu (2007). The heterogeneity of social memory within one community is considered by G. Schuman and J. Scott (1992). The dynamism and variability of social memory is

described by J. Olick's process-relational model (Olik & Khlevniuk, 2012) and the idea of "invention of traditions" by E. Hobsbawm and T. Ranger (2000). Various aspects of practices related to the politics of memory are considered in the works of V.A. Shnirelmann (2010), P.K. Varnavsky (2008) and others.

## **MATERIALS AND METHODS**

The article uses materials of analysis of regional media publications devoted to the historical heritage of the Republic of Tatarstan, a series of expert interviews with specialists involved in the processes of constructing and broadcasting images of the past of the Republic of Tatarstan (archaeologists, professional historians, museum workers, guides, local historians, representatives of the Ministry of Culture and Tourism of the Republic, cultural workers and artists, n=36) and visitors to the museum-reserves Ostrov-grad Sviyazhsk and Velikiy Bolgar (n=33). The combination of different methods of data collection and analysis allowed to verify the results obtained in the course of the study.

## **RESULTS AND DISCUSSION**

One of the central narratives within the policy of remembrance of the historical past of Tatarstan is emphasizing the traditions of tolerance and intercultural dialogue (Maximova et al., 2019). The image of Tatarstan's past as a space where representatives of different ethnic and confessional groups lived peacefully and cooperatively is emphasized. The main narrative is that modern Tatarstan and the Tatar ethnic group is heirs to the traditions of tolerance and intercultural dialog established in the historical periods from the Volga Bulgaria to the Soviet Union. The main authors of the narrative are the region's political and ethnic elite, representatives of the academic community and journalists. The intensity and tolerant nature of intercultural relations and communications is also emphasized at the level of work of tour guides and teachers.

The construction of meanings and practices within the framework of this strategy can be divided into parts. The first type includes representations of the historical conditionality of close and peaceful cultural interrelations between Russians and Tatars living in the republic. The narrative is interpreted differently by experts engaged in different aspects of "working" with images of the past. Thus, professional historians, when discussing the role of the past, emphasize the close connection of ethnic groups in the region. For example, an informant who holds a senior position at the Institute of History of the Academy of Sciences of the Republic of Tatarstan notes "we should not exclude that we have always lived in the same "cauldron" with the Russian people. This is a complex topic. We are all intertwined by customs, traditions, cultural communications". It is worth noting that the role of the Bulgar period becomes a source of legitimization of an exaggeratedly positive perception of inter-ethnic relations in the region, but at the same time it also emphasizes the existence of a boundary between "we" and "they". That is, despite the recognition of a common past and cultural contacts, the ancestors still remain distinct, divided not into a multitude of nationalities (which is fair to describe the situation in the medieval Volga region), but according to the principle of modern ethnic identification of the two most numerous ethnic groups in the region - Tatars and Russians. Thus, the example allows us to see how the image of the past is constructed according to the realities of the present with the help of a certain strategy of memory politics.

Such an effect is explained by the significance of ethno-cultural myths about the ancestor of the people for actualizing and filling with concrete content the group's ideas about itself and its borders. Although the interpenetration of cultures within the historical heritage of Tatarstan is also recognized as a factor that determines the life of the republic today, this narrative is not as pronounced as the emphasis on ethnic differences with the ability to get along peacefully: "a very interesting culture, a civilization was formed that combined Slavs, Finno-Ugric peoples, and Turkic peoples, and this symbiosis has lived here for centuries, it still does, and we are the direct heirs of those traditions, of that very civilization" (museum researcher, Russian).

It is worth noting that Russian experts offer an explanation of the past through "symbiosis", the presence of a multi-faced but common ancestor, and translate this idea to the current situation in the republic. On the contrary, the Tatar respondents see their ancestors as separate, while the ancestors of the Russian population are presented as partners, neighbors, friends, equal but different.

At the same time, history is represented as a basis for peace and tolerance in the republic: "Our history shows how peaceful and tolerant people have always lived here. And this is a very good basis for the order and stability we have today. Not to mention tourism" (historian, history teacher, Tatar).

The uniqueness of this situation is emphasized by almost all informants: "Tatarstan is a unique republic where all peoples live in such close unity that there is nowhere else" (museum worker, Tatar woman).

The constructivist approach to the phenomenon of the past suggests that cultural memory is characterized by the creation and emphasizing of the unique value of its content. It is the special value, uniqueness of something that becomes the basis for preserving the narrative at the cultural level of social memory. Thus, pointing out that the situation with intercultural relations in the republic is unique, and unique in its positivity, is another way to construct and disseminate a set of meanings connected not so much with the past of the republic, but with the contemporary situation of interaction between different ethnic groups in Tatarstan.

The reference to the ancient past allows us to present the situation as conflict-free, assuming the absence of tension and problems. The emerging contradictions are presented as something untypical, erroneous, against a generally favorable background. The analysis of mass media and social media indicates the prevalence of such interpretations within the messages of official portals of the republic and sites dedicated to tourism in Tatarstan (both official and non-official sources).

In general, the reference to "historical conditionality" is one of the methods of shifting semantic accents in the interpretation of the phenomena of the present. The conditionality of the past is used as a significant argument confirming the reliability and even some sacredness of the narrative about the friendship of peoples in the republic today. Thus, ethno-confessional peace and tolerance are often described in the context of a special ancestral heritage, a special value that modern people of the Republic of Tatarstan have received. In this context, any discussion of systemic problems in inter-confessional and inter-ethnic relations is a kind of encroachment on the "special" experience of ancestors and their "sacred" heritage.

Even more directly the conditioning of the present by the past in specific spheres of social life occurs through the naturalization of contemporary phenomena as a "natural" result of certain historical events. Selecting facts about the past, creating a stable narrative about the nature of their influence on the present and emphasizing the reliability of this narrative by referring to historical

conditioning is an example of “invented tradition” (in the terminology of E. Hobsbawm). Tradition, in this case, is not only a certain meaning and a way of representing a situation, but also the creation of an areola of authenticity.

In the context of the case under consideration, emphasizing peace and tolerance as an absolute fact and a self-established phenomenon is of particular importance: “We have been living side by side for 500 years and have already rubbed off on each other. And indeed the center of stability is the Republic of Tatarstan” (tour guide, Russian).

In general, the representation of interethnic peace as a self-established order of things plays an important role in the process of deproblematization of the republic’s historical past. However, the effect of such a strategy with regard to interethnic and interfaith problems can lead not only to the formation of Tatarstan residents’ perceptions that conflict-free interaction is the norm, which certainly has a favorable effect on the social situation in the region, but also to the ignoring of systemic problems in this area. Since such a strategy of memory policy allows interpreting any emerging conflicts as an accident, which does not entail significant consequences.

The data obtained indicate that the active appeal to the theme of the ancient past of the republic in the tourist and cultural context is a phenomenon of the beginning of the XXI century. Another significant aspect of the implementation of the strategy is emphasizing the special role of inter-confessional peace. Thus, the period of the Volga Bulgaria becomes an example of a place where “mosques and churches always neighbored” (employee of the Institute of History of the Academy of Sciences of the Republic of Tatarstan, a Tatar) (Schuman & Scott, 1992). There is an active creation of places of memory (museums, monuments, etc.) and narratives (programs, articles, events) that emphasize the connection between religion, historical heritage, and the modern spiritual life of Tatars and people of the Republic of Tatarstan.

This part of the memory policy is connected, first of all, with the work of the Renaissance Foundation, founded by the first president of Tatarstan, M. Sh. Shaimiev, who retains considerable authority in the political and cultural life of the region after the end of his political career. Active parallel work to create and promote the historical and cultural reserves of Sviyazhsk and Bulgar is a demonstration of the tolerance practices of the republic’s leadership. The reserve in Bulgar is represented as a part of the past of the ancestors of modern Tatars, and the museum complex in Sviyazhsk.

Emphasizing the significance of the Bulgar period, its value in cultural, religious and tourist terms occurs in parallel with mentioning the significance of Sviyazhsk when it comes to the sphere of politics, for example, official portals of the republic’s government or articles about the reserves in regional media. As informants note: “We do not forget Sviyazhsk either, we also promote it, no one is offended. Two confessions are key. Here is Bulgar for you, here is Sviyazhsk” (history teacher, Tatar).

## CONCLUSION

The justification of the special significance of the work on the development and popularization of the historical heritage of the Republic of Tatarstan is reflected in the discourse of official portals and regional media. The simultaneous development of Bolgar and Sviyazhsk is represented as an organic continuation of the traditions of peaceful coexistence of two confessions (Islam and



Orthodoxy), established historically. This is especially evident in the statements of the republic's political leaders. For example, in an official interview in 2015, the President of Tatarstan mentions both Sviyazhsk and Bolgar in the context of the equal importance of Islam and Orthodoxy in the republic and emphasizes that the republic "is aware of the importance of preserving the objects included in such an authoritative list, and is making every effort "for the best management of the complex of objects of the island-grad Sviyazhsk as one of the pearls of the world historical, cultural and spiritual heritage, and as a significant center of tourism for Tatarstan and the whole of Russia". T.P. Larionova, head of the Renaissance Foundation, also emphasizes that "the most important thing is to reveal the place and role of Bolgar and Sviyazhsk in the Russian and world historical and cultural heritage", but first of all the objects of special spiritual and religious significance are being restored, because "it is important that monuments of both cultures - Islamic and Orthodox - are being restored. For our republic, where national and inter-confessional values are significant and honored, this is especially relevant".

Thus, the political elite of Tatarstan and the regional media citing it legitimize the growing importance of historical heritage in the cultural life of the republic by asserting the exceptional value and richness of this heritage and the opportunities that it offers for increasing the region's tourist attractiveness. As no less important are positioned the works in the two directions of preservation of both "Tatar" and "Russian" heritage, both Islamic and Orthodox heritage.

It is proved that historical heritage is not just a few monuments, it is a value-forming beginning for the whole region, filled with a special meaning, which has a significant impact on the whole culture of the region and intercultural interaction in it.

## ACKNOWLEDGMENTS

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## Análisis sectorial y desafíos críticos en la esfera social de Ucrania

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**Resumen.** El objetivo de este artículo es analizar los desafíos que enfrenta la esfera social en sus diversos sectores. Para ello, se emplearon varios métodos de investigación, como el análisis sectorial, la deducción, la generalización y la sistematización. Como resultado, se examinaron los retos específicos en cada área de la esfera social en Ucrania. El complejo cultural y educativo se enfrenta a dificultades relacionadas con la financiación insuficiente, especialmente en un contexto de restricciones presupuestarias debido a las necesidades de defensa. Complejo médico y sanitario: la escasez de especialistas y los problemas de personal son consecuencia de la migración tanto interna como externa, agravada por la invasión a gran escala. Complejo social y de bienestar: La prolongada guerra ha llevado al crecimiento de categorías vulnerables de la población, incluyendo soldados y civiles heridos, desplazados internos y desempleados. Sistema de relaciones sociales y laborales: la destrucción y los daños en infraestructuras e instalaciones también requieren atención urgente. Todos estos desafíos actuales en la esfera social demandan una mayor consideración y esfuerzos para abordarlos.

**Palabras clave:** esfera social, sectores de la esfera social, sectores vulnerables de la población, retos de la esfera social, desplazados internos.

## Sectoral analysis and critical challenges in the social sphere of Ukraine

**Abstract.** The objective of this article is to analyze the challenges faced by the social sphere in its various sectors. To this end, several research methods were employed, such as sectoral analysis, deduction, generalization, and systematization. As a result, the specific challenges in each area of the social sphere in Ukraine were examined: cultural and educational complex: faces difficulties related to insufficient funding, especially in a context of budgetary constraints due to defense needs. Medical and health complex: Specialist shortages and staffing problems are a consequence of both internal and external migration, exacerbated by large-scale invasion. Social and welfare complex: The protracted war has led to the growth of vulnerable categories of the population, including wounded soldiers and civilians, internally displaced persons and the unemployed. Social and labour relations system: destruction and damage to infrastructure and facilities also require urgent attention. All these current challenges in the social sphere demand greater consideration and efforts to address them

**Key words:** social sphere, sectors of the social sphere, vulnerable sectors of the population, challenges of the social sphere, internally displaced persons.

### INTRODUCTION

The social sphere is undoubtedly one of the main components of the standard of living of the population of any country. Given the prospective need to restore the country's infrastructure in the post-war period, including the social one, it is necessary, first of all, to overcome the existing problems, and most importantly, to eliminate the causes that led to its unsatisfactory state. The social sphere is an important element of the strategic potential of the state, and the quality of life of the population is one of the indicators of the effectiveness of the transformations and changes implemented. In order to overcome the devastating consequences of the war and achieve sustainable development in the long term, it is important to comprehensively analyze current challenges for the social sphere in order to record them and develop the state's social and economic policy, taking into account the identified bottlenecks.

For Ukraine, social development is now becoming a prerequisite for the return of numerous war refugees and residents of the de-occupied territories. Migration shifts caused by hostilities and high levels of insecurity can lead to regional disparities and have a negative impact on the economic situation in the country. Therefore, social issues are now becoming acute, and sectoral analysis of current challenges is becoming the primary justification for further plans for the development and transformation of the social sphere in the context of post-war recovery.

**The purpose of the study.** The purpose of the article is to analyze the challenges of the social sphere for its individual sectors. In order to achieve this goal, it is advisable to identify the sectors of the social sphere, to analyze and summarize the challenges in the context of each sector. Summarizing the research, it is advisable to identify critical challenges in the social sphere that require increased attention for further development of tools and measures of social policy in Ukraine.

### **Analysis of recent research and publications**

In the study of the social sphere, the definition of its essence is based on the concept of H. Lopushnyak, according to which the social sphere is defined as an element of the ecosystem and an important prerequisite for its development is the desire for equilibrium through the harmonization of relations in the social aspects of life (Lopuschnyak et al 2021). Currently, there is a steady global trend towards strengthening the role of the social sphere in the processes of effective interaction with economic sectors to successfully address problematic issues (Lopuschnyak et al., 2023; Verkhovod et al., 2023). According to N. Pihul, this forms a dualistic direction of the social sphere development: to improve the quality of human potential and to ensure social stability in society. And the condition for the development of the social sphere is interaction with the economic, political and spiritual spheres (Pihul, 2013). Needs assessment and monitoring of the social sector development at the community level remain particularly important. The ambiguity of the decentralization process and the challenges associated with it justify the need for additional research on the decentralization of social services and the social sphere of municipalities, primarily from the perspective of the communities themselves, which are expected to properly implement social guarantees and standards of social services (Palatna, 2022).

According to D. Churovsky (2015), the development of the social sphere will be influenced by trends in social evolution, primarily the transformational transition from hierarchy to network, the transformational transition from democracy to collabocracy, and the creation of cooperation networks at the global level. These transformational shifts in social development will create new challenges for the functioning of the social sphere.

In Ukraine, specific challenges are emerging in the context of the war, and their solution should be based on an ongoing assessment of their status and control of problem areas. Currently, the world has not accumulated enough experience in addressing the social problems that Ukraine is currently facing, which necessitates monitoring current challenges and developing adequate programs and measures.

### **MATERIALS AND METHODS**

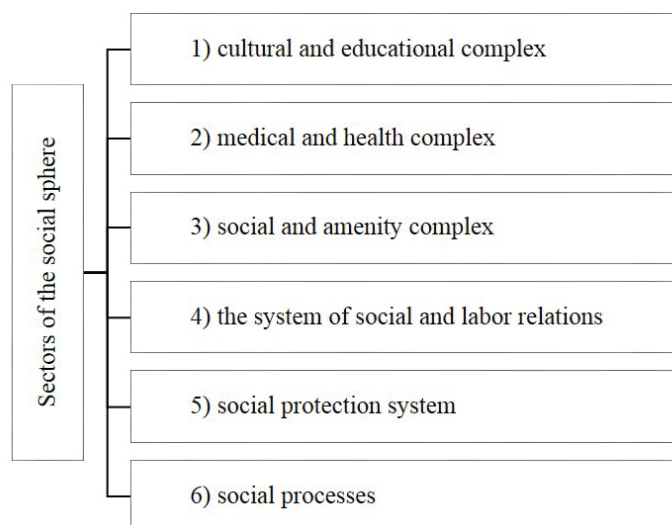
In writing the article, the authors used methodological tools that allowed for a qualitative and comprehensive study of the literature and an analysis of the current challenges of the social sphere in Ukraine. First of all, sectoral analysis was used. As a research method, this method was used for a comprehensive analysis in the context of individual sectors, which made it possible to identify specific challenges and problems in each sector. The methods of deduction, generalization, and systematization were used to process the results. These methods made it possible to combine disparate information into a single structure of challenges for the social sector as a whole.

The study used information and data from the Save School statistical platform, the Ukrainian Cultural Foundation, the World Tourism Organization, the International Labor Organization, the World Bank, and the analytical online portals Trading economics, Open Budget, and the Ministry of Finance.

### **RESEARCH RESULTS**

The study divided the social sphere into 6 key sectors (Figure 1).



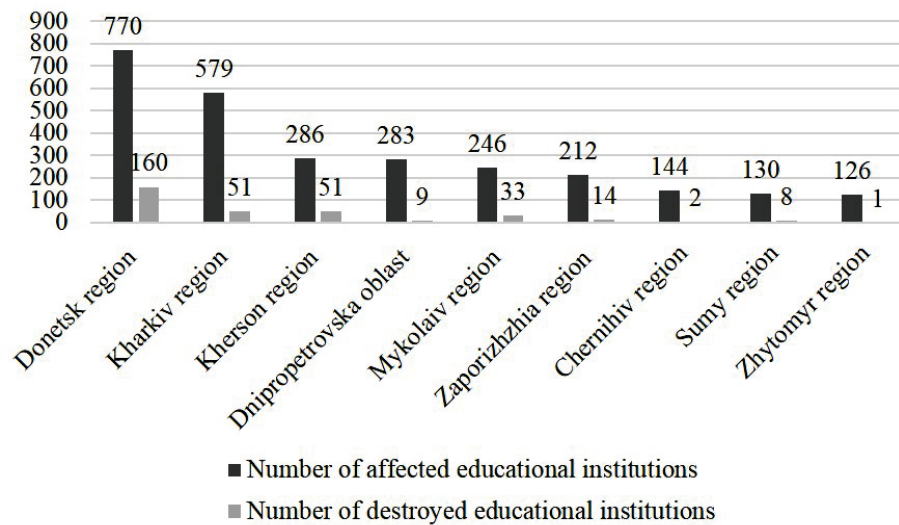
**Figure 1.** Structuring of the social sector

Source: compiled by the authors.

Thus, the sectors of the social sphere include:

- 1) cultural and educational complex, which includes education and culture;
- 2) medical and healthcare complex, which includes medicine, tourism, physical education, sports, and recreation;
- 3) social and household complex, which includes housing and communal services, consumer services, trade and catering, transport and communications, and public services;
- 4) the system of social and labor relations, which includes issues of employment, unemployment, and specifics of employment of certain categories (youth, people of pre-retirement age, disabled people, former military personnel, etc.);
- 5) social protection system, which includes social payments and benefits, social security, social support, etc.;
- 6) social processes, which include: demographic and migration processes, harmonization of socio-economic interests, social cohesion, social inclusion, socio-economic security.

When studying the cultural and educational complex, it should be noted that the war in Ukraine has significantly affected the country's educational sector, which had previously suffered from the effects of the pandemic. During the 2 years of large-scale invasion, a significant number of educational institutions have been destroyed or damaged, especially in the East of the country. There are serious challenges in terms of safety for children and educators and access to education, which makes it difficult to maintain the continuity and quality of the educational process (Migal, 2023). According to current data, 3798 educational institutions have been affected by bombing and shelling, 365 of which have been completely destroyed (Save schools, 2024). The 10 regions with the highest number of affected educational institutions are shown in Figure 2.

**Figure 2.** Number of affected educational institutions

Source: compiled by Save schools (2024).

With regard to culture, according to the Ukrainian Cultural Foundation (2022), the main problems of the cultural segment during the war are the outflow of talent, reduced funding under severe budget constraints, reduced demand for cultural products and services, etc.

Thus, the challenges for the cultural and educational complex are as follows:

- 1) ensuring the safety, accessibility and quality of the educational process in the context of hostilities;
- 2) psychological and social support for children and teachers;
- 3) financing in the context of budgetary constraints;
- 4) the crisis of professionals;
- 5) reduced demand and need for educational and cultural projects.

With regard to the healthcare sector, it should be noted that the full-scale war had a devastating impact on the life and health of the Ukrainian population and caused significant damage to the healthcare system. Attacks on medical facilities were part of the strategy and tactics of the Russian invaders. The destruction of medical infrastructure, shortage of personnel, and disruption of logistical connections have all impeded the timely and complete provision of medicines to the population. At the same time, Ukraine's health care system had significant problems in peacetime as well (Andreasyan, 2023).

Therefore, we will highlight the following current healthcare challenges (Andreasyan, 2023):

- 1) significant losses. As of February 2023, since the beginning of the invasion, the Russians have completely destroyed almost 200 medical facilities in Ukraine, and 1218 facilities have been damaged. In particular, 540 hospitals were partially destroyed, 173 were completely destroyed, and 593 pharmacies were destroyed;

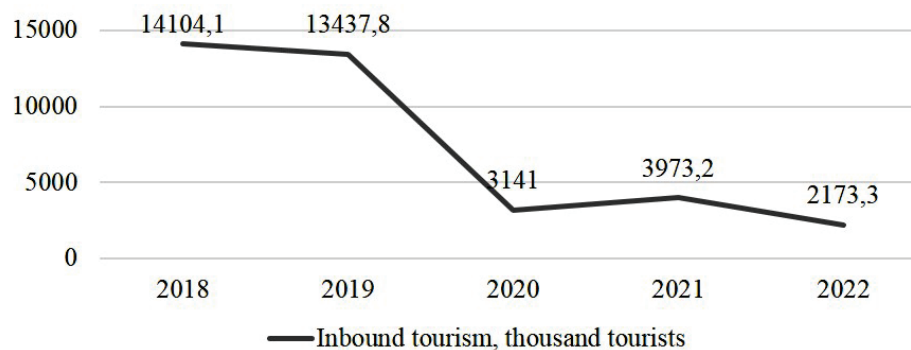
- 2) a large number of people were forced to relocate. According to the International Organization for Migration, the number of internally displaced persons exceeds 10 million, of which approximately 6.5 million have become internally displaced persons (IDPs). This affects the functioning of the health care system due to the increased workload in the western regions of the country;
- 3) staffing problems. Doctors and other healthcare workers moved to other regions or went abroad because of the war, which negatively affected the entire healthcare system. First, it led to an internal redistribution of specialists, with a large number of internally displaced healthcare workers finding jobs in other cities. The greatest demand for doctors is observed in Lviv, Ivano-Frankivsk and Dnipro, i.e. in the areas of the largest migration. In addition, there is a critical shortage of medical personnel in the regions along the front line;
- 4) disruption of logistics and availability of medicines. Since the beginning of the war, due to the massive destruction of the Ukrainian medical infrastructure and disruption of logistics, medical institutions have been struggling with a shortage of a large number of medicines and equipment
- 5) the lack of full-fledged bomb shelters in medical facilities. One of the biggest problems was the lack of full-fledged bomb shelters in medical facilities, so medical workers had to work in the field during the emergency and increased danger, replacing sterile operating rooms with basements and bomb shelters.

The biggest challenges to the development of physical education and sports in the healthcare sector are the destruction of facilities, the lack of appropriate conditions for the development of high-performance sports; the lack of attractive and accessible infrastructure for regular physical activity and sports, the outdated material and technical base of municipal and state infrastructure facilities; and the inconsistency of the state of digitalization of the sphere of domestic sports and physical culture with modern trends in the development of sports (Kolchak, 2023).

With regard to recreation, it should be noted that the existing capacity will not be able to meet the medical and recreational needs of civilians and military personnel who have been injured or amputated and will require a complete reboot with the participation of comprehensive state programs and appropriate funding with the involvement of international funds and investments.

The tourism segment has also suffered as a result of a decline in international tourist arrivals due to the security situation (Figure 3), and outbound tourism is hampered by the lack of air travel.

**Figure 3.** Dynamics of the number of foreign tourists visiting Ukraine in 2018-2022



Source: compiled according to UNWTO (2023)

The tourism industry is currently focused on domestic consumers. The prolonged phase of full-scale war puts the survival of tourism businesses at risk. In addition, many tourism facilities in the East have been destroyed, some tourist destinations have been occupied, and the sea coast of Odesa region is dangerous due to the mining of the Black Sea. On the other hand, tourism enterprises are actively reorienting themselves to the recreational needs of the population, offering recovery tours.

Thus, the generalized challenges for the healthcare sector include:

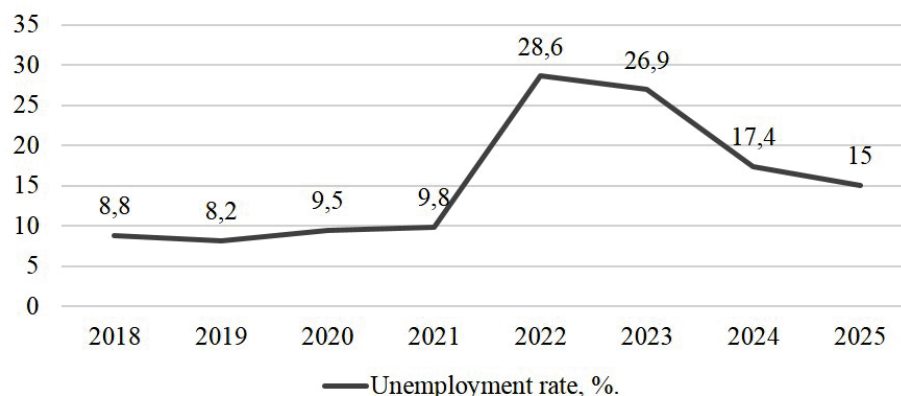
- 1) destruction and damage to medical and sports facilities, tourist attractions, and occupation of tourist destinations;
- 2) lack of professional staff;
- 3) disruption of logistics and availability of medicines;
- 4) migration of the population and workers;
- 5) insufficient number of bomb shelters;
- 6) lack of proper conditions for the development of sports;
- 7) the decline in international tourism exacerbates the problems;
- 8) inadequate capacity of recreational facilities to meet the growing demand.

The problems of destruction of facilities, infrastructure, and lack of personnel are relevant to the entire social and amenity sector. Given the current situation in Ukraine, special attention should be paid to the following challenges in the provision of public services:

- 1) providing basic administrative services in a difficult security environment;
- 2) ensuring the availability of passport services;
- 3) consideration of the possibility of simplifying the model of declaring the place of residence;
- 4) ensuring accessibility of services for the «non-digitalized» part of the population (Tymoshchuk, 2022).

Regarding the system of social and labor relations, it should be noted that since the beginning of the Russian aggression in Ukraine, almost 5 million jobs have been lost, according to ILO estimates. In the context of the humanitarian crisis caused by Russia's aggression against Ukraine, labor markets are experiencing disorganization (ILO, 2022). The unemployment rate in 2022 reached 28.6%, with a forecast value for 2023 of 26.9% (Nosova O., 2023).

According to the global macro models of Trading Economics (2024) and analysts' expectations, the unemployment rate in Ukraine will be 21.5% by the end of the current quarter. According to the econometric models of Trading Economics (2024), in the long run, the unemployment rate in Ukraine will be around 17.40% in 2024 and 15.00% in 2025 (Figure 4).

**Figure 4.** Dynamics of the unemployment rate in 2018-2023 with a forecast for 2024-2025

Source: compiled by the World Bank (2024), Nosova (2023), Trading economics (2024).

The main challenges for the system of social and labor relations in Ukraine in the context of war include:

- 1) high unemployment, which in the context of war leads to a decrease in economic activity and disorganization of the labor market;
- 2) the need to provide employment for vulnerable groups of the population, namely: youth, people of pre-retirement age, disabled people, veterans, etc.;
- 3) the need for professional retraining, adaptation in the labor market and provision of social benefits for demobilized military personnel and IDPs;
- 4) creation of new jobs and support for self-employment and entrepreneurship.

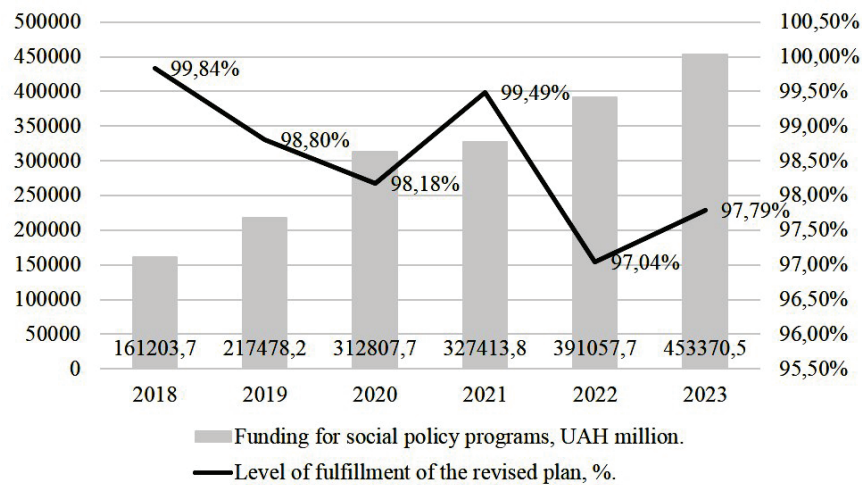
The key challenge for the social protection system is to ensure funding in the face of growing demand. Social protection includes social payments and benefits, social security, social support, and, above all, it concerns vulnerable categories of people.

The amount of funding for programs and the functioning of the Ministry of Social Policy in 2018-2023 is shown in Figure 5.

The growth in the financing of the programs of the Ministry of Social Policy is due to an increase in the financing of pension payments. At the same time, there is a negative trend towards a decrease in the level of implementation of the revised plan, which indicates underfunding of programs. It should also be noted that in 2023, due to budget constraints, funding for many programs will be significantly reduced, including scientific research, assistance to deportees from Ukrainian territory, social protection measures, social scholarships, assistance to families of those killed in the protests and volunteers, targeted assistance to IDPs, experimental employment of low-income families and IDPs affected by the Chernobyl disaster, financial support for veterans' NGOs and NGOs of disabled people, rehabilitation of disabled people, and other programs. This is a significant reduction in social protection programs that has taken place over the past 5 years (from 2018 to 2023).

At the same time, some programs are significantly underfunded in 2023. Thus, in Table 1, we present the codes of the programs for which the implementation of the annual revised plan was less than 80%.



**Figure 5.** Dynamics of funding for social policy programs in Ukraine in 2018-2023

Source: compiled according to Open Budget (2024).

**TABLE 1.** Social policy programs whose funding did not exceed 80% in 2023, UAH million

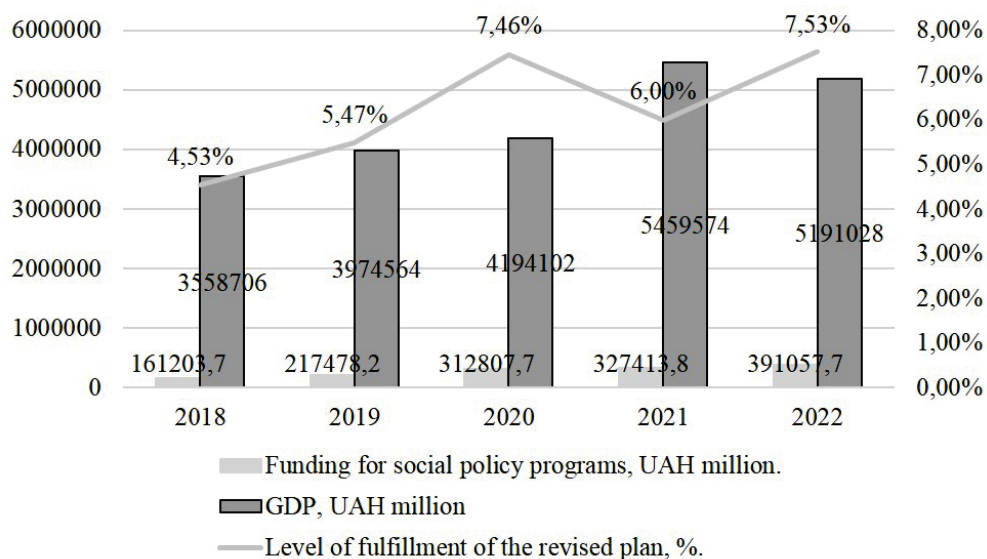
Code	Abbreviated name	Initial plan	Adjusted plan	Real funding	Fulfillment of the adjusted plan, %.
2501160	Payment of lifetime state scholarships	6,1	6,1	3,8	63,3
2501240	Insurance payments to healthcare workers and their families due to coronavirus disease and its consequences	74,5	74,5	21,2	28,49
2501290	Enforcement of court decisions	24,3	24,3	24,2	99,8
2501350	Rehabilitation and recreation of children in need of special attention and support in children's health and recreation facilities of the highest category	150,0	150,0	21,7	14,47
2501450	Rehabilitation and recreation of children in need of special attention and support in specialized institutions	296,6	296,6	130,7	44,09
2501570	Payment of financial assistance to servicemen discharged from military service	66,7	66,7	0,2	0,3
2501630	Modernization of the social support system for the population of Ukraine	963,4	963,4	68,5	7,11

Source: compiled according to Openbudget (2024).

Insufficient funding for the modernization of social support for the population is critical, with the plan implementation in this area amounting to only 7.11%. Together with the reduction in spending on research, this leads to the suspension of the social protection system reform process.

In Figure 6, we analyze the share of funding for the Ministry of Social Policy in relation to GDP.

**Figure 6.** The ratio of the Ministry of Social Policy's expenditures to Ukraine's GDP in 2018-2022



Source: compiled according to Open Budget (2024), Ministry of Finance (2023).

In 2022, the growth of social expenditures to GDP occurred against the backdrop of a decline in GDP due to the large-scale invasion.

Currently, social protection plays a significant role in the country's social development, and occupies one of the most important places, as the state should pay special attention to vulnerable groups. The prolonged nature of the full-scale war on the territory of Ukraine has had a significant impact on social protection. The hostilities have led to an increase in social assistance expenditures, and it is expected that this item of expenditure will only grow in the future. After all, these events have led to a significant increase in the number of Ukrainian citizens who need support and decisive action from the state. Therefore, today, an important task of the state is to provide social protection and assistance in such a crisis situation as war, and in the long run - a comprehensive organization of the social protection system of Ukraine (Mikulyak & Krasnonozhenko, 2023).

Therefore, in this sector, the key challenges are the need to ensure social support for vulnerable populations and the search for sufficient financial instruments to provide it, including through the involvement of partner countries and international organizations.

As for the social processes sector, the main challenges include:

- 1) demographic processes - a critical decline in the population of Ukraine (due to increased mortality, access to medical services and the outflow of refugees caused by Russian aggression), and, as a result, a demographic crisis, a labor market crisis and the problem of ensuring pension payments due to the decline in the economically active population;

- 2) migration processes - these processes are intertwined with demographic processes. And the main challenge here is the problem of women and children leaving the country, which creates the need to develop programs that will encourage their return. In addition, the massive movement of IDPs to the western regions of Ukraine threatens the social integration and economic stability of host communities;
- 3) the processes of harmonization of socio-economic interests, social cohesion and inclusion will also generate challenges to deepen contradictions between residents of different regions of the country due to the destruction of infrastructure, loss of jobs and relocation of production; this will require improvement of social partnership mechanisms to ensure cooperation between the state, business and the public;
- 4) processes of ensuring socio-economic security. The issue of national unity and countering fakes in the face of external threats and information influences in a hybrid war is also becoming an acute issue.

## CONCLUSIONS

The study has resulted in the identification of specific challenges for certain sectors of the social sphere: the cultural and educational complex, the medical and healthcare complex; the social and household complex, the system of social and labor relations, the system of social protection and social processes.

Summarizing the study, the current challenges of the social sphere that require the most attention are highlighted:

- 1) insufficient funding in the context of severe budget constraints caused by the need to finance defense;
- 2) lack of professionals and staffing problems caused by external and internal migration shifts as a result of the large-scale invasion;
- 3) the growth of vulnerable categories of the population as the prolonged war leads to an increase in the number of wounded military and civilians, and IDPs. In addition, a prolonged war against a financially powerful aggressor economically depletes Ukraine and leads to a decline in its business activity, which ultimately leads to an increase in the number of unemployed. According to international think tanks, in 2024 and 2025, the unemployment rate in Ukraine will decrease to 14-15%, but successful advances of Russian troops on the battlefield could radically change the situation. In addition, the issue of support for veterans and the disabled, whose number is growing steadily, will become more acute;
- 4) destruction and damage to facilities and infrastructure. As a result of the hostilities throughout Ukraine, a large number of social facilities and infrastructure have been severely damaged or completely destroyed. The destruction of residential buildings, schools, hospitals, ASCs and other facilities has led to a significant deterioration in living conditions and difficulties in the provision of social services, worsened access to health care and education, and increased the social vulnerability of the population.

Further research should focus on developing strategies for implementing comprehensive measures to ensure social stability and support for the population during the war and post-war recovery, taking into account the existing challenges.

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# Evaluación de la calidad de vida urbana: estudio exhaustivo del distrito 12 de la Ciudad de Ho Chi Minh, Vietnam

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Vietnam. Email: [binhnt@hcmue.edu.vn](mailto:binhnt@hcmue.edu.vn); ORCID: <https://orcid.org/0009-0007-0315-9286>

**Resumen.** Este estudio investiga los determinantes de la calidad de vida de los habitantes del distrito 12 de Ciudad Ho Chi Minh. Empleando el análisis factorial exploratorio (AFE) y el análisis de regresión, la investigación desarrolla un modelo para evaluar el impacto de diversos factores en el nivel de vida de los habitantes. El análisis identificó cinco factores principales, clasificados según su influencia: condiciones de vida, educación y formación, salud y servicios sanitarios, estabilidad vital, empleo e ingresos, relaciones familiares y sociales, e infraestructuras. A partir de estos resultados, el estudio sugiere estrategias prioritarias destinadas a mejorar la calidad de vida en el Distrito 12. Estas recomendaciones se adaptan para abordar las necesidades y retos específicos identificados a través de la investigación. El estudio aporta valiosas ideas a la planificación urbana y la formulación de políticas, sobre todo en zonas urbanas en rápido desarrollo.

**Palabras clave:** calidad de vida, urbano, análisis de regresión, análisis factorial exploratorio (AFE), Ciudad Ho Chi Minh.

## Evaluating urban quality of life: a comprehensive study of District 12, Ho Chi Minh City, Vietnam

**Abstract.** This study investigates the determinants of quality of life among residents of District 12 in Ho Chi Minh City. Employing exploratory factor analysis (EFA) and regression analysis, the research develops a model to evaluate the impact of various factors on the inhabitants' living standards. The analysis identified five primary factors, ranked according to their influence: living conditions, education and training, health and healthcare services, life stability, employment and income, family and social relationships, and infrastructure. Based on these findings, the study suggests prioritized strategies aimed at enhancing the quality of life in District 12. These recommendations are tailored to address the specific needs and challenges identified through the research. The study contributes valuable insights into urban planning and policy-making, particularly in rapidly developing urban areas.

**Keywords:** quality of life, urban, regression analysis, exploratory factor analysis (EFA), Ho Chi Minh City.

### INTRODUCTION

Quality of life encompasses feelings of happiness and satisfaction with life's essential elements, varying per individual. According to P. Boehnke, quality of life relates to individual happiness encompassing a broad, multidimensional spectrum of emotions. In Europe, it is often associated with societal goals such as equal life opportunities, a guaranteed minimum living standard, employment opportunities, and social assistance. Thus, quality of life extends beyond income, education, and material possessions to encompass health care, family issues, and social relations (P. Boehnke, 2005). The World Health Organization defines quality of life as an individual's perception of their position in life within their cultural context, influenced by goals, expectations, values, and concerns. It is a multifaceted concept affected by physical health, psychological state, independence, social relationships, personal beliefs, and the surrounding environment (WHO, 2000).

Currently, Vietnam is undergoing an economic transition, where quality of life is influenced by various factors, including politics, economy, society, environment, transportation, health care, and education. Although material living standards have improved, issues like environmental pollution and urbanization challenges, such as slums, flooding, healthcare, and traffic safety, are affecting life quality. District 12, originally part of Hoc Mon district and primarily agricultural land, faces challenges like unclear development planning, infrastructure inadequacies, and a lack of green spaces, all of which pressure the residents' quality of life.

### LITERATURE REVIEW

The concept of quality of life has garnered significant attention in urban studies, particularly in understanding how various factors contribute to residents' overall well-being. Previous studies have identified key elements impacting urban quality of life, including economic conditions, social relationships, health and well-being, education, and the environment (Sirgy, M. J., Rahtz, D. R., Cicic, M., & Underwood, R, 2000); (Marans, R. W, 2012). Focusing on Vietnam, several researchers have

emphasized the importance of infrastructure development, economic growth, and social policies in enhancing the quality of life in urban settings (World Bank, 2011); (Nguyen, T.C., Nguyen, H.D., Le, H.T. and Kaneko, S, 2022). Notably, the transformation of urban areas in Vietnam, characterized by rapid development and modernization, presents unique challenges and opportunities in this context.

The quality of life in urban areas is intrinsically linked to the urban development process (Marans, R. W, 2012). Marans and Stimson (2011) highlight that urban development influences residents' quality of life through changes in economic opportunities, social dynamics, environmental conditions, and infrastructure. These aspects collectively shape residents' perceptions of their living conditions and overall satisfaction with urban life.

In the context of District 12, Ho Chi Minh City, the rapid urbanization and subsequent socio-economic transformations have brought a significant shift in the quality of life of its residents. This study aims to delve deeper into these changes, exploring how different factors contribute to the residents' perceptions of their quality of life and identifying areas for improvement.

## **METHODOLOGY AND DATA COLLECTION**

### **Methodology**

The research paper employs the sociological survey approach; data is gathered using 5-point Likert scale questionnaires. The analysis of the information gathered after the survey will be done in five steps. First, broad descriptive statistics will be run in order to generalize the characteristics of the sample that is being studied. Second, Cronbach's alpha will be used to assess the scale's dependability. Research can retain meaningful observable variables and eliminate irrelevant ones in this way. Third, an exploratory factor analysis (EFA) will be used to reduce the observed variables to a subset of more important components. To determine whether the actual number of components combined together agrees with theory, EFA analysis will be performed. Fourth, a Pearson correlation coefficient test was performed to determine whether there was a linear link between the independent and dependent variables before beginning the regression. Finally, the influence of independent factors on the dependent variable is determined using multiple linear regression analysis, which aids in testing the study hypothesis.

### **Research Data**

Hair et al. (2010) suggest that for effective EFA, a sample size should be at least five times the number of observed variables. In this study, the survey sample comprised 34 observations, with 30 observations for each of the 6 independent variables and 4 observations for each dependent variable. The observed factors were ranked on a 5-level scale, ranging from "not at all important" to "very important." Consequently, a minimum sample size of 170 (34 x 5) was required. A total of 250 questionnaires were distributed to residents of select wards in District 12, Ho Chi Minh City. Out of these, 46 responses were deemed invalid and excluded from analysis, leading to a final sample size of 204. The survey was conducted from mid-January to mid-March 2023, a period marking the beginning of a new year and the Lunar New Year holiday. The respondents primarily consisted of long-term residents of District 12, Ho Chi Minh City, Vietnam.

## Theoretical Framework

Christopher et al. (2010) observed that individuals with higher incomes, who can afford more life-related goods, tend to report higher standards of living and satisfaction. The Treasury Board of the Secretariat of Canada also noted that financial factors significantly influence quality of life (Treasury Board of Canada Secretariat, 2000).

Infrastructure, as asserted by Jonathan Brooks (2021), plays a pivotal role in socio-economic development. A modern infrastructure system enhances production efficiency, supports economic growth, and aids in resolving social issues. Quality of life, according to this research, is influenced by factors like quality roads, traffic flow, and safety.

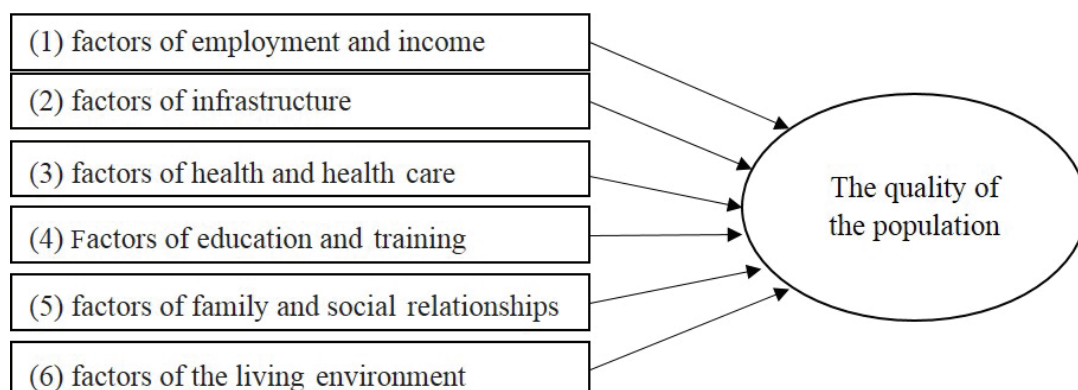
Health services and healthcare directly impact individuals' well-being. The World Health Organization defines it as the prevention, treatment, and control of disease, as well as the promotion of health through services offered by healthcare organizations and professionals (WHO, 2000).

Education's impact on quality of life is highlighted by Boehnke (2005). In addition, research by Made Nyandra et al. (2018) found that university professors nearing retirement are more susceptible to depression. Their study suggests that education and training, particularly for older adults, can enhance quality of life and reduce depression. Family and social interactions are crucial in coping with adverse situations, as indicated by Boehnke (2005). Zhao (2004) emphasizes the significant impact of having friendly neighbors on one's quality of life. Furthermore, housing is identified as a critical factor, reflecting societal progress and living standards.

Katherine Ka Pik Chang et al. (2020) found that living conditions and health behaviors significantly affect overall well-being. Environmental factors, particularly when interacting with personal factors like stress and sleep, play a crucial role in determining quality of life.

Drawing from the works of Pasha Eva et al. (2011), Michael Douglass, the Treasury Board of the Canadian Secretariat, Jonathan Brooks et al. (2021), Boehnke (2003), and Katherine Ka Pik Chang (2020), and observations of residential life in District 12, the author proposes a research model to analyze factors affecting the quality of life in District 12. These include: (1) employment and income factors; (2) infrastructure factors; (3) health and healthcare factors; (4) education and training factors; (5) family and social relationship factors; and (6) environmental factors. The theoretical framework is depicted in Figure 1 below.

**Figure 1.** Theoretical framework of a research proposal



**RESULTS AND DISCUSSION**

**Utilizing Cronbach’s Alpha to evaluate the scale’s reliability**

The reliability of the scale, a crucial step in ensuring the accuracy of the Exploratory Factor Analysis (EFA), was assessed using Cronbach’s Alpha reliability coefficient analysis. (Hoang, T, Chu. M,N, 2017) suggested that for a scale to be considered reliable, the correlation coefficient of the entire variable must be less than 0.3 and the Cronbach’s Alpha coefficient must exceed 0.6. In this study, six independent variables with 30 observations and one dependent variable with 4 observations were formulated. Adequate observations per variable allowed for a reliable analysis of Cronbach’s Alpha. The reliability coefficient for each variable was calculated, and any observation or variable not meeting the criteria was reassessed. Table 1 presents the analysis results of the scales’ Cronbach’s Alpha coefficients. Both Cronbach’s Alpha and the total variable’s correlation coefficient met the theoretical requirements, indicating overall reliability.

**TABLE 1.** Evaluation of Cronbach’s Alpha Coefficient.

Factors	Number of observed variables	Corrected Item-Total Correlation	Cronbach’s Alpha
Employment and income	5	.445	.756
Infrastructure	5	.597	.849
Health and health care	5	.770	.925
Education and training	5	.627	.874
Family and social relationships	4	.634	.732
The living environment	4	.740	.906
The quality of the population	4	.627	.797

The motivation scale’s Cronbach’s Alpha coefficient was the lowest among the evaluated scales, at 0.906, with the smallest total correlation coefficient at 0.345. All observed variables’ total correlation coefficients exceeded 0.3. Consequently, 32 observed variables met the reliability criteria and were utilized for further analysis.

**Results from Exploratory Factor Analysis (EFA)**

Subsequent to the Cronbach’s Alpha analysis, 28 observations across 6 independent variables and 4 observations of 1 dependent variable were deemed reliable. These observations were structured using a theoretical framework of variables influencing urban residents’ quality of life, focusing on District 12 in Ho Chi Minh City, Vietnam.

**TABLE 2.** KMO and Bartlett’s Testa

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.796
Bartlett’s Test of Sphericity	Approx. Chi-Square	4867.215
	df	378
	Sig.	.000

a. Based on correlations.



For effective EFA, the Kaiser-Meyer-Olkin (KMO) coefficient should range between 0.5 and 1, with higher KMO values indicating stronger correlations with survey data. The results of the Barlett test shown in Table 2 show that the variables in the population are correlated with each other with Sig. = 0.00 < 0.05. At the same time, the KMO coefficient = 0.796 > 0.05, proving that factor analysis to group variables together is appropriate and the data is suitable for factor analysis.

**TABLE 3.** Total Variance Explained.

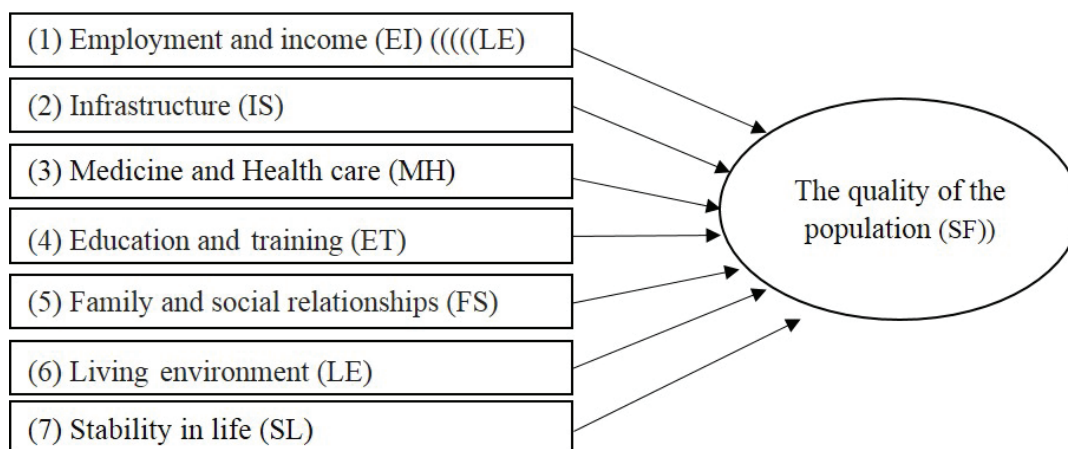
Component	Initial Eigenvalues			Extraction Sums of Squared Loadings			Rotation Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	10.954	39.122	39.122	10.954	39.122	39.122	4.076	14.558	14.558
2	2.429	8.676	47.798	2.429	8.676	47.798	3.996	14.270	28.828
3	2.081	7.434	55.232	2.081	7.434	55.232	3.636	12.984	41.813
4	1.956	6.987	62.218	1.956	6.987	62.218	3.164	11.302	53.114
5	1.778	6.349	68.567	1.778	6.349	68.567	2.446	8.735	61.849
6	1.226	4.378	72.945	1.226	4.378	72.945	2.204	7.873	69.722
7	1.175	4.196	77.141	1.175	4.196	77.141	2.077	7.420	77.141
8	.922	3.294	80.435						
9	.755	2.697	83.132						
10	.637	2.276	85.408						
11	.574	2.051	87.459						
12	.515	1.838	89.297						
13	.407	1.455	90.752						
14	.381	1.359	92.111						
15	.327	1.167	93.278						

Extraction Method: Principal Component Analysis.

Table 3 shows that all 5 factors have Eigenvalues > 1. The extracted variance is 77.141% > 50%, which is satisfactory. With the Principal Components Analysis extraction method and Varimax rotation, there are 5 factors extracted from the observed variables. This shows, solvability explains 77.141% of the change in the dependent variable in the population.

Rotated matrix demonstrates that all variables have factor loadings greater than 0.5, the scale is acceptable, and there are seven groups of factors influencing the standard of living of District 12 residents in Ho Chi Minh City. The following will be the names of the newly adjusted factor groups: (1) Employment and income; (2) Infrastructure; (3) Medicine and Health care; (4) Education and training; (5) Family and social relationships; (6) Living environment; and (7) Stability in life. Consequently, the new model will be reorganized as shown in Figure 2.

**Figure 2.** Proposed model to analyze factors affecting the quality of life in District 12, Ho Chi Minh City



**Results of Pearson correlation analysis**

Before progressing to regression analysis, Pearson correlation was used to assess the linear correlation between the dependent and independent variables.

**TABLE 4.** Correlation between independent and dependent variables

		F_SF	F_EI	F_IS	F_MH	F_ET	F_FS	F_LE	F_SL
Satisfied (SF)	Pearson Correlation	1	.704**	.811**	.809**	.779**	.549**	.656**	.689**
	Sig. (2-tailed)		.000	.000	.000	.000	.000	.000	.000
	N	204	204	204	204	204	204	204	204

The analysis of Pearson correlation coefficients revealed that all factors in the model had Sig values less than 0.05, indicating significant statistical correlations. Consequently, the regression model incorporated these statistically significant variables.

**Linear regression analysis**

The regression model’s test value  $F = 933.931$  and Sig significance level of 0.000 demonstrated a strong fit with the collected data. The independent variables in the regression analysis accounted for 87% of the variation in the dependent variable, as indicated by an adjusted  $R^2$  value of 0.87. The remaining 13% was attributed to errors and variables outside the model. Durbin-Watson values, assessing first-order series autocorrelation, showed Durbin-Watson = 1.849, within the acceptable range of 1.5 to 2.5.

**TABLE 5.** Regression Coefficients

Model	Coefficients <sup>a</sup>							
	Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics		
	B	Std. Error				Tolerance	VIF	
(Constant)	.060	.053		1.149	.252			
1	EI	.097	.008	.163	12.436	.000	.865	1.156
	SL	.137	.013	.172	10.355	.000	.537	1.862
	LE	.227	.011	.348	21.086	.000	.544	1.838
	MH	.173	.013	.243	13.212	.000	.439	1.280
	ET	.207	.014	.258	15.337	.000	.527	1.898
	FS	.108	.012	.128	9.119	.000	.752	1.330
	IS	.024	.010	.037	2.277	.004	.550	1.818

a. Dependent variable: Y\_SF

The analysis of the variance inflation factor (VIF) for independent variables revealed no multicollinearity, with all VIF values below 2. The regression model identified the variables influencing the quality of life in District 12 of Ho Chi Minh City After normalization, the regression equation is expressed as follows:

$$Y = \beta_0 + \beta_1 \cdot X_1 + \beta_2 \cdot X_2 + \beta_3 \cdot X_3 + \beta_4 \cdot X_4 + \beta_5 \cdot X_5 + \beta_6 \cdot X_6 + \beta_7 \cdot X_7 + \varepsilon$$

Here, the standardized beta coefficients of the seven independent variables (X1, X2, X3, X4, X5, X6, X7) all have positive values; as a result, the magnitude of beta indicates a positive relationship with the standard of living in District 12. Coefficients of beta in factors The living environment (LE) is the largest standardized factor; education and training (ET) is the second; medicine and health care (MH) is the third; stability in life (SL) is the fourth; employment and income (EI) is the fifth; family and social relationships (FS) is the sixth; and infrastructure (IS) is the last. From there, the specific formulation of the regression equation used in this investigation is as follows:

$$Y = 0.060 + 0.348 \cdot LE + 0.258 \cdot ET + 0.243 \cdot MH + 0.172 \cdot SL + 0.163 \cdot EI + 0.128 \cdot FS + 0.037 \cdot IS + \varepsilon$$

The above analysis and testing results show seven factors, including: living environment; education and training; health and health care; life stability; employment, and income; family and social relationships; and infrastructure. All have a certain impact on the quality of life of District 12 residents. These factors have a descending order based on the relative importance of each element, in addition to being influenced by particular observed variables. For the purpose of suggesting ideas to raise the standard of living for those living in the research area, this will be a crucial starting point. Furthermore, the research methodology can be extended to other regions that bear resemblances to Ho Chi Minh City's District 12.

## CONCLUSION

The survey findings indicate that the living environment is the most significant factor affecting an individual's quality of life, followed closely by education and training. Other factors such as health and medical care, stability in life, employment and income, family and social ties, and infrastructure also impact quality of life, albeit to a lesser extent.

Despite the rapid survey execution and small sample size, the results hold statistical and practical significance, validating the research. However, this limitation suggests that the study might not comprehensively cover all factors influencing quality of life. Future research should aim to expand the study area, extend the survey period, increase the sample size, and refine the sampling technique to address these constraints.

## RECOMMENDATIONS

Environmental quality directly affects every individual, particularly in urban areas where pollution levels have recently escalated alarmingly. The survey indicates that the environmental factor, with the highest Beta coefficient, significantly impacts the standard of living in District 12, which suffers from environmental degradation and flooding issues. The following are pragmatic suggestions to address these challenges:

Addressing natural landfills: Prioritize the removal of natural landfills in District 12 to mitigate their negative impact on the environment and public health.

Promoting eco-friendly interior decor: Encourage the use of sustainable materials like wood and bamboo for interior decoration. Avoid the trap of fleeting design trends by opting for antique wooden furniture.

Reducing insecticide use: Gradually phase out the use of insecticides linked to diseases like Parkinson's and cancer. Alternatives should be explored to minimize health risks.

Encouraging reusable bags in stores: Implement policies in convenience stores to promote the use of reusable bags. The environmental cost of plastic bags is significant; alternatives like cloth bags, paper, or leaves are preferable.

Government and local authority actions: The government should focus on analyzing and addressing the root causes of flooding issues. Local authorities need to implement supportive policies for infrastructure improvement, such as enhancing internal roadways and renovating buildings to prevent flood damage. Job settlement should be part of these redevelopment efforts.

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# La iglesia ortodoxa rusa y la invasión rusa a Ucrania: 2022-2023

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**Resumen.** En febrero de 2022, Rusia invade militarmente a Ucrania, para justificar este hecho el gobierno ruso ofrece diversos argumentos. La iglesia ortodoxa rusa apoya la invasión, los argumentos que expresa son prácticamente los mismos del gobierno ruso. En el artículo se describe y analiza esta posición de la Iglesia ortodoxa rusa frente a la invasión rusa a Ucrania y se establecen las consecuencias que esta ha tenido en las relaciones entre las Iglesias ortodoxas del mundo, en la Iglesia ortodoxa de Ucrania y en la propia Iglesia rusa. Metodológicamente, la investigación es cualitativa, empírica y de análisis de discurso; dado que los hechos se encuentran en pleno desarrollo, el corpus de análisis se focalizó en las piezas discursivas de algunos protagonistas que han sido recogidas por la prensa de diversos países. Los resultados indican que existe una relación simbiótica entre el Estado ruso y la Iglesia ortodoxa, que el apoyo a la invasión por parte de la Iglesia ortodoxa rusa provocó rupturas en la ortodoxia a nivel mundial y ha producido problemas a lo interno de las iglesias rusa y ucraniana.

**Palabras clave:** iglesia ortodoxa rusa, Ucrania, Rusia, Kirill, Putin.

## The russian orthodox church and the russian invasion of Ukraine: 2022-2023

**Abstract.** In February 2022, Russia militarily invades Ukraine. To justify this fact, the Russian government offers various arguments. The Russian Orthodox Church supports the invasion, the arguments it expresses are practically the same as those of the Russian government. The article describes and analyzes this position of the Russian Orthodox Church regarding the Russian invasion of Ukraine and establishes the consequences that this has had on the relations between the Orthodox Churches of the world, in the Orthodox Church of Ukraine and in itself. Russian Church. Methodologically, the research is qualitative, empirical and discourse analysis; Given that the events are in full development, the corpus of analysis focused on the discursive pieces of some protagonists that have been collected by the press in various countries. The results indicate that there is a symbiotic relationship between the Russian State and the Orthodox Church, that the support for the invasion by the Russian Orthodox Church caused ruptures in Orthodoxy worldwide and has produced problems within the Russian and Russian churches. Ukrainian.

**Keywords:** russian orthodox church, Ukraine, Russia, Kirill, Putin.

### INTRODUCCIÓN

En febrero de 2022 se inicia la invasión militar rusa a Ucrania. Como era de esperarse, este hecho ha traído serias consecuencias para los involucrados de manera directa (rusos y ucranianos), como para terceros que se han visto afectados por los sucesos o involucrados en los mismos. Organismos multilaterales como las Naciones Unidas y la Unión Europea, diversos países, unos que se han aliado a Rusia y otros que han rechazado la invasión y tomado medidas preventivas o de colaboración con Ucrania, instituciones que intervienen en pro del fin de la guerra, paliar sus efectos, evitar la violación de las normas que regulan este tipo de suceso, etc.

Entre los afectados se encuentra la Iglesia Ortodoxa. No solo la rusa y la ucraniana sino la de otros países, sobre todo debido a que la Iglesia rusa, desde el inicio de la invasión, se ha mostrado partidaria de ese hecho y no ha dejado de ofrecer apoyo, repetir parte del discurso de Putin y crear justificaciones a la causa del gobierno ruso; es un firme aliado del gobierno ruso que defiende y promueve la guerra.

El objetivo que se planteó en la investigación fue analizar el papel que juega la Iglesia ortodoxa rusa en la invasión de Ucrania y el impacto que pudiera tener en la propia iglesia ortodoxa. Cuatro hechos determinan la relevancia que tiene llevar a cabo el análisis de un asunto que pareciera circunscribirse exclusivamente al ámbito religioso pero que es mucho más abarcante. En primer lugar, la religión ortodoxa constituye la religión mayoritaria entre la población rusa y la ucraniana. En segundo lugar, la iglesia ortodoxa ucraniana, desde sus inicios, fue dependiente de la Iglesia rusa, por lo tanto, entre ellas existe una fuerte relación. En tercer lugar, la iglesia rusa es la de mayor feligresía en el mundo, posee unos 140 millones de fieles, aproximadamente (Ulibarrrena, Paula, 2019). En cuarto lugar, el gobierno de Putin ha establecido una relación privilegiada con la Iglesia Ortodoxa rusa.

Estos cuatro hechos llevaron a plantear los siguientes objetivos específicos: describir la posición que ha adoptado la Iglesia ortodoxa rusa frente a la guerra y cómo esto afecta las relaciones entre las diversas iglesias ortodoxas del mundo, las relaciones entre la iglesia ortodoxa rusa y la ucraniana y cómo afecta a la propia iglesia rusa y a la ucraniana.

Los resultados podrían contribuir a una mayor comprensión del papel de la religión en la guerra de Ucrania, así como de las consecuencias de la participación de la Iglesia ortodoxa rusa en el conflicto.

El presente artículo es el producto de una investigación empírica. Dado que los hechos se encuentran en pleno desarrollo, el análisis se ha centrado en el discurso y las actuaciones de diversos participantes (individuales y colectivos) relacionados con el objetivo de la investigación. El registro de tales discursos y acciones lo recogen fundamentalmente los medios de comunicación, pues estos reseñan a diario las múltiples apariciones públicas de algunos personeros de las Iglesias, los sermones que ofrecen a sus feligreses y las decisiones de organismos estatales o eclesiásticos, etc.

Debido a la preeminencia del Patriarca ruso Kirill, se ha hecho énfasis en su participación en los asuntos relacionados con la guerra durante el tiempo del curso de la misma. Asimismo, ha sido priorizada la posición adoptada por diversos patriarcas de otras iglesias ortodoxas y la del presidente ruso, Vladimir Putin. El corpus de análisis, aunque se concentró en la producción discursiva durante la invasión, se fueron incorporando documentos y discursos anteriores al mismo hecho en la búsqueda de explicaciones a lo sucedido y a la posición adoptada por la Iglesia rusa.

### **Invasión rusa a Ucrania**

El 24 de febrero de 2022, el ejército ruso dio inicio a la invasión a Ucrania. Hay que tener presente, que esta no es la primera agresión rusa a Ucrania. En 2014, se anexó la península de Crimea y, desde ese mismo año, ha apoyado a los insurgentes separatistas de la región del Donbass.

Putin ha justificado la invasión a partir de dos tipos de consideraciones que se entrecruzan y fusionan y solo pueden separarse analíticamente; una consideración es abstracta y general y parte de una interpretación muy propia de la historia rusa y ucraniana, la otra se acerca más a la realidad actual de Rusia, Ucrania y Occidente.

En cuanto al primer enfoque o acercamiento, Putin ha dicho en reiteradas ocasiones que Rusia y Ucrania son un solo pueblo. En 2021, escribió un extenso artículo que ya presagiaba la invasión, sostenía allí que “los rusos y los ucranianos son un solo pueblo, un todo único”, escribió en aquel momento. Son, junto con Bielorrusia, descendientes de la “antigua Rus”. Afirmaba allí que Ucrania y Rusia vivían una “gran desgracia y tragedia”, la separación, la existencia de un muro que los separa, “producto de errores propios y de acciones de terceros que tratan de “socavar” la unidad (Putin, 2021).

Para demostrar su tesis, recurre a diversos hechos históricos y concluye que “la Ucrania moderna es enteramente producto de la era soviética. Sabemos y recordamos bien que se formó, en gran parte, en las tierras de la Rusia histórica”. Los bolcheviques cortaron a Rusia en “pedazos”, “a Rusia le robaron” (Putin, 2021).

Las fronteras creadas por los bolcheviques, dice Putin (2021), eran simplemente nominales, era un único país altamente centralizado. Eso hizo que, en 1991 con la desaparición de la URSS, “su gente, se encontrara en el extranjero de la noche a la mañana, arrebatados, esta vez sí, de su patria

histórica”, obviamente, de Rusia. A partir de ese momento, habría comenzado un proceso de separación de Rusia impulsado por las autoridades ucranianas y por occidente. “Paso a paso, Ucrania fue arrastrada a un peligroso juego geopolítico destinado a convertir a Ucrania en una barrera entre Europa y Rusia, un trampolín contra Rusia”. Los rusos de Ucrania son obligados a negar sus raíces y a hacerles “creer que Rusia es su enemigo”. Y asegura que la unidad espiritual también es atacada a través de la persecución a la iglesia de Ucrania dada la relación con la iglesia rusa (Putin, 2021). Lo que estaría en el fondo de ese ataque a la unidad es la contención de Rusia, occidente intentando impedir su desarrollo:

A este peculiar nacionalismo étnico, que se victimiza<sup>1</sup>, y que posee una tendencia expansionista, hay que agregar un segundo elemento que lo emparenta directamente con la religión, se trata de la ortodoxia; según esto, el pueblo ruso no solo comparte una historia y un idioma común, sino que comparte además una cultura y un aspecto fundamental de esa cultura que es la religión cristiana ortodoxa. La unidad de ese pueblo, afirma Putin, se sustenta en “la fe común, las tradiciones culturales compartidas y...la similitud lingüística” (2021). El filósofo y estudioso de la historia y filosofía rusa, Michel Eltchaninoff, asegura que Putin cree ser un “salvador de mitos y religiones cristianas frente a la blasfemia de Occidente” (Priess, 2023, agosto 20).

La experta en asuntos rusos, Mira Milosevich-Juaristi, ha expresado que la política exterior rusa es impulsada por lo que denomina reimperialización, es decir, la reconstrucción del imperio (2016, julio 15), lo que pudiera explicar las políticas expansionistas de Putin.

El segundo enfoque de Putin, está referido a lo que él percibe como realidad actual. Se trata de dos argumentos jurídicos, que hacen alusión a una interpretación muy poco rigurosa del derecho internacional, el primero, congruente con el nacionalismo ruso que supone que la nación incluye personas y territorios que se encuentran fuera de la frontera rusa, es el derecho de intervención por razones humanitarias, aduciendo que se estaba llevando a cabo una limpieza étnica en las regiones de Donetsk y Lugansk contra los separatistas pro-rusos en conflicto contra el Estado ucraniano desde 2014, los cuales de acuerdo a Putin no habían tenido otra opción, habían tenido que levantarse en armas “para defender su hogar, su lengua y sus vidas amenazadas por los movimientos neonazis, y por el intento de las autoridades de imponer un orden diferente al suyo” (Putin, 2021); de allí que se repitiera que uno de los objetivos de la invasión era desnazificar estas regiones.

El segundo argumento invoca el derecho a la legítima defensa preventiva; si Ucrania pasara a formar parte de la OTAN, Rusia se vería amenazada, podría ser atacada por Ucrania forzando a esa organización a intervenir, “socavaría la seguridad de Rusia”, aseguraba Putin (BBC News Mundo, 2022, febrero 26). Tal como afirma Vacas (2022) esto constituye una contradicción en los términos, el derecho a la legítima defensa para su activación requiere de un “ataque previo”, de lo contrario, si un país hace uso de la fuerza sin haber sido atacado se convierte en atacante no en defensor (Vacas, 2022:65).

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<sup>1</sup> El filósofo Michel Eltchaninoff (2021), director de la revista francesa, Philosophie Magazine, ha expuesto la tesis del desarrollo de una visión victimista de Rusia por parte de Putin, según esta visión, “Rusia ha sido durante siglos víctima de un intento de contenerla y desmembrarla”, lo que ha hecho Rusia ha sido defenderse de esos intentos.

## La iglesia ortodoxa rusa y el Estado

La ortodoxia cristiana y su clero constituyen un elemento identitario del nacionalismo ruso (Bravo, 2003), esto explica, en parte, la estrecha relación con el Estado y con las políticas nacionalistas. Asimismo, el nacionalismo ruso está consustanciado con su pasado colonialista, tanto por la vía trazada por el imperio zarista como por la de la Unión Soviética. De allí la apelación por parte de los gobernantes rusos actuales y de los miembros de la Iglesia ortodoxa rusa a la Gran Rusia a la Rusia Sagrada, conceptos que incluyen, por lo menos, los territorios ruso, bielorruso y ucraniano. La invasión a Ucrania encuentra en esto un componente fundamental que enlaza expansionismo ruso e Iglesia.

La Iglesia y Putin se presentan como una barrera frente a una supuesta descomposición moral del mundo occidental, la lucha del bien contra el mal. De lo que se trataría es de la defensa de la patria frente al occidente liberal y lo que consideran sus perversiones: la libertad que deviene en libertinaje y atentado a las tradiciones; el individualismo, que le es consustancial al liberalismo, es permisivo e irrespetuoso de la tradición; sus patrones culturales (fundamentalmente, el movimiento LGTB+, el feminismo y la educación sexual) que atentan contra la familia y la moral cristiana; la idea de cambio permanente que hace que todo sea sometido a la crítica; la laicidad que separa Estado e Iglesia; el cosmopolitismo que atenta contra la nación y el patriotismo ciudadano y, por último, la democracia que abre las puertas a políticos enemigos de su propio país y de instituciones ancestrales consustanciales al pueblo ruso.

La conservación de la fe ortodoxa de la cual están encargados tanto la Iglesia como el Estado, constituye un eje fundamental de la Rusia actual. Por ejemplo, en ese renacer de la ortodoxia se ha rescatado el último Zar de Rusia, Nicolás II, como símbolo de la ortodoxia, un héroe nacional. La anexión de Crimea fue considerada un triunfo sin igual de Putin, más del 80% de la población lo apoyó, la Iglesia Ortodoxa lo hizo también de manera muy activa. Esto fue considerado el inicio de un camino hacia la recuperación de la gran Rusia.

En Rusia actualmente confluyen aspectos de la Rusia comunista y de la monárquica. Por una parte, la monarquía considerada natural por haber sobrevivido más de mil años y con ella su relación simbiótica con la ortodoxia cristiana. Por otra parte, la URSS por su extensión territorial y humana, por su poderío y por el antagonismo frente a occidente. En ambos casos, la presencia de un hombre fuerte al mando de la nación.

Putin ha recogido con creces estos aspectos, se presenta como el hombre fuerte que ejerce el control total sobre la sociedad, control necesario para: a) enfrentar a occidente y sus valores decadentes y el intento de agentes extraños de introducirlos al país, b) hacer de Rusia una potencia mundial (lo que incluye el rescate de la Gran Rusia conformada, por lo menos, por Rusia, Bielorrusia y Ucrania), y c) defender, preservar y promover los valores y la tradición ortodoxa cristiana.

La Rusia de Putin es un Estado autoritario o no democrático (IDEA, 2023; Freedom House, 2023), que amalgama ideológica y políticamente religión ortodoxa, tradicionalismo, patriotismo y nacionalismo expansionista. Al estrechar los lazos con la Iglesia ortodoxa se aleja de la posible constitución de una comunidad política moderna y plural. La revolución conservadora la denomina Marquina en el documental titulado: Rusia. Revolución conservadora (2021, diciembre 23).

La simbiosis entre el Poder político estatal y la Iglesia ortodoxa rusa no es una novedad. El estatuto eclesiástico del código imperial ruso fusionaba Iglesia ortodoxa y Estado a través del monarca



absoluto: el zar (Haming, 2016). El sistema colegiado de dirección de la Iglesia ortodoxa instituido en 1721 por el Zar Pedro I, fundió Estado e Iglesia Ortodoxa, los rusos debían obediencia al Zar debido a que así Dios lo mandaba. Con la creación del Santísimo Sínodo Gobernante como supremo órgano administrativo de la Iglesia, el Zar Pedro I pasó a dirigir, sin ningún poder por encima de él, a la Iglesia ortodoxa, él era el protector de los dogmas de la Iglesia, de la fe dominante en Rusia, a él debían obediencia los sacerdotes de esta fe y los súbditos en general (Haming, 2016).

Aunque los sacerdotes ortodoxos tenían poder sobre los asuntos espirituales y religiosos, la simbiosis entre Monarquía e Iglesia no era entre iguales. Todos los aspectos de carácter organizativo de la Iglesia eran promulgados por el Zar, eso incluía la propia composición del Santísimo Sínodo Gobernante el cual era nombrado por él en su totalidad con lo cual se aseguraba el control sobre la Iglesia. Así se mantuvo organizativamente la Iglesia Ortodoxa hasta la llegada de los comunistas al poder en 1917.

Con el ateísmo oficial de la era soviética se produjo, con ciertos intervalos de sobrevivencia controlada, una ola de persecución, represión, encarcelamiento y muerte de muchos miembros de la Iglesia y la confiscación de importantes bienes de la misma, sin embargo, esta situación no pareció afectar su influencia en la población, pues la apertura promovida por Gorbachov y Yeltsin y el apoyo ofrecido por Putin han demostrado que el apoyo espiritual se había mantenido (Santos, 1973).

Con Putin a la cabeza del Estado, convertido él a la religión cristiana ortodoxa, se ha reestablecido esa especie de simbiosis entre la Iglesia ortodoxa y el Estado; simbiosis en la que el apoyo a las políticas gubernamentales (incluyendo las anexiones territoriales y las ocupaciones violentas de territorios como en el caso de Ucrania), son correspondidas por el Estado a través de diferentes formas de retribución.

La relación es tan manifiesta que bajo la supervisión del Kremlin y el Patriarca Kirill, fue inaugurada en 2020 una iglesia ortodoxa de las fuerzas armadas, se trata de la iglesia más grande de toda Rusia, está ubicada en Moscú: la Catedral Principal de las Fuerzas Armadas Rusas.

Es necesario tener en cuenta que no es una relación entre iguales, el gobierno de Putin posee las herramientas para imponer a las iglesias pautas de comportamiento; la relación con la Iglesia Ortodoxa es una relación en la que ambas partes se benefician, es una relación de lealtad a cambio de ciertos privilegios materiales y de estatus. Pero, la Iglesia no goza de libertad plena, los propios sacerdotes ortodoxos son vigilados por los organismos de seguridad y limitados en su accionar, puede abríseles un proceso judicial si se atreven a ofrecer opiniones o comportamientos contrarios a las pautas gubernamentales, lo mismo vale para otras religiones.

Así como se utilizan las leyes sobre extremismo, agentes extranjeros y organizaciones indeseables para acosar a los medios de comunicación y limitar la libertad de expresión, también se las utiliza para vigilar, controlar y en caso necesario reprimir a las autoridades de las diversas iglesias, eso incluye a las autoridades de la iglesia ortodoxa.

Existe una separación de la ortodoxia como religión, como idea, del clero que la sostiene y difunde. El clero tiene un lugar privilegiado, eso es cierto, pero siempre y cuando sea leal al gobierno. Esto tiene todas las características de una instrumentalización de la ortodoxia rusa y su organización eclesial como una herramienta de propaganda legitimadora del gobierno.

## La iglesia ortodoxa y la guerra

La Iglesia ortodoxa está constituida por quince 2 iglesias autocéfalas, gobernadas por una jerarquía independiente encabezada por un patriarca, un arzobispo o un metropolitano (por ejemplo, el patriarca ruso, el de Antioquía o el Arzobispo de Chipre o el Metropolitano de Polonia) que hace de autoridad suprema en su propia Iglesia. Estas iglesias reconocen un primado de honor al patriarca de Constantinopla.

A diferencia de la Iglesia católica que posee una máxima autoridad, el Papa, y una sede centralizada de gobierno en el Vaticano, la Iglesia ortodoxa se organiza de manera descentralizada; se organiza en instituciones autocéfalas, autónomas, denominadas patriarcados. El patriarca de Constantinopla, en términos honoríficos, exclusivamente simbólico, es considerado un *primus inter pares*, pues “no tiene injerencia ni potestad en el gobierno de las diferentes iglesias” (Mauro, 2022).

En la Iglesia Ortodoxa Rusa, al igual que en las otras iglesias, las decisiones se toman en un sistema jerárquico y conciliar. La máxima autoridad es el Santo Sínodo, compuesto por los obispos más importantes de la iglesia. Este sínodo es presidido por el Patriarca de Moscú y Todas las Rusias, el Patriarca Kirill. Las decisiones importantes son discutidas y deliberadas en las reuniones del Santo Sínodo, donde se tiene en cuenta la opinión y la sabiduría de todos los miembros presentes. Estas reuniones tienen como objetivo llegar a un consenso basado en la tradición, la enseñanza bíblica y la guía del Espíritu Santo. Además del Santo Sínodo, también existen consejos y asambleas locales en diferentes niveles de la jerarquía de la iglesia. Estas estructuras colegiadas participan en la toma de decisiones y ayudan a garantizar la unidad y la participación de todas las partes interesadas en los asuntos de la iglesia.

Es importante tener en cuenta que las decisiones en la Iglesia Ortodoxa se basan en la tradición eclesial, los cánones y la autoridad de la Sagrada Escritura. Estos principios guían el proceso de toma de decisiones y la aplicación de la doctrina en la vida de la iglesia. Sin embargo, en la práctica el Patriarca, el Arzobispo o el Metropolitano tienen una gran influencia en la toma de decisiones. El primado de la Iglesia es el principal portavoz de la Iglesia, y tiene la última palabra en los asuntos más importantes. En algunos casos, el primado puede tomar una decisión unilateral sobre un asunto. Esto suele ocurrir en asuntos que son considerados urgentes o importantes.

El patriarca Kirill, es el Patriarca de Moscú y toda la Rus, es un nacionalista ruso que promueve los valores tradicionales rusos, que critica la influencia occidental en Rusia, defiende la necesidad de preservar la identidad rusa y se identifica con las políticas del Kremlin.

Mantiene una estrecha relación personal con el presidente Putin. Demuestra públicamente sentir admiración hacia Putin. En el cumpleaños número 70 del presidente, se desbordó en alabanzas. “Dios te puso en el poder para que lleves a cabo una misión de una importancia especial y de una gran responsabilidad para con el país y su pueblo”. Recordó “la transformación de la imagen de Rusia, el refuerzo de su soberanía y de sus capacidades defensivas, y por la defensa de los intereses nacionales”. “Has adquirido la reputación de un líder nacional, fiel a su patria y que la ama sinceramente”.

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<sup>2</sup> Las Iglesias autocéfalas son las siguientes: 4 patriarcados que existían antes de la escisión cristiana de 1054: de Constantinopla, de Alejandría, de Antioquía y de Jerusalén. Otras 5 Iglesias que también tienen el rango de patriarcado otorgado posterior a 1054: la iglesia rusa, la serbia, la rumana, la búlgara y la georgiana. Las últimas seis que tienen como superior a un arzobispo o a un metropolitano: La Iglesia chipriota, la griega, la polaca, la albanesa, la checa y eslovaca, y la última en obtener la autocefalia, la de Ucrania.

ramente y le da todas sus fuerzas”. “Que tus fuerzas no se agoten y que la ayuda de Dios sea grande para ti”. Le deseó “fuerza física y moral para muchos años”, e instó a Rusia a rezar por la salud de Putin (SWI, 2022, octubre 7).

### **La iglesia ortodoxa rusa y la invasión**

Antes de la invasión a Ucrania, el Patriarca Kirill había sostenido algunos criterios acerca de la guerra que difícilmente puedan ser compartidos por toda la ortodoxia rusa y mundial. En el año 2016, expresó algunas opiniones acerca de los bombardeos rusos en Siria y de la guerra en general. Acerca de los bombardeos dijo, como si Rusia estuviera siendo atacada, que eran de carácter defensivo. Sobre la guerra expresó: “El evangelio define con claridad algunos casos en que puede estar justificado causar la muerte: cuando uno está dispuesto a entregar la vida propia para salvar la de los demás, lo cual constituye el fundamento de toda guerra justa” (Duch, 2016, enero 8, p. 20). Así que no causa extrañeza su posición ante la invasión rusa a Ucrania.

Kirill, ha expresado su opinión acerca de la invasión rusa a Ucrania en múltiples ocasiones; se ha constituido en un relevante defensor de la guerra, calificándola, tal como hace el gobierno, de operación militar especial para defender a Rusia de una supuesta amenaza occidental. Es posible que el apoyo del patriarca Kirill a la guerra haya influido en la opinión pública y haya producido un aumento del apoyo tanto a la guerra como al propio gobierno, ya que, al haber utilizado su autoridad religiosa para apoyar la guerra, ha contribuido a legitimarla.

Es fundamental resaltar que la postura de las autoridades de la Iglesia Ortodoxa Rusa no necesariamente refleja las opiniones de todos los cristianos ortodoxos, ya que esta iglesia tiene seguidores en varios países y cada individuo puede tener su propia perspectiva sobre el conflicto.

La tesis de apoyo a la guerra de la Iglesia ortodoxa rusa se basa en cuatro argumentos principales, todos coincidentes con el discurso gubernamental ruso.

El primer argumento es el de la defensa de la ortodoxia. El patriarca Kirill ha argumentado que la guerra es una defensa de la ortodoxia rusa contra la “decadencia occidental” y el odio que se expresa contra los pueblos que profesan la ortodoxia. En su discurso de marzo de 2022, Kirill dijo que la guerra era una “cruz” que Rusia debía llevar por el bien de la humanidad, para proteger la ortodoxia de las influencias occidentales.

De acuerdo al Patriarca ruso, existe “un odio irracional hacia los pueblos que profesan la ortodoxia...Es precisamente este odio el que determina la injerencia sin ceremonias de los estados occidentales en la vida de los países cuyos pueblos son portadores de la ortodoxia” (Kirill, 2023), la guerra en Ucrania sería para él “el reflejo de un choque de civilizaciones más global. Oremos también por un triunfo victorioso sobre aquellos que toman las armas contra la Santa Rusia y desean dividir y destruir a su pueblo unido” (Kirill, 2023).

El segundo argumento, es la defensa de la soberanía rusa: La guerra es una defensa de la soberanía rusa contra la expansión de la OTAN. En un discurso pronunciado en abril de 2022, dijo que la OTAN era una amenaza para Rusia y que la guerra era necesaria para proteger a Rusia de la agresión occidental. La acción bélica lo que intenta es proteger “nuestra patria histórica común” de todas “las acciones del exterior que pueden destruir esta unidad”, advirtió que “no debemos permitir que las fuerzas oscuras externas y hostiles se burlen de nosotros”. Esa patria histórica común es a la misma a la que hace alusión Putin, la integrada, por lo menos, por Rusia, Bielorrusia y Ucrania.

No acepta la realidad de que Rusia es la que ha invadido el territorio de otro país soberano, sino que afirma que la atacada es Rusia, esta lo que hace es defenderse. Dice, Kirill: “No queremos pelear con nadie. Rusia nunca ha atacado a nadie. Es sorprendente que un país grande y poderoso nunca haya atacado a nadie, sólo ha defendido sus fronteras” (Bastante, 8/05/2022).

El tercer argumento, es la defensa de los valores tradicionales: El patriarca Kirill ha argumentado que la guerra es una defensa de los valores tradicionales rusos contra la “propaganda gay” y la “ideología de género”. En un discurso pronunciado en mayo de 2022, Kirill dijo que la guerra era una lucha por la “verdad” y la “moralidad”. Se trata de una lucha santa para proteger a Rusia de lo que él llama flagelos occidentales (MacFarquhar, Kishkovsky, 2022, abril 18). El objetivo es proteger a la civilización humana, de las perversiones del comportamiento occidental que han querido introducir en Rusia: “Estamos hablando de algo diferente y mucho más importante que la política. Estamos hablando de la salvación humana, de dónde va a parar la humanidad, de qué lado se está respecto a Dios Salvador...” (Malavia, 2022, abril 07). La guerra que se libra en Ucrania, poseería un “significado metafísico”, es una guerra que se libra entre la Rusia virtuosa y el Occidente decadente debido a sus “marchas del orgullo gay” y a diversas señales del “apocalipsis” (Manrique, 2022, abril 26).

El cuarto argumento es el de carácter humanitario de Putin. No se trata de un ataque de Rusia a Ucrania, precisamente es allí “donde la represión y el exterminio de personas en el Donbás se lleva a cabo desde hace ocho años; ocho años de sufrimiento y el mundo entero ha estado en silencio”. (Malavia, 2022, abril 07). Fueron los “nazis ucranianos” los que “obligaron a Rusia a defender a los rusos del Donbass del genocidio” (Caprio, 2023, octubre 21).

Son estos argumentos los que lo han llevado a decir, que el sacrificio “en el cumplimiento del deber militar” en la guerra en Ucrania “lava todos los pecados” (Europa press, 2022, septiembre 26).

La Iglesia ha utilizado su influencia para difundir propaganda beligerante. En los sermones y homilías, los clérigos ortodoxos rusos repiten los argumentos señalados. Es una lucha entre el bien y el mal, entre la civilización rusa y la “decadencia occidental”. La guerra es una “cruz” que Rusia debía llevar por el bien de la humanidad. Ha sido bendecidos los soldados que van a la guerra, se han organizado oraciones por la victoria rusa y se ha llamado a participar en la guerra, esta, de acuerdo a Kirill, “lava todos los pecados que una persona ha cometido” (Europa Press, 2022, septiembre 26). Incluso, Kirill ha llegado a alabar las armas nucleares: “Rusia sigue siendo un país libre e independiente gracias a las armas nucleares, creadas con la protección de San Serafín de Sarov” (Caprio, 2023, octubre 21), debe recordarse que el gobierno ruso ha amenazado en varias oportunidades con hacer uso de estas armas en el conflicto que mantiene con Ucrania.

### **Rupturas en la iglesia ortodoxa**

Hemos preferido hablar de rupturas antes que de cisma. Cisma es un concepto que tiene una acepción religiosa en diferentes religiones, así que la determinación de que considerar cuando un acto es o no cismático es un asunto propio de la Iglesia y no de las ciencias sociales.

Los problemas de la Iglesia Ortodoxa rusa en su relación con otras iglesias ortodoxas debido a asuntos relacionados con Ucrania no surgen a partir de la invasión rusa; este momento lo que hizo fue intensificarlos. Veamos.

El 1 de diciembre de 1991, a través de un referéndum, Ucrania ratificó su independencia de la antigua URSS. Luego, el 8 de diciembre de ese año, con la firma del Acuerdo de Belavezha, se reconoció definitivamente la disolución de la URSS y con ello la independencia de Ucrania; sin embargo, la ruptura político territorial definitiva no se concretó totalmente en materia religiosa, una parte de la Iglesia ortodoxa de Ucrania continuó dependiente de la Iglesia rusa. La independencia ucraniana hizo que unos pocos obispos ucranianos se separaran de la Iglesia rusa y autoproclamaron el Patriarcado de Kiev, mientras que otros fundaron la Iglesia ortodoxa autocéfala ucraniana; a partir de ese momento coexistirían en Ucrania tres iglesias ortodoxas: las dos autoproclamadas y la Iglesia Ucraniana dependiente del Patriarcado de Moscú; esta ruptura no generó mayor apoyo, no obstante, el camino estaba abierto para que la Iglesia ortodoxa de Ucrania invocara y exigiera en algún momento su propia independencia y autonomía frente a la Iglesia rusa.

En 2014, Rusia se anexa Crimea, hecho que tensó aún más las relaciones entre las iglesias ucranianas y la rusa. La Iglesia ortodoxa rusa por boca del Patriarca, Kirill, la catalogó como un acto de justicia histórica, una respuesta, según él, a las aspiraciones de los habitantes de Crimea, y, por otra parte, las iglesias ucranianas que la rechazaron.

En 2016, un grupo de religiosos ortodoxos ucranianos del Patriarcado de Kiev y de la Iglesia ortodoxa autocéfala ucraniana, conjuntamente con el parlamento y el presidente de Ucrania, Petro Poroshenko, formularon ante la Iglesia Ortodoxa de Constantinopla una petición de independencia total de la Iglesia ortodoxa de Ucrania frente a la rusa, en esta petición no participó la Iglesia ortodoxa ucraniana del Patriarcado de Moscú. La Iglesia rusa rechazó estas peticiones y las calificó de “interferencia inaceptable” de las autoridades civiles en los asuntos internos de la iglesia (RIA Novosti. 2016, junio 11).

El 11 de octubre de 2018, se anunció desde Constantinopla que se procedería a otorgar la autocefalia a la Iglesia ortodoxa de Ucrania, con esta decisión se revoca la “carta sinodal de 1686, que concedía el derecho al Patriarca de Moscú para ordenar al Metropolitano de Kiev” (Ulibarrena, 2019).

La respuesta de la iglesia rusa no se hizo esperar, 4 días después, el 15 de octubre, el Santo Sínodo de la Iglesia ortodoxa rusa rompió las relaciones con Constantinopla.

El 15 de diciembre de 2018, se celebró el Sínodo de Unificación de las tres iglesias ortodoxas ucranianas en la que se nombró a Epifanio, como el Metropolitano de Kiev y toda Ucrania; es de hacer notar que por parte de la Iglesia ortodoxa ucraniana del Patriarcado de Moscú solo se presentaron dos obispos al Sínodo. El 5 de enero de 2019, el patriarca de la Iglesia ortodoxa de Constantinopla, Bartolomé I, reconoció definitivamente la autocefalia de la **Iglesia Ortodoxa Ucraniana**.

La Iglesia ortodoxa rusa, además de romper toda relación con la Iglesia de Constantinopla, lo hizo también con las iglesias Griega, Chipriota y la de Alejandría, iglesias estas que habían reconocido, entre 2019 y 2020, la nueva situación de la iglesia de Ucrania (Manrique, 2022, abril 26).

Debe aclararse que los ortodoxos ucranianos, a pesar de esta declaratoria de autocefalia, aún para el momento de la invasión, se encontraban divididos. Por un lado, los que se acogen a la ruptura con Rusia y se encuentran cercanos al Patriarcado de Constantinopla, por el otro, los que aún reconocen al Patriarcado de Moscú; después de la invasión rusa la ruptura con Moscú se extiende a casi todo el mundo religioso ucraniano, tal como veremos más adelante.



La respuesta de la Iglesia ortodoxa rusa a la declaratoria de independencia fue acusar a supuestas “fuerzas externas” a la iglesia (autoridades de Ucrania, complotistas, nacionalistas, los medios de comunicación y enemigos de la ortodoxia) de intentar destruir la unidad de la Iglesia ortodoxa (SWI, 2022, mayo 27). Las acusaciones contra el Patriarca Bartolomé I, van desde haberse complotado con fuerzas extranjeras y haber devenido en un arma contra la Ortodoxia, hasta llamarlo invasor de Ucrania: “el Patriarcado de Constantinopla se ha convertido en una de las armas de la lucha contra la Ortodoxia” Kirill (2023), para Kirill, Bartolomé I, “en el otoño de 2018, pisoteando los cánones sagrados, invadió Ucrania para ‘abolir’ la jerarquía de la Iglesia ortodoxa ucraniana y legalizar el cisma otorgándole una autocefalia imaginaria” (2023).

### **La invasión agudiza los problemas en el complejo mundo ortodoxo**

Las acusaciones y disputas entre las diversas iglesias ortodoxas se agravaron con la invasión. Las relaciones entre las iglesias de Rusia y de Constantinopla ya se encontraban rotas; mientras que lo que quedaba de las relaciones entre la Iglesia ucraniana y la rusa tienden a desaparecer definitivamente. Dentro de la propia Rusia se producen expresiones de rechazo a la posición de las autoridades superiores de la Iglesia y, en Ucrania, algunos sacerdotes son acusados de mantener relaciones con la iglesia rusa.

Fuera de Ucrania, uno de los primeros en el mundo ortodoxo en pronunciarse contra la invasión, fue el patriarca de Constantinopla, Bartolomé I. Pocos días después de producirse la invasión rusa, en una conferencia que dio en el Parlamento de Lituania, acusó a la Iglesia rusa y a sus dirigentes de colaborar en “la realización de la invasión militar de Ucrania”, pidió “neutralizar” la capacidad del Patriarcado de Moscú para “socavar” la unidad de la iglesia, y lo acusó de ofrecer legitimidad teológica a los “actos criminales” (Rai News, 2023, abril 23). A finales de marzo de 2022, de visita en Polonia, condenó de nuevo la invasión: una “agresión injustificada e injustificable en curso, así como la violencia horrenda y costosa causada por Rusia en la patria soberana de Ucrania” (Euronews, 2022, abril 29). Bartolomé I, se lamenta que Kirill se haya identificado tanto con Putin y llame «cruzada» a una guerra que, “daña el prestigio de la Ortodoxia, que no apoya la guerra, la violencia ni el terrorismo” (Langa, 2022, junio 04).

Igualmente, Epifanio, el Metropolitano de Kiev y toda Ucrania, ofreció palabras duras a Kirill por su apoyo a Putin y, por supuesto a la invasión, dijo: “ha quedado claro a partir de sus declaraciones públicas anteriores que mantener la buena voluntad de Putin y el liderazgo de la Federación Rusa es mucho más importante para usted que preocuparse por la gente de Ucrania” (Malavia, 2022, febrero 28).

A finales de mayo de 2022, se llevó a cabo un concilio de la Iglesia ortodoxa de Ucrania, el cual fue dedicado a la invasión. Allí se recordó que, en un comunicado, el Metropolitano de Kiev y toda Ucrania, Epifanio, había instado a Kirill a que hiciera todo lo que estuviera a su alcance para detener la agresión Rusa, pero no habían recibido respuesta alguna (De Santos, 2022, mayo 29). Rechazaron la posición del patriarca Kirill, condenaron la guerra y decidieron romper todos los lazos que aún la unían a la Iglesia ortodoxa rusa al declarar su total independencia y autonomía (SWI, 2022, mayo 27).

El consejo legislativo de la provincia ucraniana de Rivne, en el sur de Ucrania, aprobó en abril de 2023, la prohibición de toda actividad a la Iglesia ortodoxa ucraniana vinculada al Patriarcado de

Moscú; los diputados aseguran que la jerarquía de la Iglesia mantiene posiciones prorrusas a pesar de haber roto con su par Rusa (SWI, 2023, abril 10). Asimismo, en octubre de 2023, el parlamento de Ucrania aprobó la prohibición de todas las actividades en el país de la jurisdicción ortodoxa rusa (Caprio, 2023, octubre 10).

La posición de la dirigencia ortodoxa rusa no solo ha traído problemas entre Iglesias de diferentes países, sino que los ha generado en el interior de la propia iglesia rusa. Cualquier expresión contraria a la posición de las autoridades de la Iglesia o de la de las autoridades civiles por parte de los clérigos es inmediatamente reprimida, ya sea judicialmente<sup>3</sup> al considerar que desacreditan al ejército ruso, o por las autoridades de la Iglesia que consideran, tal como lo asegura Vakhtang Kipshidze, subdirector del servicio de prensa de la Iglesia, que los clérigos que expresan esos desacuerdos “pasan de ser sacerdotes a ser agitadores políticos y personas que participan en la lucha política”, cuestión incompatible y que está considerada “prohibiciones canónicas” (Manenkov, 2023, Agosto 18).

En septiembre de 2023, el gobierno ruso ordenó la movilización de reservistas para incorporarlos a las tropas en Ucrania, ante esto el Patriarca Kirill, pidió a los clérigos que rezaran por la victoria. El reverendo Ioann Koval, sustituyó la palabra victoria por paz, eso fue suficiente para ser expulsado de la Iglesia Ortodoxa Rusa, en su descargo, expresó: “Con la palabra ‘victoria’, la oración adquiriría un significado propagandístico... Eso iba en contra de mi conciencia. No podía someterme a esa presión política de la jerarquía” (Manenkov, 2023, agosto 17). Una situación similar vivió el sacerdote Ilja Gavryškin, de la región de Tver, el cual fue obligado por el obispo jerárquicamente superior a disculparse públicamente debido a que no rezó por la “victoria” sobre Ucrania, sino por la paz: “Si no se arrepiente, está despedido. Váyase a pasear”, le dijo el obispo (Kara-Murza, 2023, noviembre 06).

La organización Cristianos Contra la Guerra: ha expresado que por lo menos 30 sacerdotes ortodoxos han sido objeto de presión por parte de la iglesia y del Estado, por expresar alguna postura diferente a la de Putin o Kirill (Manenkov, 2023, agosto 18).

La persecución y castigo a la disidencia no se detiene en las fronteras rusas. Kirill posee influencia en todas las iglesias a nivel mundial que son dependientes de la rusa; un ejemplo de esto lo constituye la suspensión por tres meses del reverendo Andrei Kordochkin, de la catedral de Santa María Magdalena, en Madrid, perteneciente a la Iglesia Ortodoxa Rusa, por no seguir sus lineamientos frente a la invasión, básicamente por pedir la paz (Zermeño, 2023, agosto, 12).

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<sup>3</sup> Amnistía Internacional ha criticado la ley rusa conocida como ley de agentes extranjeros, que entró en vigencia en 2012 y ha sido reformada para incluir nuevos aspectos que permitan una mayor represión a las organizaciones y expresiones que el gobierno considera que no se adecúan a sus propósitos. Múltiples organizaciones “han visto cómo se reduce su financiación, se empaña su reputación y se intimida o persigue judicialmente a su personal. La ley se ha aplicado de manera arbitraria contra organizaciones de la sociedad civil rusa y contra defensores y defensoras de los derechos humanos y activistas de la esfera política, incluidas voces especialmente críticas con las autoridades (Amnistía Internacional, 2020, noviembre). Freedom House, en su informe de 2023, informa que las “autoridades rusas han adoptado nuevas leyes opresivas, han obligado a los pocos medios de comunicación y ONG independientes que quedaban a cerrar o exiliarse, y han impuesto duras penas de prisión a disidentes destacados, así como a ciudadanos comunes y corrientes que se atrevieron a expresar su oposición a la guerra” (Freedom House. 2023).

Por su parte, en Ucrania también se han presentado problemas en el seno de la Ortodoxia. Algunos sacerdotes han sido acusados por las autoridades de mantener vínculos con Rusia; sobre todo sacerdotes pertenecientes al monasterio de las Cuevas de Kiev, uno de los lugares santos de la religión ortodoxa oriental. Aunque estos niegan tales imputaciones el gobierno ha decretado el desalojo del monasterio (France 24, 2023, marzo 29).

## DISCUSIÓN

Algunas preguntas que es preciso hacerse al evaluar la posición de la Iglesia Ortodoxa rusa ante la invasión a Ucrania, es cuánto de esta posición obedece a la asumida por el Patriarca Kirill en su interés por defender las políticas del Kremlin, cuánto de esa posición está condicionada por el temor a confrontar al régimen autocrático de Putin y a quien mantiene una estrecha colaboración con él, el Patriarca Kirill. Para ello habría que llevar a cabo una investigación al interior del clero ortodoxo ruso, tarea altamente improbable debido a las restricciones a la libertad impuestas por el Estado.

La Iglesia ortodoxa rusa ha optado por el apoyo a la guerra contra Ucrania, esto tenía que generar problemas en la ortodoxia mundial y nacional. Fuera de Rusia los pronunciamientos de la ortodoxia no se hicieron esperar. Más que responsabilizar a la Iglesia rusa como un todo, las críticas han ido dirigidas fundamentalmente al Patriarca Kirill, a este se le señala como quien, debido a su posición frente al Kremlin, ha sido capaz de aceptar la guerra como una necesidad rusa, sin embargo, es probable que la confluencia identitaria entre ortodoxia y nacionalismo ruso haya jugado un papel importante en las decisiones del clero.

En el interior de Rusia la situación es más complicada; la probabilidad de que se expresen voces diferentes a las de las autoridades civiles y eclesiales es muy remota. Es probable que algunos sacerdotes de la ortodoxia rusa piensen que la posición oficial de la Iglesia, expresada a través del Patriarca, obedezca a una visión distorsionada de la ortodoxia, es decir, que piensen que la guerra no es una defensa de la ortodoxia rusa ni una lucha por la verdad ni una respuesta en defensa de la soberanía rusa amenazada, pero no se atreven a expresarlo públicamente debido a las represalias civiles y eclesiásticas que esto desataría. Incluso, algunos pudieran estar en contra de la cultura occidental o pensar que la soberanía rusa pudiera estar en peligro, pero no ver en la guerra la solución de esos problemas.

Por último, la invasión de un país soberano tiende a exacerbar el nacionalismo y el patriotismo en el país invadido. No podía ser de otra forma en Ucrania. Como se expuso, la separación prácticamente total del clero ucraniano del que sienten que apoya la guerra es casi total. Es probable que la guerra además refuerce sentimientos de pertenencia a una comunidad política moderna que se identifica con el Estado nación y no solo a una etnia determinada, hecho que acercaría aún más a Ucrania a Europa occidental y a su cultura abierta y democrática, alejándola de formas despóticas del ejercicio del poder político.

## CONCLUSIONES

La relación de la Iglesia ortodoxa rusa y el Estado no es una relación novedosa, aunque fue coartada por los comunistas durante parte importante de la existencia de la URSS, se ha estrechado nuevamente a partir de la apertura iniciada por Gorbachov y, en especial, por la política conservadora de Putin, por la relación personal que mantiene con algunas autoridades del clero y, probable-

mente, por el establecimiento de una relación utilitaria de apoyo al gobierno a cambio de algunos privilegios.

La posición de la Iglesia ortodoxa rusa frente a la guerra en Ucrania ha provocado, por lo menos acelerado, la ruptura entre ortodoxos de Rusia y de Ucrania, a pesar de que históricamente habían mantenido fuertes lazos.

Los resultados del estudio sugieren que ha sido la posición de la Iglesia ortodoxa rusa la que ha desencadenado una serie de rupturas entre diversas iglesias ortodoxas de diferentes partes del mundo con la Iglesia rusa.

El apoyo de la Iglesia rusa a la invasión de Ucrania es consistente con la posición adoptada en ocasiones anteriores; este es el caso del bombardeo de Siria, de la anexión de Crimea a Rusia y del apoyo a los separatistas de la región del Donbass.

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# Violencia contra la mujer: un ejemplo de su comportamiento temporal y espacial en el estado Mérida, Venezuela

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**Resumen.** La investigación se centró en analizar los patrones temporales y espaciales de la violencia contra la mujer en el estado Mérida para el período 2001-2023, además de aproximarse a conocer la realidad que podría exhibir este flagelo a nivel de los municipios (23 en total), regiones y ámbitos geográficos que conforman la entidad. Para alcanzar dicho objetivo, se diseñó una metodología que combina un enfoque cuantitativo con uno cualitativo. En el primero, se emplearon varias bases de datos con información estadística referidas a casos de violencia contra la mujer, lo que permitió estimar una serie de indicadores que dieron paso a la identificación de patrones temporales y espaciales de este tipo de violencia. El segundo enfoque, se basó en la realización de entrevistas semiestructuradas a profesionales vinculados con el tema en cuestión. El doble enfoque permitió una acertada complementariedad para el mejor entendimiento del comportamiento del fenómeno en el estado Mérida. Los resultados muestran que temporalmente hay una clara tendencia al aumento en el número de casos registrados y que espacialmente se generan patrones particulares en función de algunas variables sociales analizadas.

**Palabras clave:** violencia contra la mujer, delito, agresión, muertes violentas, femicidios.

## Violence against women: an example of its temporal and spatial behavior in the state of Mérida, Venezuela

**Abstract.** The research focused on analyzing the temporal and spatial patterns of violence against women in the state of Mérida for the period 2001-2023, in addition to attempting to understand the reality of this scourge at the level of municipalities (23 in total), regions, and geographical areas that make up the entity. To achieve this objective, a methodology was designed that combines both quantitative and qualitative approaches. In the first approach, various databases with statistical information related to cases of violence against women were used, which allowed for the estimation of a series of indicators that led to the identification of temporal and spatial patterns of this type of violence. The second approach was based on conducting semi-structured interviews with professionals connected to the issue at hand. The dual approach enabled a successful complementarity for a better understanding of the phenomenon's behavior in the state of Mérida. The results show that, temporally, there is a clear trend towards an increase in the number of recorded cases and that, spatially, particular patterns emerge based on some analyzed social variables.

**Keywords:** violence against women, crime, aggression, violent deaths, femicides.

### INTRODUCCIÓN

A lo largo de la historia a las mujeres se les han asignado roles pasivos, de sumisión y dedicación al ámbito privado, a diferencia de los hombres, a quienes, por el contrario, se les proporcionó el rol de supremacía y privilegios en el ámbito público (Marcano y Palacios, 2017; Picón y Mancilla, 2021). La violencia contra el género femenino ha sido y sigue siendo un reflejo fehaciente de las relaciones desiguales de poder entre hombres y mujeres que traen efectos infortunados a aquellas que los padecen (INMUJERES, 2008). En respuesta a esta situación, se han realizado notables esfuerzos a todas las escalas en favor de la prevención de este flagelo. Es así como los movimientos feministas han sido clave en esta lucha que se inició desde mediados del siglo XIX, pero, a pesar de las reivindicaciones alcanzadas, aún en pleno siglo XXI, las mujeres siguen estando bajo un sistema de dominación patriarcal que todavía pretende tener control sobre sus decisiones y su cuerpo (Marcano y Palacios, 2017).

El estado Mérida en Venezuela, área de estudio de la presente investigación no escapa a esa realidad descrita, tal como lo demuestran algunos informes e investigaciones realizadas en los últimos años (CEPAZ, 2017; ULA-MUJER, 2022; OVV Mérida, 2022, 2024, entre otros), con el agravante que los resultados muestran un aumento cuasi sostenido de la violencia contra la mujer motivado posiblemente por la emergencia humanitaria que atraviesa el país desde el 2014, combinada con diferentes secuelas derivadas del COVID-19.

Ahora bien, es importante ir más allá de calcular, exhibir y analizar cifras de indicadores sólo a nivel regional y para un año o un período relativamente corto, los cuales, además, sólo van a representar valores promedio del tipo de violencia abordada (en este caso contra la mujer) para la entidad en estudio. Es por ello que esta investigación se centró en estudiar los patrones temporales -para un período significativo de 20 años- y espaciales -a nivel de entidad, municipios y ámbitos rurales y urbanos- de la violencia contra la mujer en el estado Mérida, tomando como lapso de referencia 2001-2023.

El uso de diferentes fuentes de información de registros estadísticos referidos a casos de violencia contra la mujer y la realización de entrevistas semiestructuradas a profesionales vinculados con el tema en cuestión, permitieron estructurar el camino metodológico bajo un enfoque dual: cualicuantitativo, para derivar posteriormente los resultados y su análisis.

## METODOLOGÍA

**Etapa 1. Búsqueda de información (estadística y cartográfica):** La revisión de fuentes de información estadística, relacionadas con el tema de investigación, consistió en la consulta de la base de datos de mortalidad de la institución gubernamental Corporación de Salud del estado Mérida (CORPOSALUD Mérida), período 2001-2020, para extraer las muertes violentas de mujeres por agresión (en lo sucesivo MVma) y de forma indirecta estimar casos de probables femicidios; y también trató sobre la revisión de registros estadísticos del Instituto Nacional de la Mujer (INAMUJER), sede Mérida, período 2022-2023, que contienen información sobre diferentes delitos contra la mujer. Actualmente estas fuentes son de carácter no público, ya que, por razones que se desconocen, no llegan a ser conocidas por la sociedad, siendo limitado el acceso a la información estadística de esta índole. De igual forma se tuvo acceso a otras bases de datos con información sobre violencia contra la mujer: Observatorio Venezolano de Violencia (OVV) Mérida, lapso 2020-2023 -Organización No Gubernamental- y la del Tribunal Supremo de Justicia (TSJ) Mérida, lapso 2022-2023.

Más en detalle, a continuación, se describe cada una de las fuentes de información utilizadas en la investigación:

**CORPOSALUD Mérida (2001-2020):** La base de datos de esta institución del Estado consta de 20 años de información oficial no pública sobre mortalidad, donde las causas de muerte están ordenadas por códigos de la Clasificación Internacional de Enfermedades (CIE-10) de la Organización Panamericana de la Salud (OPS). Para este estudio se consideraron los códigos X85-Y09 (agresiones) y Y10-Y34 eventos de intención no determinada (EIND).

**OVV Mérida (2020-2023):** En este particular la información es de carácter no oficial sobre casos de violencia contra la mujer publicados en los medios de comunicación del estado Mérida (Diario Pico Bolívar en formato impreso y los portales web de noticias: Actualidad y Gente, Comunicación Continua, Diario Los Andes, En El Vigía, Frontera Digital, Mérida Digital, Mérida Noticia y @Suresnoticia), por lo que aquellos sólo representan una muestra de los hechos que logran ser conocidos por la sociedad.

**INAMUJER Mérida (2022-2023):** La información obtenida a través de esta institución gubernamental también es de carácter no público. Abarca un registro estadístico que va desde junio del año 2022 hasta mayo del año 2023. Esta se deriva de un sistema informático diseñado por esta institución, donde datos relacionados con casos de violencia contra la mujer son cargados por parte de funcionarios de los distintos órganos receptores de denuncia del Estado. Para su análisis se hizo un filtrado de la misma a modo de extraer las categorías de interés para la investigación.

**TSJ Mérida (2022-2023):** Esta información fue levantada a partir de contenido oficial público, recabado de la página web del TSJ, donde los jueces de los tribunales en materia de violencia contra la mujer publican las decisiones de los casos que les corresponden asumir como funcionarios de dicho Tribunal. De cada uno de los casos se extrajeron datos de interés acerca de los victimarios desde marzo de 2022 hasta mayo de 2023, lapso en el cual se logró tener acceso a la información.

En relación a la cartografía se utilizó una capa vectorial del Instituto Geográfico de Venezuela Simón Bolívar (IGVSB), con el fin de representar algunos resultados de la presente investigación en mapas temáticos. Los mapas se realizaron empleando el Sistema de Información Geográfica (SIG) Quantum Gis (QGIS) versión 3.34.5, bajo una escala de trabajo 1:850.000.

**Etapas 2. Análisis de la calidad de las fuentes de información estadística:** Esta etapa consistió en el análisis y la evaluación de la calidad de las fuentes de información estadística disponibles, con el fin de conocer sus fortalezas y debilidades.

En cada base de datos empleada se evaluó la calidad de la información contenida en las mismas a través de un indicador denominado: cobertura, que se refiere al porcentaje de casos registrados y/o conocidos con información de la variable analizada (mientras mayor sea la cobertura, mayor será la representatividad de los resultados). Para esta investigación se consideró como válidas, las variables cuya cobertura era mayor o igual al 75%. Su estimación se obtuvo del cociente entre el número de casos de violencia contra la mujer de la variable de interés, para un año dado, y el número total de casos registrados y/o conocidos de la misma variable para el mismo año, multiplicado el resultado por 100.

**Etapas 3. Selección de variables:** Las variables están relacionadas con las características de la víctima, el victimario y la realidad social del lugar de ocurrencia del hecho delictivo, quedando seleccionadas las siguientes: Un grupo de variables independientes (edad, estado civil, nivel educativo, ocupación, sitio de muerte, edad del victimario, estado civil del victimario, ocupación del victimario, parentesco víctima-victimario, año de ocurrencia y municipio de ocurrencia) y otro grupo de variables dependientes (muertes violentas de mujeres por agresión y diversas formas de violencia).

**Etapas 4:** Estimación de indicadores: Luego de seleccionar las variables a estudiar y de evaluar su cobertura, se procedió a estimar los indicadores para cuantificar la violencia contra la mujer en el estado Mérida, esto según las bases de datos empleadas.

**CORPOSALUD Mérida:** El tratamiento de esta base de datos consistió en el filtrado de la información con el fin de obtener de forma concreta los datos de interés para el estudio. Se filtró la información por sexo (femenino) y por causa de muerte según los códigos X85-Y09 con el fin de hallar el porcentaje de las MVma ocurridas para cada año del período 2001-2020. Para ello se procedió a dividir las MVma del año observado entre las MVma de todo el período, multiplicando el resultado por 100. Procediendo matemáticamente de la misma manera, ese filtrado permitió calcular el porcentaje de MVma del período 2001-2020, según cada variable considerada: municipio de ocurrencia, edad, estado civil, nivel educativo, ocupación y sitio de muerte.

Por otra parte, se filtraron los códigos Y10-Y34 para cuantificar el porcentaje de muertes violentas de mujeres según EIND, período 2001-2020. Para este indicador se dividió el número de muertes violentas de mujeres por EIND del año observado entre el número de muertes violentas de mujeres por EIND, cuyo resultado se multiplicó por 100.

También se calcularon las tasas históricas de MVma de todo el estado Mérida, de cada municipio y de los ámbitos urbano y rural durante el período en estudio, con el fin de medir la frecuencia de los decesos en cuestión en estos espacios. Para el cálculo de dichas tasas fue necesario conocer la población media (Pm) o promedio del lapso estudiado (2001-2020). Para ello, fue necesario recurrir a las proyecciones de población calculadas en el año 2013 por el Instituto Nacional de Estadística (INE), con base al Censo Nacional de Población y Vivienda del año 2011, en vista de que Venezuela no cuenta con estadísticas actualizadas sobre población.



Con este insumo (la Pm como denominador) y tomando en cuenta la cuantificación de las MVam (numerador) para la entidad, municipios y ámbitos, tal como se enunció en un párrafo precedente, se procedió a calcular las tasas respectivas multiplicadas por una constante (100.000). Los valores resultantes se interpretan como tantas muertes violentas de mujeres por cada 100.000 habitantes del mismo sexo para la entidad, municipios y ámbitos. Una vez obtenidos los resultados correspondientes, fue necesario dividir el valor obtenido entre el número de años en estudio (20 años) para obtener la tasa histórica promedio anual.

**OVV Mérida, INAMUJER Mérida y TSJ Mérida:** El tratamiento de estas bases de datos consistió en la organización de la información para cuantificar el porcentaje de casos de violencia contra la mujer durante el lapso observado según cada institución. Para ello se dividió el número de casos de violencia contra la mujer identificados cada año entre el total de casos para todo el período, cuyo resultado se multiplicó por 100. También se estimó el porcentaje de casos de violencia contra la mujer registrados en el período analizado según cada variable estudiada: municipio de ocurrencia, forma de violencia, edad, parentesco víctima- victimario para el OVV Mérida; municipio de ocurrencia, forma de violencia y edad para el INAMUJER Mérida; y municipio de ocurrencia, forma de violencia, edad del victimario, estado civil del victimario y ocupación del victimario en el caso del TSJ Mérida.

**Etapas 5.** Entrevistas semiestructuradas: La recolección de información en campo se llevó a cabo a través de entrevistas semiestructuradas usando como instrumento una guía de entrevista diseñada específicamente para la investigación, como complemento fundamental para comprender de forma más holística los resultados cuantitativos obtenidos en el estudio. Se realizaron cinco entrevistas que fueron aplicadas a: una politóloga, una psicóloga, una abogada, una médico psiquiatra y a una activista de la Comisión de la Mujer de la Universidad de Los Andes y tesista de la carrera de Criminología-ULA. Una vez levantadas las entrevistas, la información obtenida fue transcrita y organizada para posteriormente proceder a interpretar las narrativas que nutrieran la investigación.

## RESULTADOS Y DISCUSIÓN

**Consideraciones sobre la calidad de la información:** La información de CORPOSALUD Mérida está vaciada en una base de datos muy bien organizada en función de la estructura del certificado de defunción que se emite en Venezuela. Igualmente muestra una buena cobertura en las variables consideradas. Por ejemplo, en cuanto a la causa de muerte, municipio de ocurrencia y edad se contó con 100% de los datos, y en el estado civil, nivel educativo, ocupación y sitio de muerte con: 87,6; 78,7; 73,3 y 92,6%, respectivamente. Su mayor debilidad es la aparición de un posible subregistro de casos de muertes violentas vinculado con el incremento fluctuante de muertes de intención no determinada (MIND), valor que alcanza los 373 casos entre el 2001 y 2020. Los resultados indican que se pasó de 10 probables MIND (2001) a 59 muertes (2018), es decir, que en un lapso de 18 años los casos aumentaron 5,9 veces en comparación al valor inicial. Hay que destacar que a partir del año 2013 se observa un aumento casi sostenido en el número de MIND. Sin embargo, luego del 2018 el indicador muestra un comportamiento descendente en el número de casos, 40 en el 2019 y 24 en el 2020.

Es oportuno señalar que de acuerdo a la clasificación de la CIE-10, este grupo de las MIND está conformado por las categorías de agresiones, lesiones autoinfligidas y accidentes, donde se relaciona a la categoría de agresiones con el delito de homicidio, y cierto número de casos dentro de estos últimos con el femicidio. Entonces, siendo este delito un tipo de homicidio, es muy probable que dentro del grupo de las agresiones -tanto las comprobadas como tal y dentro de las de intención

no determinada- se encuentren registrados casos que respondan a dicha forma de violencia; sin embargo, por no ser una base de datos que registre estos hechos bajo criterios policiales-delictivos sino bajo la óptica de registros vitales y de salud, no se puede llegar a conocer con certeza cuáles de esos casos de agresiones se corresponden con femicidios, siendo esto otra limitante. Ahora bien, aun cuando se desconocen las razones del aumento de las MIND, a continuación, se exponen algunos posibles factores explicativos:

[...] precario funcionamiento de los Institutos de Medicina Legal o Morgue Judicial; inexistencia de estas instituciones en algunas jurisdicciones; médicos legistas que informan solo la lesión sin mención de la circunstancia que provocó el óbito (que permitiría identificar la intencionalidad); deficiencia en la formación médica y técnico-administrativa para el correcto llenado de los registros de óbito; poca consciencia sobre la importancia de la información y del llenado correcto de los registros estadísticos; supuesto compromiso para el médico legista cuando asigna una circunstancia que podría potencialmente relacionarse con la causa jurídica del óbito (aunque se encuentre protegido por el secreto estadístico); omisiones de hospitales y comisarias que no completan correctamente los instrumentos correspondientes, entre otros factores (Alazraqui et al., 2012, p. 3285).

Con relación a los casos conocidos por la sociedad a través de la información documentada por el OVV Mérida, se tiene que es una base de datos estructurada en función de información anual de casos de violencia contra la mujer reseñados por los periodistas en los medios de comunicación. Aun cuando no es una fuente convencional para estudiar estos temas, es una manera indirecta que permite abordar el problema de interés, en ausencia de estadísticas oficiales públicas actualizadas. Una de sus debilidades es el vacío de información por ausencia de la misma en ciertas variables -por no ser reportadas por los periodistas en las noticias-, influyendo en su cobertura. En esta base de datos, dos de las variables (municipio de ocurrencia y forma de violencia) tienen 100% de cobertura mientras que las dos restantes (edad y parentesco víctima-victimario) cuentan con 73,2% y 73,7%, respectivamente. Otra debilidad es la veracidad de la información suministrada por los informantes de los cuales depende la noticia (policías, testigos, familiares, periodistas, entre otros) y de los criterios que se empleen al momento de publicar la misma. Finalmente existe la aparición de un subregistro de hechos de violencia contra la mujer que se constituye por aquellos casos que, al no ser reseñados por los medios de comunicación, no llegan a ser conocidos por la sociedad.

En lo que respecta a los registros de INAMUJER, la cobertura de la variable forma de violencia presentó el 100% pero, municipio de ocurrencia y edad, apenas superaron el 50%, no obstante, no fueron desestimadas a efectos de ser trianguladas con las otras fuentes de datos en relación a estas variables. Lo anterior tiene que ver con un deficiente registro de la información, debido a la posible heterogeneidad de criterios al registrar la información o a los vacíos de información (de forma intencional o no) generados al cargar los casos en el sistema informático del organismo. Por otro lado, se cuenta solo con 7 meses de registro del segundo semestre del año 2022 y 5 meses del año 2023, es decir, que los años observados no son años calendario completos, lo que condujo a analizar la información de 12 meses de registro, pero repartidos en ambos años. Esto genera otra debilidad en la base de datos que está referida al poco tiempo de registro, lo cual puede llevar a que los patrones visualizados sean menos confiables en comparación con bases de datos que contemplen un mayor tiempo de registro estadístico.

Un subregistro importante que se deriva de esta base de datos es el número de mujeres que no se atreven a denunciar y por tal motivo sus casos no son registrados, de acuerdo a Ferrer y Bosch (2016), esta situación podría deberse a:

Las dificultades para identificar la violencia padecida, y/o para identificarse a sí mismas como mujeres maltratadas y, por tanto, para valorar de modo real el peligro potencial. Las estrategias (pasivas) para afrontar la violencia padecida. Las creencias erróneas sobre las posibles soluciones al maltrato. El miedo al maltratador, al proceso judicial y/o a las consecuencias de la denuncia. La adherencia emocional al maltratador. Las dificultades materiales y económicas. La tolerancia y el clima de aceptación social hacia la violencia contra las mujeres. Los sentimientos de vergüenza o culpa (p. 258).

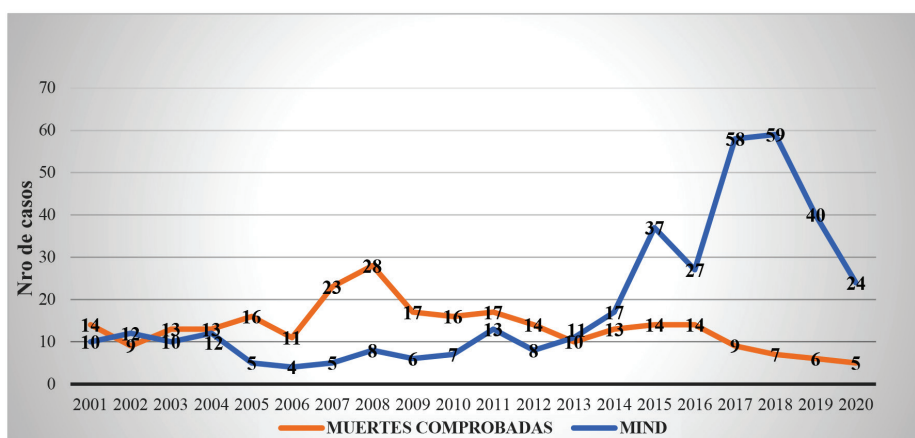
La información proveniente de los expedientes del TSJ fue construida con información sobre victimarios, la cual es de fácil acceso por la página web correspondiente de esta institución gubernamental. Su mayor debilidad es la generación de un subregistro derivado, por una parte, del número de mujeres que no se atreven a denunciar a sus agresores, y por otra, como consecuencia de que no todos los casos de violencia llegan a ser cargados en dicha página por los distintos jueces encargados de la materia, así como también, en muchos de los expedientes no aparece la información del victi-mario o se omite parte de la misma, motivos que influyen en que la cobertura de la información no sea buena, a pesar de ello, la cobertura de las variables seleccionadas es mayor al 75%. Las variables, forma de violencia y estado civil presentaron un 100% de cobertura y municipio de ocurrencia, edad y ocupación presentaron 95,8; 99,6 y 97,9%, respectivamente.

## RESULTADOS CUANTITATIVOS

### 1. El panorama por medio de las cifras de CORPOSALUD Mérida

**Fluctuaciones temporales de las muertes violentas de mujeres por agresión en el estado Mérida:** En la figura 1 se aprecia el número de casos de MVma y de MIND registradas por año en el estado Mérida para el período 2001-2020.

**Figura 1**  
Comportamiento temporal del número de muertes violentas de mujeres por agresión y de MIND, estado Mérida, período 2001-2020



Fuente: elaboración propia con base en datos de CORPOSALUD Mérida, 2001-2020.

De un total de 269 MVma registradas en el período, el resultado más alto del indicador se ubicó en el año 2008 (con 28, lo que equivale a 10,4% de todos los casos registrados). Luego, durante 2008-2013, se nota una tendencia a la caída fluctuante de los casos pasando de 28 a 10. A partir del 2013 hasta el 2016 se incrementan los sucesos en menor medida que años anteriores (de 10 a 14), y después de 2016 es cuando comienza un aparente descenso importante en el valor del indicador hasta posicionarse por debajo de 10 casos. En un lapso de 12 años de registro estadístico (2008-2020) los casos en apariencia disminuyeron 5,6 veces en parangón con el valor inicial.

Dicha disminución de las muertes violentas hay que tomarla con cautela, esto debido a que las MIND experimentaron un incremento importante en todo el período y una escalada muy marcada a partir del año 2013, por lo tanto, es probable que existan en la categoría mencionada, casos “ocultos” de muertes violentas de mujeres por agresión (homicidios) y por ende de probables femicidios. De forma general, la situación anterior indica que es muy posible que la violencia no disminuyó, particularmente en términos de muertes violentas de mujeres por agresión, sino que probablemente la tendencia fue al alza del número de casos registrados.

Tomando los valores absolutos y a partir de algunos estudios realizados por Carcedo y Sagot (2000), Carcedo y Ordóñez (2010) y Vásquez (2015), se pudo estimar de forma indirecta un valor promedio para tratar de aproximarse a cuántas de esas muertes violentas registradas de mujeres por agresión pudiesen tratarse de femicidios; dicho valor se ubica entre 60 y 90%. A tal efecto, para el total de 269 MVma registradas en el estado Mérida entre el 2001 y el 2020, bajo esos valores estimados, podrían haber acontecido entre 161 y 242 femicidios, lo que en otras cifras se traduce aproximadamente en 8 y 12 femicidios al año.

**Configuración espacial de las muertes violentas de mujeres por agresión en la entidad y sus municipios:** Se estimó una tasa histórica promedio para el estado de 3,0 MVma por cada 100.000 habitantes del mismo sexo. Luego, se estimaron los indicadores para los municipios; no obstante, es necesario advertir que, de acuerdo a Anderson et al. (2004), las tasas que se estimen cuyos valores en su numerador sean inferiores a 20 van a presentar inestabilidad debido a que arrojan valores elevados que no reflejan la realidad del fenómeno que se está analizando. De allí que, del total de municipios merideños (23), solo Alberto Adriani y Libertador presentaron tasas estables debido a que estas fueron estimadas a partir de valores superiores a 20 (62 y 105 casos de MVma, respectivamente), y se resalta que los mismos presentan tasas superiores a la del estado Mérida, con valores de 4,4 y 4,0 MVma por cada 100.000 habitantes del mismo sexo.

Hay que destacar que en estos dos municipios se concentra alrededor del 44% de la población del estado Mérida, hecho que es un factor que incide en la probable mayor concentración del número de casos de muertes violentas en estos territorios. Según Carrión (2008) “debido a la densidad y al tamaño de la aglomeración, existe una tendencia hacia la concentración de los eventos violentos” (p. 117), en otras palabras, en la medida que un territorio cuente con más población, mayor será la probabilidad que de acontezcan casos de muertes violentas de mujeres por agresión, por supuesto, bajo diferentes contextos sociales, familiares e individuales que los impulsen.

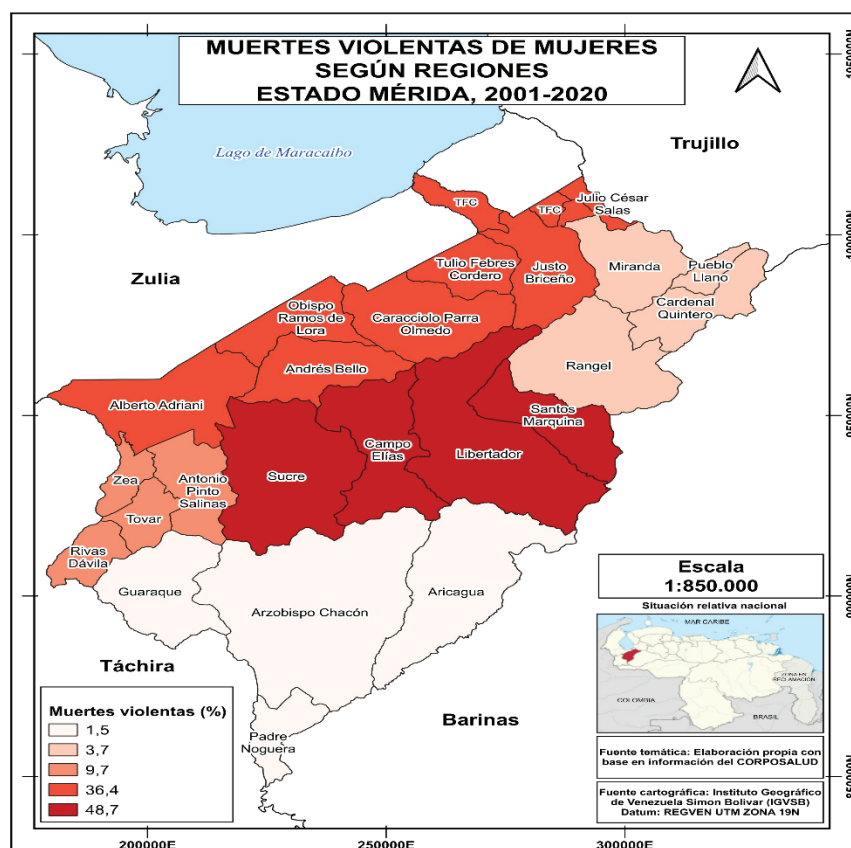
Por otra parte, los municipios con tasas inestables fueron analizados a partir de sus valores absolutos, que es lo más recomendable. Tulio Febres Cordero, Tovar, Campo Elías y Sucre, fueron las entidades municipales donde se registraron más casos (entre 11 y 13) de muertes violentas de mujeres por agresión (durante 2001-2020), luego le siguen Obispo Ramos de Lora y Caracciolo Parra Olmedo con 10 y 7 casos registrados. Conviene destacar que municipios como Febres Cordero, Ramos de Lora

y Parra Olmedo, que, no siendo urbanos, ni superando los 35.000 habitantes, pueden ser catalogados como violentos por el número de sucesos documentados en estos territorios y su relativa baja población. El resto de los municipios exhiben valores menos significativos de muertes violentas (entre 1 y 6).

**Las diferencias a lo interno de la entidad según regiones<sup>1</sup>:** Se obtuvo que la región Metropolitana concentró el mayor número de muertes violentas de mujeres por agresión representando un 48,7% del total de casos (figura 2), le sigue la Panamericana con 36,4% y la región del Mocotíes con 9,7%. Con valores más bajos, pero no menos importantes se encuentra la región del Páramo y Pueblos del Sur que representan el 3,7 y 1,5% de los casos, respectivamente. Así, son estas dos últimas regiones las que indican ser las menos violentas de la entidad merideña. En ellas se concentra menos del 11% de la población de la entidad, mientras que en suma las dos primeras aglutinan 85,1%.

Figura 2

Muertes violentas de mujeres por agresión según regiones del estado Mérida, período 2001-2020



<sup>1</sup>En el estado Mérida se identifican 5 regiones geográficas: Área Metropolitana de Mérida (conformada por los municipios Campo Elías, Libertador [donde se asienta la ciudad de Mérida, capital de la entidad], Santos Marquina y Sucre); zona Panamericana (municipios Alberto Adriani, Andrés Bello, Caracciolo Parra Olmedo, Julio César Salas, Justo Briceño, Obispo Ramos de Lora y Tulio Febres Cordero); zona del Valle del Mocotíes (municipios Antonio Pinto Salinas, Rivas Dávila, Tovar y Zea); zona del Páramo (municipios Cardenal Quintero, Miranda, Pueblo Llano y Rangel); zona de los Pueblos del Sur (municipios Aricagua, Arzobispo Chacón, Guaraque y Padre Noguera).



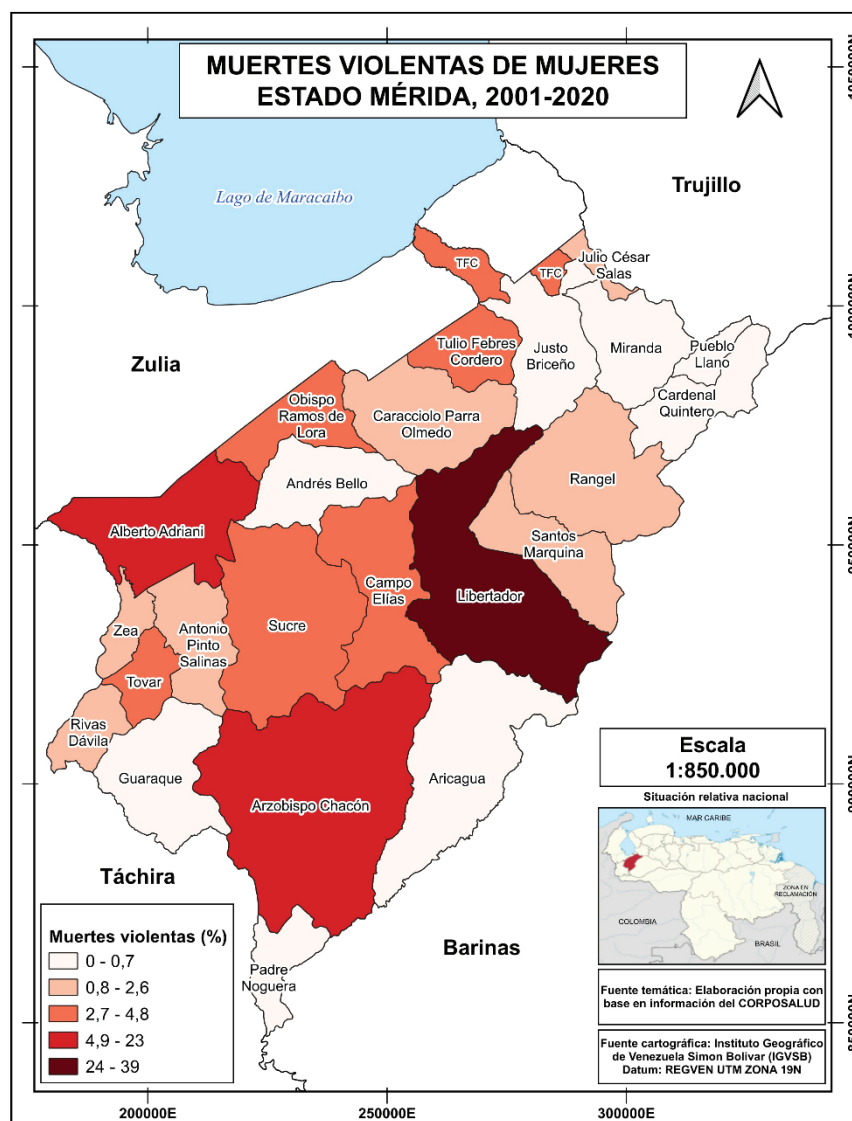
**La dicotomía urbano-rural:** Durante el período estudiado, en el ámbito urbano se registraron 205 MVma, lo que arroja que están representados por una tasa de 3,2 fallecimientos por cada 100.000 habitantes del mismo sexo, siendo 6,6% veces superior a la tasa de la entidad. Por su parte, en el ámbito rural se identificaron 64 casos que arrojaron una tasa de 2,6 MVma por cada 100.000 habitantes del mismo sexo. Es importante resaltar que el número de casos registrados en los municipios urbanos es 3,2 veces superior al de los rurales, mientras que el valor de las tasas no se aleja tanto entre un ámbito y otro; esto indica que aun cuando en los primeros hay un mayor número de habitantes y por ende mayor probabilidad de que ocurran casos por la realidad social de la ciudad, también se puede afirmar que en los segundos, acontece un número importante y frecuente de casos de violencia contra la mujer pese a que tienen significativamente menos habitantes.

Los resultados obtenidos en este aspecto muestran que hay una diferenciación clara entre la violencia de la ciudad y la violencia del campo. Se plantea que el primer factor explicativo está relacionado con el tamaño poblacional; los municipios que conforman el ámbito urbano representan aproximadamente el 74% de la población del estado y por ende aglutinan 76,2% de las MVma registradas en la entidad para el período estudiado. De acuerdo a Barja et al. (2022) “Las zonas urbanas pueden ser más alienables, estresantes y agobiantes, favoreciendo la brecha de género y la consolidación de un tipo de violencia silenciosa” (p. 8). En la ruralidad, “la violencia está relacionada a aspectos culturales y generacionales y a las heterogeneidades de género, lo que lleva a la naturalización de la violencia” (Bervian et al., 2019, p. 148), donde además predomina el machismo y la dominación masculina, que se traduce en un papel de superioridad para el hombre y de sumisión para la mujer, y lleva a que muchas mujeres rurales acaben no reconociendo lo que es violencia. Se plantea además que, a diferencia de la ciudad, el distanciamiento geográfico en el campo, dificulta la búsqueda de ayuda para la ruptura de las situaciones de violencia o para denunciar a sus agresores. Si no se denuncia, el caso no se va a reflejar en las estadísticas, lo que permite inferir que en el ámbito rural la violencia puede ser mayor de lo que muestran sus cifras específicas.

**Mortalidad diferencial:** Es notorio que el mayor número de MVma tuvo lugar en los municipios urbanos de la entidad durante el período analizado (figura 3), siendo Libertador y Alberto Adriani los que tuvieron los mayores porcentajes (39,0% y 23,0%), luego sigue un municipio rural (Tulio Febres Cordero) con 4,8% y tres municipios urbanos (Tovar, Campo Elías y Sucre) con 4,5%, 4,1% y 4,1%, respectivamente. En el caso contrario, los municipios rurales, a excepción de Justo Briceño y Padre Noguera donde aparentemente no ocurrieron MVma, el porcentaje acumulado de casos fue de 20,4%. En relación a la edad, el mayor número de casos de MVma se concentró entre los 15 y 44 años, y la menor cantidad de casos corresponde entre los 80 y 99 años. Este hallazgo concuerda con lo expuesto por la CEPAL (2023), institución que afirma que en América Latina “más del 70% de las víctimas de femicidio tenían entre 15 y 44 años” (p.5).

Desde el ángulo del estado civil, son las mujeres solteras con un 63,6% las más vulneradas, le siguen las casadas (13,6%) y luego las unidas (5,4%). En menor medida las categorías: viuda, divorciada e ignorados presentaron porcentajes de 2,3; 2,7 y 12,4% respectivamente. En concordancia con Safranoff (2017) “La evidencia parece indicar que las mujeres en uniones informales (noviazgo) sufren mayores niveles de violencia por parte de sus parejas que las mujeres casadas, de forma que el matrimonio actúa como un factor protector” (p. 615). Esto sucede porque posiblemente en relaciones “menos formales” se exhiben comportamientos menos estables que pueden desencadenar escenarios de violencia.

**Figura 3**  
Muertes violentas de mujeres según municipios del estado Mérida, período 2001-2020



En lo educativo, el mayor porcentaje de MVma (36,0%) corresponde a víctimas con un nivel medio de educación, le sigue el básico (30,6%) y finalmente el superior (6,6%). Las categorías: preescolar, ninguno e ignorados agrupan 26,7%. Estos resultados podrían correlacionarse con el estado civil, donde es muy probable que las mujeres solteras estén conectadas con niveles educativos bajos. De acuerdo al Instituto Nacional de las Mujeres de México (INMUJERES, 2008), “el acceso a mayores grados de instrucción disminuye en las mujeres las probabilidades de ser víctimas de violencia” (p.12), sin embargo, no las exime de ser violentadas. Lo que sí es cierto es que las mujeres que poseen niveles más altos de instrucción tienen más herramientas para identificar la violencia, resolver conflictos o denunciar.

Al analizar la ocupación, el mayor porcentaje de las víctimas eran las ocupaciones ‘estudiantes’ y ‘comerciantes’ con 45,3% y 15,5%, respectivamente. Estos resultados son congruentes con los obtenidos para el nivel educativo, pues la tendencia es a que los estudiantes y los comerciantes se

encuentren en las categorías de básico, medio o superior. Safranoff (2017) afirma que la mujer cuando trabaja para recibir un sueldo [y diferentes beneficios laborales que mejoran su calidad de vida e independencia económica] tiene menor probabilidad de ser victimizada en la medida en que resulta menos dependiente de su pareja. Otras categorías como agricultora, ama de casa, transportista, profesional, obrera, varios e ignorados agrupan un 39,1%.

Finalmente, se presentan los resultados del sitio de muerte. El mayor porcentaje de MVma se registró en la vía pública con 34,5% y lo siguen la casa (31,0%), el hospital (21,3%) y el trabajo (5,8%). En estos hallazgos la vía pública fue el lugar donde acontecieron el mayor número de sucesos durante el lapso observado, de allí que se puede traer a colación lo expuesto por García y Valenzuela (2024), los cuales afirman que las características de un espacio propician la ocurrencia de hechos delictivos. Terrenos baldíos, edificios abandonados o en construcción, paradas de autobús, calles con poco alumbrado, parques públicos, son escenarios perfectos donde una mujer puede ser agredida. Es posible que la existencia de algunos de estos lugares esté presente en ciertos espacios del estado Mérida, sobre todo en los municipios urbanos.

El hecho de que la muerte haya ocurrido en la casa es un indicativo de que la misma pueda constituirse en un probable femicidio, donde posiblemente el delito fue perpetrado por alguien cercano a la víctima. En el caso del hospital como sitio de muerte, conviene destacar que la agresión seguramente no ocurrió en ese sitio, si no que aconteció en la casa, en la vía pública o en el trabajo de la agredida, siendo la víctima trasladada y aún con vida (gravemente herida), a un centro médico donde pasado un tiempo falleció. A razón de esto, las muertes registradas en esta categoría pueden corresponder realmente a otras categorías, incluso a la de ignorados cuyo porcentaje fue de 7,4%.

**2. Casos conocidos por la sociedad registrados por el OVV Mérida:** Para el período estudiado fueron reseñados por los medios de comunicación 179 casos de violencia contra la mujer. Es notorio que del año 2020 al 2022 hubo un aumento en el número de reportes, pasando de 42 casos en el año 2020 a 51 en 2022, representando un aumento del 6%. Luego, en 2023, hubo un descenso en el número de hechos reseñados al comparar con el año anterior, reportándose 43 casos. Desde años anteriores ya se venía observando un aumento sostenido de la violencia contra la mujer, pero los efectos de la pandemia COVID-19 exacerbaron este flagelo, “Si bien la pandemia del COVID-19 ha afectado a todas las personas alrededor del mundo, genera impactos diferenciados sobre diversos sectores de la población en situación de vulnerabilidad, haciendo más evidente las desigualdades existentes” (Comisión Nacional de los Derechos Humanos [CNDH], 2020, p. 8).

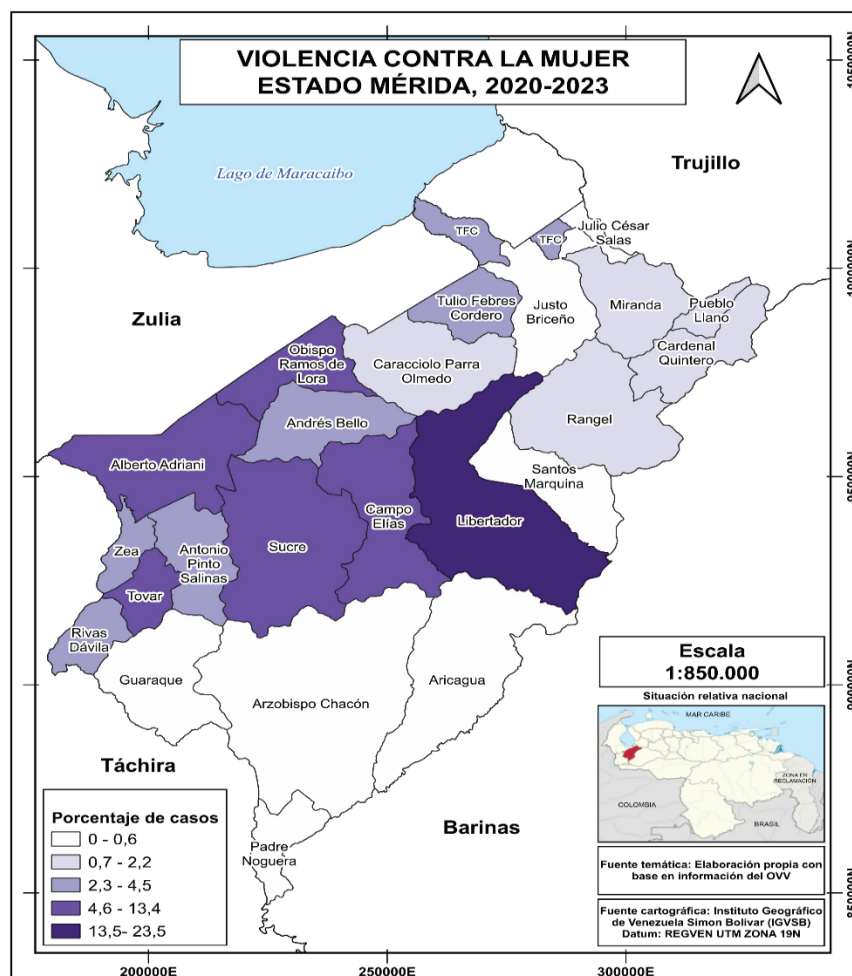
A nivel de municipios, Libertador, Alberto Adriani y Campo Elías fueron los que alcanzaron los porcentajes más altos del estado para el período analizado (23,5; 13,4 y 10,6%, respectivamente) (figura 4). Al igual que en los resultados de CORPOSALUD Mérida, los dos primeros municipios aludidos apuntan a ser los más violentos de la entidad. De acuerdo al OVV Mérida (2023a), aproximadamente siete de cada 10 delitos ocurren en municipios urbanos y puede deberse al hecho de que alrededor del 70% de la población del estado reside en áreas urbanas, lo que amplía la probabilidad de que ahí ocurra una mayor cantidad de hechos delictivos de diversa índole. A pesar de ello, municipios rurales de la zona Panamericana (Obispo Ramos de Lora y Tulio Febres Cordero) y la zona del Mocotíes (Rivas Dávila y Zea) no se quedan atrás al presentar 8,9, 4,5, 3,9 y 3,9% de los casos, respectivamente.

Las formas de violencia con mayor porcentaje de casos fueron: la violencia sexual (que incluye los actos lascivos y las violaciones) y la violencia física, juntas concentran un 79,3% del total de los

casos reportados. Según el OVV Mérida (2022), los delitos que en los últimos años han aportado más al aumento de la violencia contra las mujeres en la entidad son: La agresión física y la violación sexual. Otras formas de violencia como el femicidio, la amenaza, el acoso sexual, el femicidio frustrado y el acoso u hostigamiento agruparon un 20,7% de los casos.

En relación a la edad, el mayor número de casos corresponde a las adolescentes (12-17 años), luego le siguen las niñas (0-11 años) y las adultas (30-64 años). De acuerdo a los resultados, estos son los grupos de edad más vulnerables, ubicándose en términos de porcentaje en 21,2; 19,0 y 16,2%, es decir que el 40,2% de las víctimas eran menores de edad.

**Figura 4**  
Distribución geográfica de casos de violencia contra la mujer según el OVV Mérida, período 2020-2023



Otro dato alarmante es que los perpetradores de la violencia tienden a compartir una relación afectiva cercana o consanguínea con las víctimas. La pareja o expareja es el principal agresor con 27,9%, le siguen los familiares con 14% y los conocidos con 12,8%. El porcentaje restante corresponde a padre o padrastro con 7,3%, personas desconocidas con 7,3%, vecinos con 4,5% e ignorados con 26,3%. Estos resultados muestran que la violencia se puede encontrar no solo en el contexto familiar sino también en el social o el laboral, el OVV Mérida

(2023b), expone que desde el 2021 el papel principal de agresor lo tienen los familiares y conocidos de las víctimas llegando incluso a desplazar a los delincuentes comunes.

**3. Los datos reducidos de INAMUJER Mérida:** En un período de registro de 12 meses continuos, aunque repartidos en dos años de igual forma consecutivos, INAMUJER registró 200 casos de violencia contra la mujer, 143 en el año 2022 y 57 en 2023. En los municipios Libertador, Alberto Adriani y Cardenal Quintero ocurrió la mayor cantidad de casos de toda la entidad merideña con 46, 19 y 10 casos, de igual modo, se traducen en 43; 17,8 y 9,3%, respectivamente (con base en 107 casos debido a que 93 son de la categoría ignorados). Así como en los resultados de CORPOSALUD y del OVV, son los municipios Libertador y Alberto Adriani (los más poblados de la entidad) los que agrupan el mayor número de casos de violencia contra la mujer en la entidad.

Las formas de violencia predominantes fueron la psicológica (44,0%), física (21,0%), amenaza (16,5%) y el acoso u hostigamiento (11,0%) que representan 92,5% del total de las categorías analizadas. El 7,5% restante, corresponde a las formas de violencia familiar, patrimonial y económica, sexual, laboral, acoso sexual, femicidio, informática y mediática, cuya ocurrencia en el período estudiado no supera los 15 casos. Las mencionadas tipologías de violencia fueron propiciadas en mayor medida en mujeres cuyas edades se ubican entre los 20 y 44 años con un total de 69 casos. Resultados que concuerdan con los hallados en estudios como el de INMUJERES (2008), Safranoff (2017) y Arguello (2023) así como con los grupos de edad más vulnerables en las muertes violentas de mujeres registradas por CORPOSALUD.

La Red de Mujeres Constructoras de Paz (2023), expone que son las mujeres jóvenes y en edad reproductiva las más vulnerables a sufrir violencia de género. Otras investigaciones como la de Puente et al. (2016, como se citó en Arguello 2023) afirman que “las mujeres con menos de 34 años son más propensas a ser víctimas de violencia de pareja” (p. 9), pero sin duda las mujeres con más edad no están exentas de sufrir en algún momento de su vida algún tipo de violencia. A excepción del grupo de 70 a 79 años, todos los demás hasta el de 80-84 años registraron casos de violencia.

**4. Los expedientes limitados del TSJ:** Para el período observado, se identificaron un total de 228 victimarios a través de los expedientes del TSJ Mérida a los que se tuvo acceso. De esa globalidad, 181 victimarios residían en municipios urbanos, representando un 79,4%, y el restante (47 victimarios) vivían en municipios rurales agrupando el 20,6%. De manera que se tienen 3,8 veces más victimarios en el ámbito urbano que en el rural.

Estos victimarios perpetraron en la mayoría de los casos violencia física, violencia psicológica, amenaza, violencia sexual y acoso u hostigamiento con 117, 90, 49, 41 y 31 casos que responden a 34,5; 26,5; 14,5; 12,1 y 9,1%, respectivamente, resultados que coinciden con los obtenidos con las cifras de INAMUJER donde la violencia física, psicológica y la amenaza son las más predominantes. En menor medida, también se dieron casos de acoso sexual, violencia patrimonial y económica, informática y femicidio, agrupando 13 casos (3,9%) en el período analizado.

Con respecto a la edad de los victimarios, solo 3 casos fueron perpetrados por adolescentes entre 15 y 19 años, 216 por adultos (20-64 años) y 12 casos fueron cometidos por adultos mayores (65-79 años). Los rangos de edad con porcentajes más altos de la serie –es decir en los adultos– de acuerdo con la Oficina Nacional de Estadísticas (ONE, 2014), “coinciden con la etapa del desarrollo psicosocial (adultez y población económicamente activa), donde los hombres manejan



más recursos con los cuales hacen posibles las relaciones desiguales (fuerza física, aislamiento de las mujeres, sometimiento económico)” (p.60). Asimismo, de acuerdo a la Comisión Nacional de los Derechos Humanos de México (2020), “Un mayor porcentaje de varones jóvenes y con bajos niveles de escolaridad ejercieron violencia contra sus parejas, sin embargo, éste constituye también un fenómeno recurrente entre los hombres de edades más maduras y con elevados niveles de instrucción” (p.15).

Sobre el estado civil del victimario, en un 88,2% de los casos responde a la categoría soltero, le siguen casado (7,6%), divorciado (2,5%) y viudo (1,7%). Al igual que para las víctimas la condición de soltería en la mayoría de los casos puede generar inestabilidad en muchos aspectos de las relaciones afectivas propiciando escenarios de violencia. La ONE (2014) indica que se ha demostrado que “la violencia inicia desde antes del matrimonio o de la unión” (p.61).

Finalmente, las ocupaciones más comunes de los victimarios fueron: Comerciante (21,4%), agricultor (19,3%) y profesional (12,6%), el resto de las ocupaciones como obrero, constructor, oficios varios, mecánico, no trabaja, varios e ignorados agrupan un 45,4% y por último los victimarios sin ocupación se ubican en 1,3%. Aunque la categoría Profesional ocupa el tercer lugar de la serie, vale la pena agregar que según la ONE (2014) “a mayor nivel educativo, un hombre con mentalidad abusiva tiene más recursos para justificarla y por tanto reflejarla de diferentes formas” (p. 61).

## RESULTADOS CUALITATIVOS

**La violencia contra la mujer desde la perspectiva profesional:** En el cuadro 1 se exhibe una síntesis de los resultados derivados de las entrevistas realizadas. En términos generales, y entre los aspectos que más destacan, se conoció que para los profesionales entrevistados, los municipios urbanos son los que aglutinan el mayor número de casos de violencia contra la mujer; no obstante, sostienen que en los municipios rurales puede existir más violencia de la que se refleja en las estadísticas, pero que no se registra, bien sea porque las mujeres no denuncian, o porque no son reseñados los casos por ningún medio de comunicación a razón de lo lejos que están esas comunidades de los órganos receptores de denuncia. Esto puede reforzar la explicación de las diferencias espaciales encontradas en los resultados cuantitativos de CORPOSALUD, OVV e INAMUJER. A pesar de ello, no hay que olvidar que, a mayor población en un área, y bajo ciertas condiciones sociales, es lógico esperar una mayor probabilidad de ocurrencia de casos de violencia contra la mujer.

En cuanto a la edad, según los entrevistados, entre los 15 y 35 años aproximadamente las mujeres son más propensas a sufrir violencia. Este rango se corresponde con las edades reproductivas y laborales lo que genera una condición de mayor vulnerabilidad. Además, concuerda casi plenamente con los resultados obtenidos en las bases de datos de CORPOSALUD, OVV e INAMUJER.

**Cuadro 1**  
 Síntesis de los resultados derivados de las entrevistas semiestructuradas

		ASPECTOS					
Entrevistada	Edad	Estado Civil, Nivel de Instrucción y Ocupación	Parentesco	¿Aumentó la violencia c ontra la mujer?	COVID-19	Ámbitos Geográficos	Perfil del victimario
<b>María Gabriela Grau (Psicóloga)</b>	Hay dos rangos etarios donde las mujeres son más vulnerables: Uno de 15 a 35 años y otro a partir de los 50	Todas las mujeres son vulnerables independientemente del estado civil, el nivel educativo o la ocupación	En la mayoría de los casos, hay un vínculo consanguíneo entre la víctima y el victimario.	Más que hablar de un aumento de la violencia, existe es mayor visibilización de los casos	El COVID-19 definitivamente exacerbó la violencia contra la mujer.	En los municipios rurales hay un alto consumo de alcohol y una cultura machista que genera violencias fuertes. La lejanía limita a que la mujer denuncie a su agresor	Los hombres mayores, con mayor nivel educativo y una mayor estabilidad económica propician violencias más silenciosas. El victimario es más astuto en la forma como propicia el maltrato
<b>Diana Hernández (Activista)</b>	El rango más vulnerable para la mujer sobre todo al hablar de femicidios es entre los 19 y 35 años	Las mujeres son más vulnerables en relaciones informales; un alto nivel de instrucción aumenta las capacidades de la mujer para denunciar; la ocupación y retribución económica hace a la mujer más independiente reduciendo la probabilidad de ser agredida	Generalmente los victimarios tienen una relación cercana con las víctimas	En los últimos años sí ha habido un aumento de la violencia contra la mujer	El confinamiento generó tensiones y aumentó la violencia contra la mujer	La densidad poblacional influye, pero es un tema más de la denuncia, así que pudiera existir más violencia en el ámbito rural que en el urbano	El rango de edad es similar al de la mujer, pero los adultos mayores tienden a propiciar violencia sexual en mujeres jóvenes.

Cuadro 1. Continuación

ASPECTOS							
Entrevistada	Edad	Estado Civil, Nivel de Instrucción y Ocupación	Parentesco	¿Aumentó la violencia contra la mujer?	COVID-19	Ámbitos Geográficos	Perfil del victimario
<b>Abogada</b> (Por confidencialidad, la entrevistada no suministró su nombre y apellido)	A cualquier edad, la mujer puede ser víctima de violencia	La edad o nivel social y económico de las mujeres no condicionan la violencia, pero sí son factores que pueden influir en la decisión que tomen estas para denunciar	Existe relación cercana entre la víctima y el victimario; predominan las parejas o exparejas	Ha aumentado en los últimos años	Provocó un resquebrajamiento, sobre todo en los femicidios	La cultura machista de las áreas rurales impulsa la ocurrencia de hechos delictivos. En los municipios rurales existe una cifra negra debido a que el acceso a la denuncia es muy limitado	Las edades de los victimarios se relacionan con las formas de violencia. Los hombres solteros tienden a ser más violentos y las ocupaciones se relacionan con el nivel/tipo de violencia que ejercen los hombres
<b>Karol Moreno</b> (Politológica)	Entre 19 y 35 años las mujeres son más propensas a sufrir violencia	Estos factores sí influyen sobre la vulnerabilidad de las víctimas, grados de instrucción altos e independencia económica son factores protectores contra la violencia	En la mayoría de los casos la violencia es propiciada por la pareja o por algún familiar	En los últimos años la violencia contra la mujer ha venido en aumento	El confinamiento produjo en las relaciones un punto de quiebre	En valores absolutos, los municipios urbanos agrupan el mayor número de casos de violencia, hay menos normalización y mayor acceso a la denuncia que en los municipios rurales	El rango de edad de los hombres violentos se asemeja al de las mujeres víctimas, normalmente tienen entre 15 a 39 años
<b>Stefany Pinto</b> (Médico psiquiatra)	La violencia contra la mujer no distingue por edad, en todas las edades se puede estar en riesgo	La violencia no distingue por nivel de instrucción u ocupación, pero si las mujeres están más educadas pueden saber cómo actuar	En la mayoría de los casos la mujer participa en un vínculo afectivo o consanguíneo con el victimario	Por factores como la impunidad, la violencia contra la mujer ha aumentado	Generó estados de tensión y estrés permanente que propiciaron escenarios de violencia en el hogar	En los municipios urbanos es más visible la violencia, puede ser mayor en los rurales, pero no hay denuncia no existe registro del caso y es como si no hubiera existido	El consumo de alcohol y otras sustancias son los elementos que hacen más violentos a los hombres sin importar su edad, estado civil u ocupación

Los resultados cuantitativos de CORPOSALUD reflejan que son las mujeres solteras, con niveles de instrucción básico o medio, las estudiantes y comerciantes las más expuestas a la violencia, lo que concuerda con el aporte de las entrevistadas, las cuales afirman que en uniones como el noviazgo se dan escenarios más marcados de violencia y que a menores niveles de instrucción hay menor probabilidad de que las mujeres reconozcan sus derechos o que tengan la capacidad para denunciar a sus agresores. Por otro lado, hay relaciones de dependencia afectiva y económica más fuerte que en mujeres profesionales e independientes. Las consultadas también afirmaron que, en su mayoría, los agresores comparten un vínculo cercano con las víctimas, situación que se muestra estadísticamente en los resultados del OVV donde se evidencia que son las parejas y los familiares los que agrupan el mayor número de casos de violencia en todas sus formas. Finalmente, los victimarios están en edades entre los 20 y 59 años y son solteros en su mayoría. Al respecto las especialistas refieren que las edades del agresor estimulan la perpetuación de ciertos tipos de violencia, por ejemplo, violencia informática para hombres jóvenes y violencia sexual para adultos mayores. Y, desde otro ángulo, se han visto más casos en hombres solteros, en relaciones de noviazgo o informal ante la Ley.

## CONCLUSIONES

- El aumento desde el 2012 de las muertes de intención no determinada (MIND), indica que la disminución de las muertes violentas de mujeres por agresión es aparente, ya que en las MIND pueden encontrarse muertes comprobadas que además podrían ser posibles femicidios.
- Las regiones Metropolitana y Panamericana son las más violentas de la entidad meridiana, por el contrario, el Páramo y los Pueblos del Sur se mantienen como relativamente “menos violentas”, mientras que Mocotíes se posiciona en una situación intermedia.
- Los indicadores de violencia cuantificados (valores absolutos, porcentajes y tasas), revelaron que los municipios urbanos son los más violentos, resaltando principalmente Libertador y Alberto Adriani. Por su parte, los municipios Tulio Febres, Obispo Ramos de Lora y Caracciolo Parra Olmedo se consideran los más violentos del ámbito rural.
- Las diferencias de los patrones espaciales de la violencia contra la mujer, tanto a nivel de municipios, de regiones y de ámbitos geográficos (urbano-rural) pueden deberse principalmente a: la asimetría demográfica (tamaño poblacional), la diferencia en los estilos de vida y discrepancias culturales entre el campo y la ciudad, y a la poca concentración o ausencia de organismos receptores de denuncia.
- Las mujeres entre los 15 y 35 años, solteras, con nivel de instrucción medio y de ocupación estudiante son las más propensas a sufrir violencia en sus distintas formas.
- Tanto la casa de la víctima como la vía pública son lugares que se destacan como escenarios de riesgo para el sexo femenino.
- Las formas de violencia más comunes (excluyendo el femicidio) en el estado Mérida, en el período analizado fueron: psicológica, física, sexual y amenaza, en ese orden de importancia.
- Los victimarios tienen una relación cercana con las víctimas; en la mayoría de los casos son parejas, exparejas o familiares los que toman el papel de agresores.

- Entre los años 2022 y 2023, según la información disponible, las características identificadas más comunes de los victimarios fueron: hombres entre los 20 y 59 años de edad, solteros y de ocupación comerciante y agricultor.
- Finalmente, aun cuando la mayoría de los resultados cuantitativos coincidieron con los cualitativos, hay que destacar otros aspectos que surgieron de estos últimos que no salieron reflejados en los números: el confinamiento por la pandemia COVID-19 exacerbó la violencia contra la mujer; en los municipios rurales la cultura machista y el consumo de alcohol propician que los hombres sean más violentos; la normalización de la violencia en las áreas rurales limita la intención de las víctimas a denunciar a sus agresores; los hombres con mayor nivel económico propician violencias más silenciosas; los adultos mayores tienden a cometer violencia sexual en niñas y adolescentes; y los victimarios que trabajan en cuerpos policiales o trabajos afines son más propensos a ser violentos.

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## Asegurando la igualdad: un enfoque de género neutro para la Ley de Violencia Doméstica en India

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**Resumen.** La Ley de Protección de las Mujeres contra la Violencia Doméstica de 2005 (LPMVD), proporciona medidas legales para abordar la Violencia Doméstica (VD) en India. El objetivo de esta Ley es empoderar a las mujeres y garantizar la igualdad de género en India. Sin embargo, han surgido muchas preocupaciones respecto a denuncias falsas y la falta de atención al abuso doméstico que sufren los hombres. Los críticos han argumentado que las definiciones amplias de VD, que incluyen actos como “insultos” y “burlas”, tienden a interpretar disputas triviales como si fueran casos de VD. También se ha argumentado que la Ley se está utilizando para atacar a otras mujeres en las familias, incluyendo a las suegras y cuñadas. Las dificultades en la implementación de la legislación provienen de la insuficiencia de Oficiales de Protección y una falta de respuesta por parte de la policía, lo que lleva a investigaciones y documentaciones inadecuadas. Esto facilita acusaciones frívolas, fomentando la explotación de las disposiciones legales, perpetuando así disparidades de género e injusticias en los procesos legales. Es imperativo revisar las cláusulas de la Ley existente para mejorar su efectividad y mitigar el daño. Ignorar este asunto podría resultar en un aumento injustificado de los casos de violencia doméstica y sobrecargar el sistema judicial con casos que se desvían del objetivo legislativo.

**Palabras clave.** violencia doméstica, investigación, género, igualdad, justicia.

## Ensuring equality: a gender-neutral approach to Domestic Violence Law in India

**Abstract.** The Protection of Women from Domestic Violence Act, 2005 (PWDVA), provides legal measures to address Domestic Violence (DV) in India. To empower women and ensure gender equality in India is the aim of this Act. However, many concerns have come to light regarding false complaints and the failure to address the domestic abuse experienced by men. It has been argued by critics that the broad definitions of DV, which include acts like “insults” and “ridicule,” have a tendency to interpret trivial disputes being reported as DV. Critics have also argued that the Act is being utilized to target other women in the families, including mothers-in-law and sisters-in-law. Difficulties in implementing the legislation stem from insufficient numbers of Protection Officers and a lack of responsiveness from the police, leading to inadequate investigation and documentation. This facilitates frivolous allegations, encouraging the exploitation of the legal provisions, thereby perpetuating gender disparities and injustices in legal proceedings. It is imperative to revise the clauses of the existing Act to enhance its effectiveness and mitigate harm. Overlooking this matter may result in an unwarranted rise in the cases of domestic violence and overload the judicial system with cases that deviate from the legislative objective.

**Keywords.** domestic violence, investigation, gender, equality, justice.

### INTRODUCTION

The Protection of Women from Domestic Violence Act (‘Act’) was enacted to address the inefficiency and misapplication of existing laws pertaining to violence against women. The Act aims to empower female victims of DV by providing legal avenues for redress in civil and criminal contexts. It allows women to seek injunctions and protective orders and includes criminal provisions for non-compliance with orders (Goonesekere, S. 14). It seeks to uplift the status of women to ensure gender equality. However, concerns have been raised about the potential for false complaints and the lack of attention given to domestic abuse experienced by men. Organizations like ‘Save Indian Family Foundation’ report receiving complaints from men regarding harassment and violence by women. According to the 2004 National Family Health Survey<sup>1</sup> (NFHS), approximately 1.8%, or an estimated six million women, were reported to have engaged in unprovoked physical violence against their husbands. However, it is more common for men to experience threats and attacks from the male relatives of their wives rather than from their wives directly (Rajesh Vakharia n.d.). The misuse of DV laws by both victims and law enforcement has been acknowledged as the absence of gender equality (Ghosh, B., & Choudhuri, T. 323).

The broad definition of DV under the ‘Act’, which includes acts like “insults” and “ridicule,” has drawn criticism for lacking explicit definitions. Critics argue that these broad definitions may lead to the reporting of trivial domestic disputes as instances of DV. They also contend that the law infringes upon men’s right to equality, as only women can file complaints under the ‘Act’. This conservative advocacy portrays accused men and their female relatives as vulnerable groups victimized by DV laws. Ironically, the ‘Act’, intended to protect women, has been misused to victimize other women, particularly mothers-in-law and sisters-in-law. Weak enforcement of DV laws at an insti-

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<sup>1</sup> <https://rchiips.org/nfhs/pdf/nfhs4/india.pdf>

tutional level is observed, with widespread police apathy and corruption. This results in inadequate investigation and documentation, favouring wealthy or influential suspects while others evade prosecution through bribery (Kishwar, M. 42).

The Hon'ble Supreme Court of India, in the case of *Prabha Tyagi v. Kamlesh Devi*<sup>2</sup>, ruled that considering the Domestic Incident Report (DIR) before legal proceedings is not mandatory. The DIR becomes mandatory only if the aggrieved person approaches the Protection Officer; otherwise, it is not required. As per Section 2(e) of the Act, 2005, a DIR is required to be prepared by the Protection Officer in the prescribed format upon receiving a complaint of DV from the aggrieved person. Arrests under Section 498A of the Indian Penal Code can be made solely on the complaint of the woman, disregarding the requirement for a DIR, which can lead to prejudgment and arbitrary punishment without proper legal procedures.

The Men Welfare Trust (MWT), an organization advocating for men's welfare, has submitted a Letter/Petition to the Chief Justice of India and other judges. They urge them to take Suo-motu action to amend the judgment of *Prabha Tyagi v. Kamlesh Devi* in accordance with the current laws in India, namely the PWDVA, and Protection of Women from Domestic Violence Rules, 2006 (PWDVR) (2022 SCC Online SC 607). The purpose of this request is to protect the interests of families in the country and promote true gender equality.

In the petition, the MWT has provided reasons and legal references to support their plea, emphasizing that failure to take action may result in irreparable harm and an increase in cases of DV filed by lawyers. This could burden the Magistrate courts with cases that do not align with the existing legislative framework (Lakhani, A. 2022). The 'Act' is vulnerable to abuse, as it assumes the guilt of the accused solely based on the testimony of the woman alleging DV, even before the trial begins (Saxena, T. 64). The intervention of the Protection Officer is not mandatory in cases where the complainant approaches the Magistrate directly or through an advocate, compromising the effectiveness of the 'Act'.

## METHOD

The study applies the content analysis method for collecting data and conducting research. The primary sources which the authors have relied on, include the Constitution of India, the Protection of Women from Domestic Violence Act, 2005, and the Protection of Women from Domestic Violence Rules, 2006, while the secondary sources are legal journal articles, case precedents, and academic research papers. The study assesses the efficacy and misuse of the 'Act' based on relevant data. The objectives of the study can be summarised as follows:

- 1) To explore the theoretical structure of the 'Act,' with particular focus on the handling of investigation of cases of domestic violence.
- 2) To scrutinize the practical application of the regulations outlined in the 'Act' by Protection Officers.
- 3) To identify the obstacles encountered by men who are victimized due to the misapplication of the 'Act'.
- 4) To suggest remedies for enhancing gender equality and the more effective execution of the 'Act'.

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<sup>2</sup> 2022 SCC Online SC 607.

## RESULTS AND DISCUSSIONS

Although the current legislation in India offers recourse for women facing domestic violence, there's a notable absence of similar provisions for men, underscoring a gender imbalance. The study has found that amending the provisions of the current Act is essential to enhance its effectiveness and to mitigate harm; failure to address this matter could result in a rise in cases of domestic violence and overload the courts with matters not aligned with the legislative intent.

### Handling of Investigation of cases of Domestic Violence

Rule 5 of the PWDVR mandates the Protection Officer (PO) to conduct a thorough investigation upon receiving a complaint, resulting in the preparation of a DIR. The DIR is sent to both the local police officer and the designated Service Provider. Nevertheless, according to the Supreme Court decision in the case of *Prabha Tyagi vs. Kamlesh Devi*, it's not mandatory to consider the DIR before initiating any legal proceedings, except when the Protection Officer or Service Provider brings it to the Magistrate's attention (2022 SCC Online SC 607). If the aggrieved person lodges a complaint directly with the Magistrate, the DIR isn't required.

In a majority of DV cases, there is a lack of investigation into the accused party. Relief Orders are passed solely based on a complaint made by a woman, even in the absence of a DIR. Furthermore, the absence of a mandatory DIR requirement makes it challenging to ascertain the merit of a complaint, thus creating uncertainty about its validity. The absence of investigation and DIR by the PO leaves the accused party with no means of redressal, as there are no measures in place for penalties or consequences in instances of baseless petitions (Banka, N. 2022).

The inability of law enforcement personnel to sufficiently investigate and record instances of DV poses a significant obstacle, arising from cultural reluctance to address and report such incidents as a private matter. This leads to a deficiency in holding the perpetrators accountable and ensuring justice for the victims. Addressing this problem requires a multifaceted strategy. It involves mandating the participation of POs, challenging cultural norms, offering training and awareness initiatives for law enforcement personnel, and implementing anti-corruption measures. These endeavours aim to enhance the investigation and reporting of domestic violence, safeguard victims, and promote a culture of gender equality and dignity (Abeyratne, R., & Jain, D. 371).

### Practical application of the provisions of the Act

As per Section 8 of the 'Act,' Protection Officers are mandated to be appointed as full-time employees by the State Governments, with a preference given to the selection of women for this position. Rule 3 of the PWDVR specifies the minimum tenure and qualifications for these officers (Aloria, R. n.d.). However, the implementation of this provision faces challenges. Some states have appointed only a limited number of POs, burdening them with additional responsibilities, while others have failed to appoint any at all. The failure to appoint dedicated POs responsible for receiving complaints, preparing the DIR, and assisting victims throughout the legal process is a significant concern. Instead, existing officials are assigned these tasks without being relieved of their current duties.

U/s 12 of the 'Act,' victims have the option to seek assistance from either the PO or the Magistrate. If the victim approaches the Magistrate directly, the DIR is not mandatory. The proviso to Section 12(1) states that the Magistrate should consider the DIR before granting any relief order. However, it has been stated in multiple judgments that the requirement to consider the DIR is not



compulsory, but instead obligatory only when the aggrieved person seeks assistance from a PO. If the aggrieved person goes directly to the court or seeks assistance from a lawyer, the involvement of the PO is bypassed. Consequently, in most DV cases, the accused respondents are not investigated by the POs, leaving room for potential misuse by the complainant. Additionally, the POs do not have the power to summon the accused respondents for inquiry under the Act.

According to Section 2(e) of the PWDVA, a DIR is a report prepared in the prescribed format by the PO upon receiving a complaint related to domestic violence from the aggrieved person. The DIR follows the format provided in Form I of the PWDVR and serves as an official written record of the complaint, similar to a First Information Report (FIR) in criminal law. It is a public document and which is required to be signed by both the PO and the aggrieved person. It is important to note that the DIR is not an investigation report; it only records the complaint in the prescribed form. The PO does not conduct any inquiries while preparing the DIR. The actual investigations and legal proceedings begin only upon filing of the application u/s 12 by the aggrieved person. The format for this application is provided in Form II of the PWDVR. The DIR is compulsory only when the application is submitted through the PO. It is not compulsory if the aggrieved person directly contacts the Magistrate or seeks assistance from a private lawyer.

The object of the Act is to offer prompt relief to the person aggrieved by domestic violence. In the case of *Rahul Soorma vs. State of Himachal Pradesh* ((2012) SCC Online HP 2574), the High Court of Himachal Pradesh elucidated that the Magistrate has the authority to acknowledge an application u/s 12 without necessarily receiving a DIR from the PO or Service Provider. Similarly, in the case of *Abhiram Gogoi vs. Rashmi Rekha Gogoi* ((2011) 4 Gauhati Law Reports 276), the Gauhati High Court emphasized that the PO has a duty to create a DIR and submit it to the Magistrate, local police officer, and Service Providers upon receiving a complaint of DV. However, in the case of *Narayanakumar v. State of Karnataka and Anr.* (2010 ALL MR (Cri) Journal 158), it was held that an aggrieved person is not necessarily required to approach the PO in every case, and therefore, the DIR is not mandatory for complaints that are directly made to the Magistrate.

The case of *Bhupender Singh Mehra vs. State of NCT of Delhi* had established that orders for relief should be reassessed if DIR is not taken into account (Cri. M.C. No. 1766 of 2010, Dt.8/10/2010). However, in *Prabha Tyagi vs. Kamlesh Devi* the Supreme Court reversed this judgment, asserting that the consideration of the DIR is not obligatory (2022 SCC Online SC 607). It is only required when the PO or Service Provider brings it to the Magistrate's attention. If the aggrieved person directly files a complaint with the Magistrate, the DIR is not necessary.

### **Obstacles due to misuse of the provisions of the Act**

The Act is vulnerable to substantial abuse as it presumes culpability solely on the basis of a woman's allegations of domestic violence, without proper legal proceedings. Arrests can be made solely on the complaint of a woman, even without a DIR, leading to arbitrary punishment. Some women exploit this law for personal gain, using it to facilitate divorce or extract large alimonies. Unfortunately, there are instances where women file frivolous cases against their husbands and relatives, leading to the victimization of innocent individuals without legal repercussions. Such instances do not portray an ideal for gender equality. Differentiating between genuine and false cases becomes challenging in such situations. A few instances of misuse dilute the effectiveness of the law. Without a mandatory DIR, it is challenging to discern the validity of complaints. The absence of compulsory inquiry by the POs leaves the accused party with no avenue for redressal, as there are no repercus-

sions for unfounded petitions. The magazine *Manushi*, which focuses on gender studies, has shed light on the abuse of the law related to domestic violence, particularly instances of false dowry accusations by women against their male partners' families. This manipulation is sometimes encouraged by lawyers and police officers, leading to legal cases against innocent family members (Manchandia, P.319). Madhu Kishwar in 2005 also drew attention to high-profile cases of false dowry allegations in the media. Research shows a rise in false complaints of DV under the 'Act', affecting men as well. The Act's focus on protecting women lacks provisions for proof, potentially undermining its credibility (Ramanathan, V.).

The importance of upholding fundamental rights and the principles of equality and natural justice has been stressed by the judiciary. However, in cases of DV, the respondent is often not given the opportunity to present their side of the story when preparing the DIR. The DIR serves as crucial evidence in the case, but its absence in certain cases can lead to a miscarriage of justice. Adjudicating a case without considering the DIR can be unjust and against equality, particularly if the wife is the instigator of the problem.

## CONCLUSION

Advocates of men's rights argue that false DV cases have led to instances of accused married men resorting to suicide. They claim that married women exploit DV provisions to blackmail their spouses and in-laws, using the threat of divorce as leverage, thereby compromising gender equality (Domestic Incident Report: A Legal View, 2020). The Malimath Committee Report of 2002 on the criminal justice system reveals that categorizing "cruelty" as a non-bailable and non-compoundable offense leads to the frequent arrest and imprisonment of innocent individuals, resulting in stigma and long-lasting mental and physical suffering. False allegations indicate an abuse of the legal process, as the provision was intended to protect women from violence and not to be used for manipulation. The current law in India provides remedies for women against DV, but there is a lack of similar provisions for men, highlighting gender disparity (Malimath Committee on Reforms of Criminal Justice System Government of India 2002: 38). While the 'Act' itself is effective, its utilization by women in genuine need may not be optimal, suggesting that it may not be as empowering for Indian women as initially believed (Ruby, T. T. 9).

The study highlights deficiencies in the provisions and execution of the 'Act' and provides recommendations to improve its implementation and administration of justice in addressing crimes against women and promoting gender equality. The following recommendations are proposed to ensure gender equality:

- Provision for penalizing false and frivolous cases.
- Provision for evidence to support claims stated in an application u/s 12.
- Mandatory reporting of domestic violence to a Protection Officer u/s 12.
- Mandatory submission of the Domestic Incident Report (DIR) to the Magistrate.
- Augmentation of the employment of full-time Protection Officers (POs), coupled with diligent supervision and sufficient funding to ensure the efficient execution of the 'Act.'
- Precisely outlined criteria and responsibilities of Protection Officers to maintain uniformity and professionalism in their performance.

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## INTERACCIÓN Y PERSPECTIVA

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## ARTÍCULO DE INVESTIGACIÓN

# Mitigando el Burnout Profesional: apoyo sociopsicológico a las profesiones centradas en el ser humano

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**Resumen.** El rápido desarrollo de los servicios educativos y médicos hace necesaria la modernización de las instituciones sociales de la educación y la sanidad para hacer frente a los retos de la transformación digital. Las profesiones del tipo «persona a persona» se enfrentan a elevadas exigencias en cuanto a cualidades comunicativas, sensibilidad emocional y empatía, lo que conlleva el impacto de factores de estrés. El objetivo de este estudio era identificar los factores que influyen en la resistencia al estrés de los especialistas y crear una base científica para desarrollar programas eficaces de apoyo psicológico y desarrollo profesional para los representantes de las profesiones de ayuda. El estudio incluyó un análisis de bases de datos nacionales e internacionales. La base empírica incluía materiales de un estudio sobre la prevalencia y la gravedad del agotamiento profesional entre los médicos utilizando una metodología adaptada de V. Boyko, que permite determinar la etapa de desarrollo y el nivel de formación de los principales síntomas del agotamiento. Los datos confirmaron la alta prevalencia del burnout profesional entre los profesionales de ayuda. El diagnóstico de los síntomas primarios reveló mecanismos de compensación del estrés profesional, como el distanciamiento emocional y la respuesta selectiva, que pueden considerarse deformaciones profesionales. Las medidas preventivas deben centrarse en el desarrollo de la resistencia personal al estrés. Las técnicas de adaptación que implican distanciamiento emocional pueden reducir la empatía y la eficacia comunicativa, contradiciendo las expectativas de la sociedad.

**Palabras clave:** grupos profesionales, entorno educativo, médicos, profesores, agotamiento profesional, técnicas de adaptación.

## Mitigating Professional Burnout: socio-psychological support for human-centered professions

**Abstract.** The rapid development of the educational and medical services necessitates the modernization of social institutions in education and healthcare to meet the challenges of digital transformation. Professions of the “person-to-person” type face high demands regarding communicative qualities, emotional sensitivity, and empathy, which leads to the impact of stress factors. The aim of this study was to identify factors influencing the stress resistance of specialists and to create a scientific basis for developing effective psychological support and professional development programs for representatives of helping professions. The study involved an analysis of national and international databases. The empirical base included materials from a study on the prevalence and severity of professional burnout among doctors using an adapted methodology by V. Boyko, which allows determining the stage of development and the level of formation of major burnout symptoms. The data confirmed the high prevalence of professional burnout among helping professionals. Diagnosis of primary symptoms revealed compensation mechanisms for professional stress, such as emotional detachment and selective response, which may be considered professional deformations. Preventive measures should focus on developing personal stress resistance. Adaptive techniques involving emotional detachment can reduce empathy and communication effectiveness, contradicting societal expectations.

**Key words:** professional groups, educational environment, doctors, teachers, professional burnout, adaptive techniques.

### INTRODUCTION

The digital transformation of all social spheres, undoubtedly a progressive trend in the current stage of societal development, has significantly impacted the institution of professions. This transformation has changed and updated the structure of professional groups, leading to the inevitable convergence of professional directions and the emergence of new types of professional activities (e.g., medical engineer, bioethicist, IT manager, IT assistant, virtual assistant). The conditions of the COVID-19 pandemic have posed unprecedented challenges to the social institutions of healthcare and education, imperatively shifting communications to the virtual field. This shift has necessitated the development of new competencies among professionals and the demand for knowledge in interdisciplinary fields.

According to statistical monitoring and social forecasts, activities related to information transmission and storage, calculation, and billing operations are disappearing from the professional field (Abdullaev et al., 2023). Meanwhile, professions involving communication in the “person-to-person” system—such as doctors, educators, and social workers—retain their positions and, according to labor market experts, will be particularly in demand in the near future. A paradoxical social practice has emerged: despite high demand and staffing shortages in these professions, their social prestige remains low.



During the COVID-19 pandemic, there was a “heroization” of doctors, who were on the “front line,” as noted by the World Health Organization. At the same time, the most discussed negative cases of professional practice in the media are related to the activities of doctors and educators. In such conditions, the level of stress in human-centered professions is rapidly increasing, posing a threat not only to the specialists themselves—whose departure from the profession due to emotional and psychosomatic consequences will further exacerbate staffing shortages in these fields—but also to national security. This is because the institutions of healthcare and education determine the reproduction of the country’s labor, creative, and defense potential.

The influence of professional stress, largely caused by the high frequency of interpersonal communications in helping professions, leads to the development of adaptive psychological self-defense mechanisms (Zaitseva & Krikunov, 2022). The specifics of these mechanisms complement the sociocultural identity of professionals in these fields, determining the overall approach to researching this problem.

## LITERATURE REVIEW

According to modern concepts, one of the most common manifestations of the consequences of professional stress is the syndrome of professional/emotional burnout. Additionally, researchers note masked and somatic forms. A typical masked form of professional stress, especially among hyper-socialized or neurasthenic personalities, is “workaholism/perfectionism,” where professional activity replaces other life spheres, leading to a loss of emotional satisfaction from other communications and areas of life (cultural, leisure, family, etc.). This is caused by attempts to compensate for reduced satisfaction with work results, perceived by professionals as a consequence of their insufficient efforts and capabilities.

Professional stress can also take somatic forms, including not only functional disorders (sleep, eating behavior, etc.) but also diseases of the cardiovascular, digestive, and respiratory systems, neurodermatitis, and others. The psychosomatic consequences of professional stress pose a threat to the professional’s health and undoubtedly reduce their effectiveness, creating a chain reaction of communicative problems for human-centered professions.

It is also important to note other, less common but more socially dangerous forms of professional stress, such as the use of medications and alcohol, where psychoactive substances are used as substitute “therapy.”

The primary manifestation of professional stress, according to most researchers, is professional burnout syndrome, first described as a phenomenon of mental exhaustion by H.J. Freudenberger (1974) (“burn-out”), characterized by him as “the exhaustion of energy among professionals in the social assistance sphere when they feel emotionally overwhelmed by the problems of others.” Initially, the syndrome of mental (emotional) exhaustion was described among psychiatric institution workers as a phenomenon of disillusionment, demoralization, and extreme fatigue. In the 1980s, Christina Maslach (1982) metaphorically called it “the cost of caring,” characteristic of so-called “altruistic” professions: social workers, nurses, doctors, educators, psychologists.

Professional burnout syndrome is described as a state of gradual loss of emotional, cognitive, and physical energy, manifested in symptoms of exhaustion, fatigue, personal detachment, and reduced job satisfaction (Vodopyanova & Starchenkova). In 1981, A. Morrow proposed a metaphorical image of professional burnout syndrome – “the smell of burning psychological wiring.”

The social danger of professional burnout syndrome is due to emotional exhaustion, which manifests as a feeling of emotional emptiness and fatigue, as well as depersonalization and reduced professional achievements, leading to incompetence in their professional field (Orel, 2001; Zaitseva & Krikunov, 2022).

At the core of professional burnout syndrome is personal deformation due to emotionally difficult relationships in the “person-to-person” system. Therefore, professional burnout most often develops among representatives of “communicative” professions - doctors, nurses, social workers, among whom, according to various researchers, professional burnout syndrome is registered in 60-90% of cases (Antipina & Alekseeva, 2017; Skugavetskaya, 2007; Tretyakova, 2019; Poroykiy, 2022). The high prevalence of professional burnout syndrome among these professional groups indicates the need for developing a system of preventive measures to prevent burnout. The importance of such measures also underscores the need to study the socio-psychological factors of stress resistance, which will allow determining directions for effective psychological and pedagogical support.

The development and implementation of preventive measures aimed at reducing the risk of professional burnout will help maintain the psychological health of specialists, increase their work efficiency, and improve the quality of the services they provide. The purpose of this study was to identify factors influencing specialists’ stress resistance and create a scientific basis for the justification and implementation of effective programs of psychological support and professional development for representatives of helping professions.

## MATERIALS AND METHODS

The study was conducted in three stages. The first stage involved a comparative analysis of Russian scientific publication databases (RSCI, NEB, CyberLeninka) and international open-access databases. Publications from the CyberLeninka database were analyzed using keywords “professions,” “professional stress,” “professional destructions,” “psychological and pedagogical support,” followed by content analysis in the context of research objectives.

The second stage involved diagnosing the prevalence and severity of professional burnout among a model group of doctors using the V. Boyko methodology adapted for professional groups. The model group included 154 doctors of various specialties (mean age  $40.2 \pm 17$  years), categorized by the level of neuro-emotional tension in their professions: surgeons, therapists, and non-medical specialists (radiologists, epidemiologists, hygienists).

To assess the readiness of future representatives of the professional group for professional stress, at the third stage a sociological survey was conducted among graduates of a pedagogical university (N=182, average age of respondents  $20.2 \pm 1.9$  years).

The confidentiality and autonomy norms of respondents were respected.

## RESULTS AND DISCUSSION

The social mechanism of stressfulness in communications for the professions under consideration was most accurately described in the fundamental works of E. Hughes. In his article “Social Role and the Division of Labor” (1971), E. Hughes concludes that professions related to the provision of services are doomed to “ambiguities”: “A patient in a psychiatric hospital is often convinced

that the things done to him are done for someone else; and while such thoughts may be inherent to the nature of his illness, he often may be right. Even a person suffering from tuberculosis, although he knows he is ill and willingly undergoes treatment, believes that many of the rules of society and the hospital and even some elements of the treatment are meant for him but not for his benefit. Even in the case of short-term illnesses, the patient may find humiliation in some things done, supposedly for his recovery. At the very least, he may think that they are done for the convenience of those who work in the hospital, not for his comfort.” According to the author, the dialectical genesis of the non-complimentary view of benefit or harm as a result of social interaction among social actors is that “the opposite of service is disservice and ... the boundary between them is thin, unclear, and shifting” (Hughes, 1971, p. 304).

E. Hughes highlights the particular vulnerability of representatives of human services professions in this context: “In many things that people do for each other, for someone can easily be replaced with to someone by a slight overzeal or change of mood. Anywhere where some measure of power, allowing to discipline with language and force, is an essential element of the task assigned to a person, there may be a temptation to abuse it and even take pleasure from it, regardless of whether it is a teacher, a psychiatric hospital orderly, or a prison guard. The danger of serious distortion of relationships and functions within the formal position hovers everywhere people go or are sent for help or correction: in the school classroom, clinic, operating room, confessional, funeral home; all of them share this trait” (Hughes, 1971, p. 345). E. Hughes (1971, p. 250). places great importance on the timely diagnosis of these phenomena, which he calls “elusive distortions of role or function,” directly linking them to “significant correlates in personalities and situations”.

E. Hughes essentially defines the inevitable stressfulness of institutional reforms for representatives of human services professions: “... the professional is concerned ... with divergent ideas about what his job really is or should be, what mandate he has been given by the public, what can be done and by what means, as well as what role people in each position should play and what duties or rewards they deserve. Compared to the limitations, resistances, or distortions of goal, directives, and efforts in school, psychiatric hospital, social service, or prison, well-studied limitations of productivity in a factory are simplicity itself. In a factory, there is at least a clear consensus about what the produced object should be. In institutions where something is done for people or to people, there is no such consensus” (Hughes, 1971, p. 285). This phenomenon is currently intensified by the uncertainties associated with the digital transformation of social spheres, creating unprecedented challenges of virtual communication for professionals.

Furthermore, E. Hughes notes the inevitability of institutional influence on the stressfulness of human-centered professions: “... the basic attitude ... is partly reality, partly a stereotype, and partly an ideal nostalgically attributed to a better past or demanded in a better future. Probably the most common complaint of people in professions performing services for each other is the lament that they are hindered from doing their job as it should be done. Someone interferes with this basic attitude ... Psychiatrists would do their job better if not for families, dumb officials, and poorly trained orderlies. Nurses would better care for patients if not for administrative duties and the carelessness of aides and other staff ... Part of the interventions complained about are simply institutional. The institutional matrix in which something is done for people undoubtedly becomes more complex in the most professional areas ...” (Hughes, 1971, p. 309-310).

Thus, the stressfulness for human-centered professions is inevitable, which determines the strategy of socio-psychological support for these professions rather than combating the factors of

professional stress themselves. At the same time, modern studies also note management-associated professional stressors: high workload, lack of social support from management, high uncertainty in the evaluation of performed work, monotonous and unpromising activities (Abolokin, 2020).

Despite the multifactorial etiology of professional stress, including its manifestation as professional burnout syndrome, most researchers consider psychological fatigue, where internal or external demands dominate personal resources, as the basic cause. Specifically, studies on professional burnout syndrome among medical specialists using qualitative sociological research have shown that one of the causes of its development is an overestimation of their professional and personal capabilities (Lengle, 2008).

The classic classification of stressors, based on the work of H. Selye, divides stress factors into social, psychological, and biological categories. Professional stressors are commonly divided into three groups based on their specificity for a given profession:

- Non-specific stressors;
- General-specific stressors, characteristic of related professional groups (such as groups of doctors, teachers, social workers);
- Specific stressors, characteristic of a particular profession or specialty (e.g., for doctors of different specializations, teachers depending on the subject they teach).

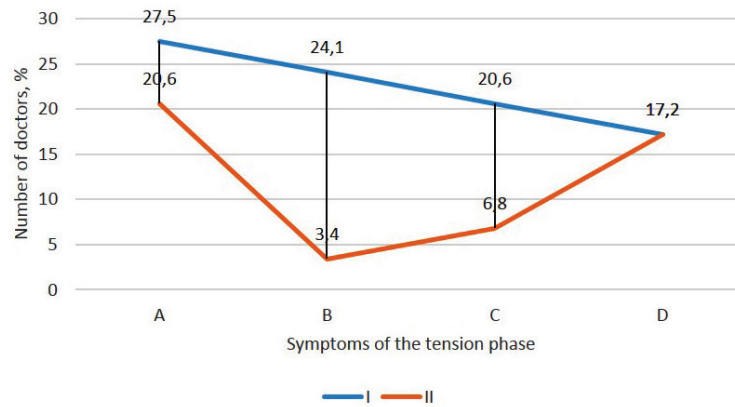
The analysis of published data allows for the identification of environmental and internal groups of professional stressors for helping professions. Environmental stressors can be either microsocial (e.g., role conflicts within the team) or macrosocial (economic, social, legal insecurity of professional groups). Internal stressors are largely determined by the personal characteristics of the professional, among which psychologists note emotional lability, anxiety states, personal rigidity (motivational), and low level of communicative abilities. Additionally, several authors believe that a high level of somatic health of the professional determines their higher resistance to professional stress (Orel, 2005).

Of particular interest is that manifestations of professional burnout syndrome can be viewed as a protective reaction - an acquired stereotype that allows for the economical use of energy resources. At the same time, considering that the consequences of professional stress/burnout are socially significant destructions, not only psychosomatic but also psychological (cognitive, emotional, motivational), the adaptive component of professional burnout is called into question.

The empirical base of our work consisted of the results of a study of a model group of doctors using the V.V. Boyko methodology adapted to the professional field. This methodology allows determining the stage of development of phases and the level of formation of the main symptoms of professional burnout: in the 1st phase ("tension") - symptoms of "experiencing traumatic situations," "dissatisfaction with oneself," "drivenness," "anxiety and depression"; in the 2nd phase ("resistance") - symptoms of "inadequate selective response," "emotional and moral disorientation," "expansion of the sphere of emotional savings," and "reduction of professional emotions"; in the 3rd phase ("exhaustion") - symptoms of "emotional deficit," "emotional detachment," "personal detachment" (depersonalization), and psychosomatic and psycho-vegetative disorders (Boyko, 2012, p.56).

The analysis of identified symptoms for the entire model group of doctors in the tension phase showed their presence in every fifth doctor at the formation stage (Figure 1).

**Figure 1**  
Prevalence of Tension Phase Symptoms of Professional Burnout Syndrome in the Model Group of Doctors (according to the V. Boyko methodology)

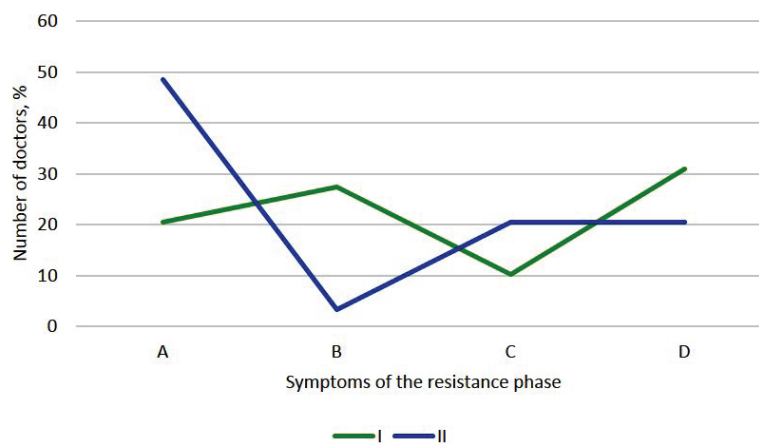


A - experiencing traumatic situations, B - dissatisfaction with oneself, C - “drivenness”; D - anxiety and depression. I - symptom at the formation stage, II - fully formed symptom.

It is noteworthy that among the fully formed symptoms of the tension phase, the symptom “experiencing traumatic situations” predominates and is observed in every fifth doctor. Prognostically favorable is the almost complete absence of fully formed symptoms of “dissatisfaction with oneself” and “drivenness” in the studied group, which characterizes the inclusion of adaptive personal defense mechanisms.

The identification of such symptoms of the resistance phase as “reduction of professional duties” in the formation stage in 30% of doctors and the fully formed symptom of “inadequate selective response” in 48% can be considered signs of professional deformation in doctors (Figure 2).

**Figure 2**  
Prevalence of Resistance Phase Symptoms of Professional Burnout Syndrome in the Model Group of Doctors (according to the V. Boyko methodology)

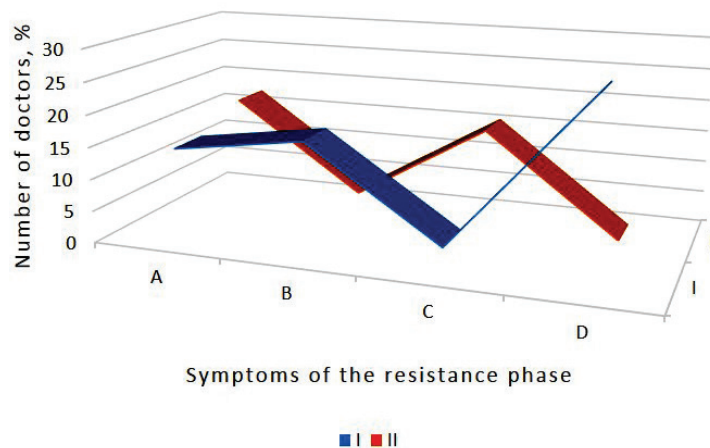


A - inadequate selective response; B - emotional and moral disorientation; C - expansion of the sphere of emotional savings; D - reduction of professional duties. I - symptom at the formation stage, II - fully formed symptom.



Fully formed symptoms of the exhaustion phase, indicating a breakdown of compensation mechanisms, are noted in no more than 12-14% of cases (Figure 3). No individuals with psychosomatic and psycho-vegetative disorders were identified in the studied group of doctors, allowing for a generally high assessment of the stress resistance of the subjects. However, it is noteworthy that in 25% of the subjects, these disorders are at the formation stage and require preventive measures. The identified fully formed symptoms of “personal detachment” and “emotional deficit” in 14-17% undoubtedly negatively affect communication, demonstrating a decrease in the empathy of doctors.

**Figure 3**  
Prevalence of Exhaustion Phase Symptoms of Professional Burnout Syndrome in the Model Group of Doctors (according to the V. Boyko methodology)



A - emotional deficit; B - emotional detachment; C - personal detachment (depersonalization); D - psychosomatic and psycho-vegetative disorders. I - symptom at the formation stage, II - fully formed symptom.

The results obtained from doctors of different profiles indicate a significant prevalence of professional burnout among the studied doctors, regardless of specialization. Fully formed symptoms of professional burnout syndrome (PBS) were recorded in 82.6% of surgeons, 73.6% of therapists, and 72.4% of non-medical profile doctors ( $p > 0.05$ ). The formed phase of PBS was noted in 37.2% of surgeons, 31.8% of therapists, and 11.3% of non-medical profile doctors ( $p < 0.01$  between the indicators of medical and non-medical profile doctors). Additionally, 30.4% of surgeons, 20.6% of therapists, and 54.2% of non-medical profile doctors were diagnosed with PBS phases at the formation stage ( $p < 0.01$  between the indicators of medical and non-medical profile doctors). The complete absence of even initial symptoms of PBS was noted in a small number of doctors – 11.1% of surgeons and 13.7% of therapists,  $p > 0.05$ .

Thus, there is a dependence of the prevalence of resistance phase symptoms on the degree of physical and emotional tension associated with medical activity - doctors in medical profiles have significantly more frequent fully formed symptoms and the formed resistance phase (20.6% and 24.9%) than non-medical profile doctors (11.3%,  $p < 0.01$ ), half of whom register the resistance phase only at the formation stage.

Among the fully formed symptoms, the most frequently occurring is the symptom of “inadequate selective response,” characteristic of the resistance phase, noted in 48.6% of therapists. The predominance of resistance phase symptoms indicates compensation for neuro-emotional burnout, mechanisms of which are reflected by the dominant symptoms of this phase. The symptom of “emotional deficit,” characteristic of the exhaustion phase, is registered in 17.5% of therapists, while in the resistance phase, the symptom of “emotional and moral disorientation” is found in 16.6%.

The obtained data suggest that the compensatory mechanism for doctors is emotional detachment. It is noteworthy that the reduction of empathy among doctors is a major cause of patient dissatisfaction, leading to an increase in conflicts, which in turn raises the stressfulness of the profession, forming a kind of “vicious circle.”

The analysis of average values showed that the highest average values for all studied symptoms were “inadequate selective response,” “experiencing traumatic situations,” and “reduction of professional duties” ( $p > 0.05$ ). The predominant symptom is “inadequate selective response,” followed by “experiencing traumatic situations” and “reduction of professional duties.”

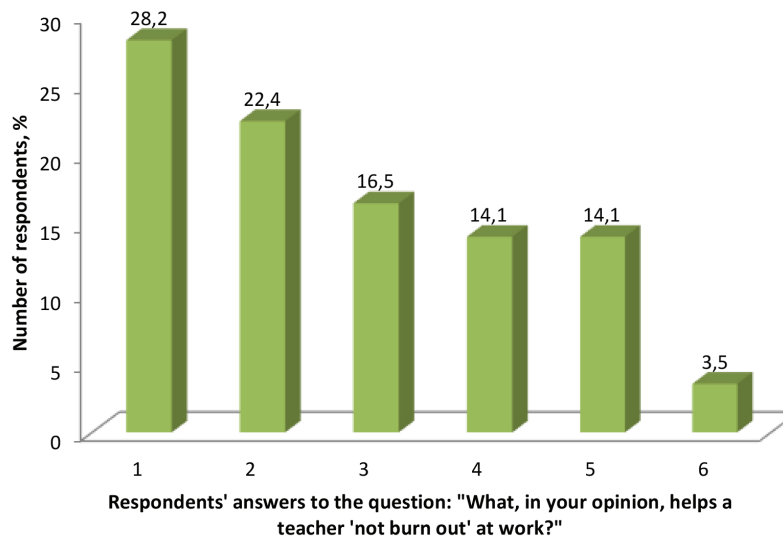
The predominance of resistance phase indicators in the manifestation of professional burnout syndrome (based on average values and distribution analysis results) indicates the development of defense mechanisms. However, characteristics of such symptoms as “reduction of professional duties” and “emotional detachment” undoubtedly reduce the effectiveness of activities in the “person-to-person” system, disrupting the sociocultural code structure of the professions under consideration.

Thus, the research data confirm the high prevalence of professional burnout for human-centered type professions and demonstrate the significance of even minor manifestations for communication effectiveness. Differences in the obtained results for medical specialties of different profiles underscore the importance of the degree of emotional tension associated with the activity profile for the development of professional burnout symptoms.

As shown by the analysis of modern research and obtained empirical data, the prevalence and manifestations of professional stress remain relevant and socially significant for helping professions. Consequently, preventive and diagnostic measures discussed by researchers are undoubtedly practically demanded. Considering the explicit structure of professional stressors, preventive measures should focus on developing professional stress resistance. At the same time, adaptive and stress-protective techniques involve certain emotional detachment of professionals, thus accompanied by reduced empathy of specialists, contradicting societal expectations and decreasing communication effectiveness. Adaptive self-defense techniques based on emotional detachment can lead to professional deformations. Therefore, this issue requires an interdisciplinary approach within psychological, sociological, and pedagogical sciences.

To assess the views of future specialists in human-centered professions on personal protection techniques against professional burnout, we conducted a pilot survey of graduates from a pedagogical university. The survey results demonstrate the absence of a collective position on the issue, indicating insufficient readiness of future professional group representatives for professional stress and an undervaluation of the importance of neuro-emotional tension in professional activities (Figure 4).

**Figure 4**  
Perceptions of Pedagogical University Graduates on the Prevention of Professional Burnout



1 - hobbies, 2 - family, 3 - close relationships; 4 - music; 5 - a team of like-minded people; 6 - alcohol.

Approximately one-third of future teachers believe that leisure activities (entertainment, social, and cultural projects not related to work) are the best way to protect against emotional burnout. The same number of respondents hope that family (each fifth respondent relies on family support) and/or close relationships can protect them from professional stress. It is noteworthy that future teachers are substituting environmental factors for the prospects of forming personal mechanisms of protection against emotional burnout. This situation may be due to the insufficient awareness of graduating students about the importance of professional stress for “person-to-person” professions and measures for forming personal protection mechanisms.

We consider preventive measures within the educational environment of universities, where social and psychological competencies of specialists are formed, to be the most promising. Psychological and pedagogical support represents a system of interconnected structural components united by the educational goal of developing the individuality and personality of professionals. Pedagogical work with students in this direction will allow them to adapt to new forms of professional activity, high levels of informational load, and contribute to their mental and personal development, and the formation of professional culture.

The system of psychological and pedagogical support should include several essential modules:

- Informational (providing students with knowledge about professional stress factors, professional destructions and their determinants, and consequences for individual development and professional activity);
- Diagnostic (diagnosing individual psychological qualities during university training, their development dynamics, and initial forms of stress manifestation);
- Didactic (teaching reflection, diagnostics, self-diagnostics, and preventive measures);
- Consultative (individual consultations, role-playing games with students);

- Preventive (personalized preventive work with students, forming protective behavior models under the influence of professional stress, emotionally protected sociocultural code for social workers professional groups);
- Corrective (correction at various stages of university training).

A necessary condition is a personalized approach to students, based on individual diagnostics of personal qualities (communicative, organizational, motivational, etc.). Data on professionally significant personal qualities of students can be systematized in the form of an individual passport, creating a personal profile and forming a digital database of future specialists, ensuring confidentiality of personal data. The information base of personal profiles will allow developing individual psychological and pedagogical support programs throughout their professional careers, including within continuous professional education.

## CONCLUSION

Professional activity in the “person-to-person” system is characterized by intense interpersonal communications, resulting in high neuro-emotional tension and constant professional stress. The modern characterization of professional burnout syndrome, as the most common form of professional stress manifestation, defines it as a state of gradual loss of emotional, cognitive, and physical energy, with the development of symptoms of exhaustion, fatigue, personal detachment, and decreased job satisfaction, which are essentially markers and descriptors of professional deformations for human-centered professions. The data obtained on the predominant symptoms of PBS in the model group of doctors demonstrate the mechanisms of professional stress compensation (psychological defense mechanisms) for the considered professional field, such as emotional detachment, inadequate selective response, expansion of the sphere of emotional savings, which can also be considered professional deformations. Thus, the study results demonstrate the high practical demand for developing a methodological system of socio-psychological support for professional activity in the “person-to-person” system. We believe that the foundation of such a system should be a modular structure of psychological and pedagogical support for professional development in the educational environment, where professional competencies, communication skills, and professional culture begin to form.

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## Aprovechar las habilidades de coaching para la salud mental y el bienestar de los niños

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**Resumen.** El poder del entorno en la formación de la productividad de los niños es verdaderamente notable. Hoy en día, muchos niños están absortos en actividades triviales y entretenimiento artificial, a menudo pasando por alto el mundo real que los rodea. Como escribió Tolstoi, „Todo el mundo piensa en cambiar el mundo, pero nadie piensa en cambiarse a sí mismo“. El coaching, como habilidad, ha ganado una importante popularidad a nivel mundial. Al dominar esta habilidad, las personas pueden embarcarse con valentía en su transformación personal y navegar por el „juego interior“ dentro de sus mentes. Esta investigación se basa en la literatura eslovena y extranjera junto con la investigación empírica que utiliza métodos estadísticos. Adopta un enfoque retrospectivo, examinando influencias pasadas a través de la evaluación de datos cuantitativos, incluidas encuestas con niños y maestros. El tema actual tiene como objetivo iluminar la importancia positiva y el impacto de las habilidades de coaching en los niños. Además, pretende introducir un nuevo conjunto de habilidades en las instituciones educativas, integrando así las habilidades de coaching en el proceso de enseñanza.

**Palabras clave:** entorno, productividad, coaching, transformación personal, análisis retrospectivo.

## Harnessing coaching skills for children's mental health and well-being

**Abstract.** The power of the environment in shaping children's productivity is truly remarkable. Many children nowadays are absorbed in trivial activities and artificial entertainment, often overlooking the real-life world surrounding them. As Tolstoy famously wrote, "Everyone thinks of changing the world, but no one thinks of changing himself." Coaching, as a skill, has gained significant traction globally. Through mastering this skill, individuals can courageously embark on their personal transformation and navigate the "inner game" within their minds. This research draws from Slovenian and foreign literature alongside empirical research utilizing statistical methods. It adopts a retrospective approach, examining past influences through quantitative data evaluation, including surveys with children and teachers. The current topic aims to illuminate the positive significance and impact of coaching skills on children. Moreover, it intends to introduce a new skill set to educational institutions, thereby integrating coaching skills into the teaching process.

**Keywords:** environment, productivity, coaching, personal transformation, retrospective analysis.

### INTRODUCTION

Children's mental health has become a crucial area of research and concern in modern society. According to the World Health Organization (WHO, 2021), mental health issues among young people are steadily increasing. Various factors such as digital distractions, lack of physical activity, and limited social interaction, play significant roles in this trend (Haryanto et al., 2024).

The mental health of children not only affects their current well-being but also has long-term consequences on their academic success, social skills, and overall development. Research indicates that children with well-developed mental health are more resilient to stress, confident, and motivated to learn (Evans, 2006). Negative childhood experiences, such as emotional difficulties, can influence long-term mental health and behavioral problems later in life (Bronfenbrenner, 1979).

The influence of the environment on children's mental health is complex and multifaceted (Rucska, Lakatos, & Perge, 2021). School environment, family dynamics, the digital world, and access to social networks can significantly impact a child's mental well-being. Children exposed to stressful circumstances at home or school often develop symptoms of anxiety, depression, or behavioral issues (Evans, 2006). Research also indicates a link between excessive use of digital devices and reduced concentration ability, as well as increased rates of anxiety in children and adolescents (Haryanto et al., 2024).

Understanding and improving environmental factors influencing children's mental health is crucial for promoting their resilience, productivity, and long-term well-being. Integrating appropriate approaches, such as coaching skills, can play a key role in this process by enabling children to develop essential skills for managing emotions, achieving goals, and overcoming obstacles in their academic and personal lives.

### **Development of key skills in the school environment**

Coaching skills significantly improve children's mental health and well-being by systematically promoting the development of key skills essential for their overall growth. One of the key benefits of coaching is enhancing self-awareness and emotional intelligence in children (Green et al., 2007). By becoming more aware of their thoughts, emotions, and behaviors, children learn to better understand themselves and others, which is crucial for managing emotions and interpersonal relationships (Brackett & Rivers, 2014).

Setting realistic goals and developing strategies to achieve them is another important aspect of coaching, as it fosters children's motivation and perseverance, positively impacting their self-esteem and sense of worth (Grant, 2003; Schunk & Ertmer, 2000). Additionally, coaching helps children develop problem-solving skills, enabling them to overcome obstacles and build resilience (Gladwell, 2008; Seligman & Csikszentmihalyi, 2000).

As children achieve their goals through the coaching process, their confidence also strengthens as they learn to believe in themselves and successfully cope with various challenges (Bandura, 1994; Dweck, 2006). Coaching also promotes improved communication and interpersonal relationships as children develop skills in active listening, clear communication, and conflict resolution, which are crucial for their social integration and academic success (Johnson & Johnson, 1994; Goleman, 1995).

Effective integration of coaching skills into educational practices requires training educators in coaching techniques (Passmore & Fillery-Travis, 2011). Educators need to gain an understanding of coaching fundamentals, communication techniques, goal-setting, and motivational strategies to successfully incorporate these techniques into learning processes. It is important to integrate coaching approaches into everyday pedagogical work, such as using methods like active listening and asking open-ended questions that encourage reflection and self-reflection among students (Whitmore, 2002).

Adapting coaching approaches according to the individual needs and characteristics of each child is crucial (Stober & Grant, 2006). Involving parents in the coaching process further enhances its effectiveness, as parents can support the developed skills at home and, together with the school, create a supportive environment for the child's growth (Lane, 2007). Systematic monitoring and evaluation of coaching effectiveness enable adjustment of approaches and continuous improvement of school practices to support children's mental health and holistic development (Bergin & Garfield, 1994).

## **LITERATURE REVIEW**

### **Definition of coaching skills**

Coaching skills refer to a set of techniques, approaches, and methods used by coaches (mentors, counselors) to support individuals in achieving their goals, developing their potential, and enhancing their effectiveness and success (Passmore & Fillery-Travis, 2011). The primary focus of coaching is on developing awareness, responsibility, and self-reflection in individuals, encouraging them toward independent problem-solving and decision-making (Grant, 2016).

Key components of coaching skills include goal setting, asking appropriate questions to stimulate thinking and reflection, active listening, providing constructive feedback, and developing plans and strategies to achieve desired outcomes (Whitmore, 2002). Coaching often operates on principles of respecting individual values, adapting approaches to individual needs, and building trust and support between the coach and the individual (Stober & Grant, 2006).

The aim of coaching is to promote sustainable changes and growth in individuals, both personally and professionally (Bergin & Garfield, 1994). Coaching skills are applied in various contexts, including business consulting, personal development, sports coaching, education, and more, and are tailored to individuals' specific needs and goals (Lane, 2007).

### **Development of coaching skills and their application in different contexts**

The development of coaching skills is crucial for their successful application across different contexts, enabling individuals and groups to achieve their goals, overcome obstacles, and develop their potential. Coaching has evolved from sports into a broader practice encompassing business consulting, personal development, education, and other fields.

Key focuses in developing coaching skills include goal setting, understanding and fostering individual developmental potential, and assisting in overcoming personal and professional challenges. Additionally, the ability of coaching to establish and maintain trust and communicate effectively with various stakeholders is essential (Passmore & Fillery-Travis, 2011).

In the business world, coaching develops leadership skills, improves team processes, resolves conflicts, and enhances productivity. In sports, coaching aids athletes in achieving peak performance, managing pressure, and improving technical skills (Whitmore, 2002).

In educational contexts, coaching supports teachers in enhancing learning processes, encouraging students toward self-directed learning, and improving interpersonal relationships within the school environment (Stober & Grant, 2006).

It is important for coaches in these diverse contexts to continually develop their skills through ongoing education, reflection, and adaptation of approaches based on specific client needs. This involves understanding different coaching theories and models and applying them effectively in real-world scenarios.

### **Impact of environment on child development**

The impact of the environment on child development is a crucial aspect, as the surroundings in which children grow up can significantly influence their physical, emotional, social, and intellectual development. Various environmental factors such as family dynamics, peers, school, community, and broader societal culture play pivotal roles in shaping children's behaviors, personality traits, and abilities.

The family is the first and most influential environment affecting child development. The quality of parent-child relationships, parenting styles, family communication, and the support children receive strongly influence their emotional stability, self-confidence, and social skills (Belsky, 1980).

In addition to the family, peers also have a significant impact. Interactions with peers allow children to learn social skills, develop empathy, and form their own identities (Rubin et al., 2006).

School plays a crucial role in children's intellectual development. The quality of the educational system, teacher-student relationships, and opportunities for learning and exploration impact children's motivation, academic achievements, and cognitive development (Reynolds & Ou, 2011).

Beyond immediate environments, the broader community in which a child lives also exerts its influence. Culture, norms, values, and social structures influence children's moral, ethical, and cultural development, as well as their worldview (García Coll et al., 1996).

All these dimensions of the environment interact and form a complex network of influences on child development. Understanding these influences is crucial for shaping policies, programs, and approaches that promote optimal child development in diverse social contexts.

### **The importance of supportive and stimulating environments for cognitive and emotional development of children**

Supportive and stimulating environments play a crucial role in children's cognitive and emotional development. This environment encompasses both family and school/community factors that directly impact a child's learning ability, understanding, and adaptation.

The family environment is central to a child's development. Quality relationships between parents and children, the support children receive, and positive parenting practices are key factors influencing their emotional stability, self-confidence, and development of cognitive abilities (Bradley & Corwyn, 2002).

In addition to the family, the school environment also plays a significant role. The quality of the educational system, classroom experiences, interactions between teachers and students, and access to stimulating learning materials and opportunities influence a child's cognitive stimulation and intellectual development (Sylva et al., 2004).

Community factors, such as access to quality daycare facilities, parks, libraries, cultural institutions, and other educational resources, also contribute to children's development. These opportunities allow children to broaden their interests and develop creativity, and social skills (Dearing et al., 2009).

A supportive and stimulating environment not only promotes children's cognitive development but also strengthens their emotional stability, self-confidence, and social skills. Research indicates that children growing up in such environments are more motivated to learn, achieve better academic outcomes, and develop better problem-solving skills and decision-making abilities (Conger & Donnellan, 2007).

Understanding the importance of a supportive and stimulating environment for child development is crucial for designing policies and programs that will promote optimal child development in various social and cultural contexts.

### **Previous studies on coaching and mental health**

Research on coaching and its impact on mental health is significant, as it shows that coaching can positively contribute to various aspects of individuals' mental well-being. One of the key benefits of coaching is its focus on developing self-awareness and emotional intelligence.

Studies have shown that coaching contributes to increased self-confidence, self-esteem, and emotional intelligence in children (Green et al., 2007; Spence & Grant, 2007). For example, studies



have demonstrated that children improve their emotional regulation and cope better with stressful situations at school after participating in coaching programs (Schroeder et al., 2020).

Additionally, coaching helps individuals set clear goals, develop strategies to achieve them and maintain motivation throughout the goal-attainment process. This can increase self-confidence, self-esteem, and satisfaction (Schunk & Ertmer, 2000; Bandura, 1994).

Studies have also shown that coaching can improve problem-solving skills and resilience, which helps individuals cope better with stressful situations (Gladwell, 2008; Seligman & Csikszentmihalyi, 2000).

Alongside these individual benefits of coaching, studies also address its potential in collective and organizational contexts, where it can contribute to improved teamwork, conflict management, and increased productivity and employee satisfaction (Grant, 2016; Passmore & Fillery-Travis, 2011).

Despite many positive findings, further research is needed to better understand the long-term effects of coaching on individuals' mental health in various contexts.

### **Insights into gaps in existing research**

Despite advancements in research on coaching and its impact on children's mental health, there are several important gaps that need to be addressed for a better understanding and utilization of coaching in educational contexts.

Current studies often treat coaching as a universal method without exploring how the effects of coaching may vary across different age groups of children (Jones et al., 2015). Insufficient research thoroughly investigates the specific mechanisms through which coaching influences children's mental health (Grant, 2003). Understanding these mechanisms would enable better adaptation of coaching approaches to meet the individual needs of children. Moreover, most existing research focuses on the short-term effects of coaching. It is crucial to examine the long-term effects to understand whether the positive effects of coaching are sustained and how long they last (Jones et al., 2015). Finally, the majority of studies concentrate on the use of coaching in school contexts. Research should also explore the use of coaching outside of school environments, such as in the home, club settings, and other extracurricular activities (Jones et al., 2015).

### **How our study addresses these gaps**

Our study aims to address the gaps in current research on the impact of coaching on children's mental health with a comprehensive approach that includes several key aspects.

Firstly, the study will focus on the impact of coaching across age-specific groups. This means examining how the effects of coaching differ between middle school (8th graders) and high school students (9th graders).

Secondly, the study will conduct a detailed analysis of the mechanisms of coaching. The goal is to understand how and why coaching influences various aspects of children's mental health, including emotional regulation, self-esteem, and social skills. Using quantitative methods, the study will enable a deeper understanding of these mechanisms and identify specific processes through which coaching operates (Grant, 2003).

## METHODOLOGY

Our study utilized quantitative approaches to comprehensively understand students' emotional states and the impact of coaching on their emotional well-being. It also aimed to understand the overall effect of coaching on students.

The quantitative method employed involved the use of two surveys. The first survey targeted students (sample of 1740, conducted in 2024) to gather data on students' emotional states at the beginning and end of the school year. This survey covered various emotional states such as worry, boredom, relaxation, enthusiasm, numbness, etc. The second survey targeted teachers (sample of 485, conducted in 2022) and provided deeper insights into teachers' emotional states and their responses to the introduction of a new teaching method.

### Data collection method – first survey

The survey included demographic questions (gender, grade, region) and questions about students' emotional states at the beginning and end of the school year. The survey was distributed to students through school channels and email.

Participants included students from grades 8 and 9 from various primary schools across Slovenia. The sample comprised 1740 respondents, 53% female, 43% male, and 3% non-binary. In terms of grade level, 53% of students were in grade 8, while 47% were in grade 9. Geographically, the largest proportion of primary schools (22%) came from the Pomurska region, followed by Osrednjeslovenska (14%) and Gorenjska regions (17%).

### Data analysis – emotional states at the beginning and end of the school year

The empirical research was based on measurements within a specific time interval (from March 27, 2024, to May 6, 2024) and constituted a cross-sectional study. Data were collected using the IKA platform on the defined sample. The survey data were analyzed using quantitative methods, including ANOVA tests, to identify statistically significant differences in emotional states between the beginning and end of the school year.

The most common emotional states students experience at the beginning of the school year are worry and boredom. Nearly half of the students, 736 (44%), felt worried, while 37% felt bored. Other prevalent emotional states at the beginning of the school year included relaxation (30%) and a sense of control over their lives (15%). At the end of the school year, students most commonly felt worried and relaxed. Similar to the beginning of the year, worry remained the most prevalent emotional state, experienced by almost two-fifths of students (39%). In addition to worry, many students (39%) also felt relaxed. Other common emotional states at the end of the year included boredom (26%) and a sense of control over their lives (17%).

**TABLE 1.** Emotional states at the beginning of the school year

What emotional state did you feel most at the beginning of the school year (you can choose from several answers)?							
Sub-questions	Unit					Entries	
	Frequency	Valid	%-Valid	Appropriate	%-Appropriate	Frequency	%
Concern	736	1676	44%	1749	42%	736	100%
Anxiety	301	1676	18%	1749	17%	301	41%
Awakening (realizing that there is a solution)	164	1676	10%	1749	9%	164	22%
Enthusiasm (Progress)	215	1676	13%	1749	12%	215	29%
control (over one's own life)	257	1676	15%	1749	15%	257	35%
numbness (listlessness)	254	1676	15%	1749	15%	254	35%
boredom	615	1676	37%	1749	35%	615	84%
Relaxation	500	1676	30%	1749	29%	500	68%
TOTAL		1676		1749		736	100%
Sub-questions	Frequency	Valid	%-Valid	Appropriate	%-Appropriate	Frequency	%

Source: own.

**TABLE 2.** Emotional states at the end of the school year

What emotional state do you feel now that the school year is coming to an end (you can choose from several answers)?							
Sub-questions	Unit					Entries	
	Frequency	Valid	%-Valid	Appropriate	%-Appropriate	Frequency	%
Concern	645	1668	39%	1749	37%	645	100%
Anxiety	302	1668	18%	1749	17%	302	47%
Awakening (realizing that there is a solution)	251	1668	15%	1749	14%	251	39%
Enthusiasm (Progress)	308	1668	18%	1749	18%	308	48%
control (over one's own life)	280	1668	17%	1749	16%	280	43%
numbness (listlessness)	219	1668	13%	1749	13%	219	34%
boredom	431	1668	26%	1749	25%	431	67%
Relaxation	643	1668	39%	1749	37%	643	100%
TOTAL		1668		1749		645	100%
Sub-questions	Frequency	Valid	%-Valid	Appropriate	%-Appropriate	Frequency	%

Source: own.

Based on the results, it is evident that at the beginning of the school year, students more frequently reported emotional states related to worry, anxiety, boredom, and lower relaxation. They struggled more with feelings of control over their lives and experienced numbness. Towards the end of the school year, there was a slight shift in emotional states, with decreases in worry, anxiety, boredom, and numbness, while feelings of relaxation and enthusiasm slightly increased.

The data also reveals some correlations between different emotional states at the beginning and end of the school year. For instance, there is a negative correlation between worry and relaxation, indicating that students who are more worried at the beginning of the year often feel less relaxed, while those who are less worried tend to feel more relaxed. This could suggest that a reduction in worry towards the end of the year may be associated with increased relaxation.

Furthermore, a positive correlation between boredom and worry at the beginning of the year can be observed, meaning that students who are more bored also tend to feel more worried. However, this correlation decreases by the end of the year, suggesting that boredom and worry do not necessarily mutually reinforce each other; instead, one emotional state may decrease while the other remains stable or even increases.

These correlations provide insights into the complexity of students' emotional experiences and how these experiences change throughout the school year.

We conducted ANOVA tests to determine statistically significant differences in emotional states between the beginning and end of the school year. If the p-value is less than the chosen significance level ( $p < 0.05$ ), we can conclude that there are statistically significant differences between groups (emotional states at the beginning and end of the school year). We listed the results of the ANOVA tests for each emotional state:

- For the emotional state "Anxiety", we obtained a p-value of  $p = 0.9906$ .
- For the emotional state "Awakening", we obtained a p-value of  $p = 0.0517$ .
- For the emotional state "Enthusiasm", we obtained a p-value of  $p = 0.0047$ .
- For the emotional state "Control", we obtained a p-value of  $p = 0.6402$ .
- For the emotional state "Numbness", we obtained a p-value of  $p = 0.0311$ .
- For the emotional state "Boredom", we obtained a p-value of  $p = 0.0084$ .
- For the emotional state "Relaxation", we obtained a p-value of  $p = 0.0038$ .

Thus, statistically significant differences were observed in the emotional states of "Enthusiasm," "Numbness," "Boredom," and "Relaxation," as the p-values of these emotional states were less than the chosen significance level of 0.05. This indicates statistically significant differences in these emotional states between the beginning and end of the school year.

The observed statistically significant differences in emotional states between the beginning and end of the school year (enthusiasm, numbness, boredom, and relaxation) could provide valuable insights that could be used to improve the school environment and students' well-being. Implementing various supportive measures and strategies such as creating a safe and supportive environment, stress and anxiety coping programs, promoting self-esteem and confidence, fostering an encouraging learning environment, integrating innovative teaching methods, strengthening social support, and regularly monitoring emotional states could help the school promote positive emotional well-being among students and assist them in developing healthy coping strategies for emotional challenges.

### Interpretation of results

Statistically significant differences in emotional states between the beginning and end of the school year (enthusiasm, numbness, boredom, relaxation) suggest the need for developing targeted coaching strategies in the school environment. Effective coaching programs could include measures to promote positive emotional states and reduce the negative impacts of prolonged stress among students.

### Data collection method - second survey

To gather quantitative data, we designed questionnaires that encompassed teachers' emotional states and readiness for teaching innovations. The study included 485 teachers from various regions of Slovenia.

### Data analysis - coaching in the pedagogical process

The empirical research was based on measurements taken over a specific time interval (from January 1, 2022, to April 30, 2022) and constituted a cross-sectional study. Using the 1KA platform, we collected data from the defined sample, which were processed using Excel.

Regarding the statement: "In the past, I have adopted innovative ideas from elsewhere (e.g., from abroad) and incorporated them into my teaching process," 399 respondents, representing 82% of all participants, have already introduced innovations into their teaching process. A significantly smaller proportion, specifically 86 respondents or 18%, responded negatively to this statement.

**TABLE 3.** Implementation of innovations in the teaching process

NEW TEACHING METHOD Introducing novelties into the teaching process. In the past, I have already transferred an innovative idea from elsewhere (e.g. from abroad) and incorporated it into my teaching process.					
	Responses	Frequency	Percentage	Valid	Cumulative
	1 (YES)	399	63 %	82 %	82 %
	2 (NO)	86	14 %	18 %	100 %
Valid	Total	485	76 %	100 %	
		Average	1,2	Std. deviation	0,4

Source: own.

For the statement: "I am willing to introduce a new method into my teaching process, which would result in gaining healthy/strong authority, while listeners would be more motivated and successfully complete more activities," 414 respondents, representing 86% of all participants, are willing to introduce innovations into the teaching process. A negligible proportion, precisely 1% of respondents (3 participants), are not willing to make this decision, while 64 respondents, constituting 13%, responded with "maybe" to the statement. Based on the responses to this statement, it can be confidently stated that it is high time to make a move in the pedagogical space and introduce innovation through coaching. Respondents have shown interest in collaboration, new knowledge acquisition, and adopting new methods. Now, it depends on all of us to realize these intentions and introduce new teaching methods that will enhance the satisfaction of the teaching staff, students, and, consequently, school leaders.



Regarding the question: “Are you willing to further improve/educate yourself in order to achieve the above?” 415 respondents, which is 86% of all, answered that they are willing to further educate themselves to achieve the above. On the other hand, five respondents, constituting 1% of all respondents, answered that they are unwilling to educate themselves for this purpose. Uncertain respondents numbered 64, which represents 3% of all who answered the question with “maybe.” It is noted that the vast majority of people are thus willing to further educate themselves in this direction, suggesting the need for an action plan and work plan on how to achieve this.

Finally, in the last question of this section, we asked: “Are you willing to implement innovative ideas?” We found that 475 respondents, representing 98% of all, are willing to implement innovative ideas. Meanwhile, 10 respondents, constituting 2% of all respondents to this question, answered negatively. Based on the responses obtained, it can be confirmed that we are on the right path and that our project must not go unnoticed.

**TABLE 4.** Willingness to implement innovative ideas

And finally, in this context, we would like to know if you dare to realize innovative ideas?				
Responses	Frequency	Percentage	Valid	Cumulative
1 (YES)	475	75 %	98 %	98 %
2 (NO)	10	2 %	2 %	100 %
Total	485	76 %	100 %	

Source: own.

Based on the research findings and the high readiness of the teaching staff to adopt innovative approaches, the proposed implementation of coaching as a new teaching method in the school environment is recommended. Coaching is expected to elevate the satisfaction of the teaching staff, increase student motivation, and enhance emotional and academic development.

The data indicate that the majority of teachers have already introduced innovations into their teaching processes and are prepared for further innovations, demonstrating a high readiness for changes in pedagogical approaches.

Furthermore, the study findings on the impact of coaching on students have shown a reduction in negative emotional states such as anxiety, boredom, and apathy. Compared to the beginning of the school year, most students have shown increased levels of relaxation and enthusiasm, indicating a positive effect of coaching on students' emotional well-being.

## RESULTS AND DISCUSSION

The research results confirm that coaching positively impacts the mental health and academic performance of children. Quantitative data have shown statistically significant differences in students' emotional states between the beginning and the end of the school year, indicating an improvement in emotional well-being following the introduction of coaching.

Existing research has already suggested that coaching positively affects children's mental health, though previous studies have often been limited to specific populations or shorter time frames. Our study is more extensive, encompassing a larger sample (1740 respondents) and a longer observation period (from 2022 to 2024).

The findings of the study have important practical implications for educational institutions and practices. The findings indicate that coaching can significantly enhance students' emotional and academic states, underscoring the need to integrate such techniques into educational practices.

Proposed strategies for implementing coaching techniques in educational practices include several key steps aimed at facilitating effective integration of coaching into school environments and contributing to the improvement of students' mental health and academic success.

The first strategy involves teacher training. Educational institutions should organize regular training sessions where teachers acquire the necessary coaching skills. This includes practical workshops, seminars, and ongoing support to enable teachers to develop and reinforce new approaches in working with students. This will better prepare teachers to promote personal and academic development among their students.

The second critical strategy is creating a supportive environment within schools. Schools should strive to create an environment where students feel safe and heard. This can be achieved through regular individual discussions between teachers and students and organizing group activities that encourage collaboration, communication, and mutual support. Such an environment will enable students to better connect with their teachers and peers and cope with challenges more effectively.

The third strategy focuses on involving parents in the coaching process. Parents play a crucial role in supporting children's development, so it is important to familiarize them with the goals and methods of coaching. Schools can organize workshops and informational meetings for parents to educate them about the benefits and approaches of coaching and show them how they can support their children at home.

The fourth strategy is regular monitoring and evaluation of the effects of coaching. The effects of coaching should be regularly monitored by collecting feedback from students, teachers, and parents. Based on this feedback, coaching programs can be adjusted and improved to ensure they are as effective and relevant as possible for all involved.

The fifth strategy involves developing innovative teaching methods. Research findings indicate teachers' readiness to adopt new teaching methods that incorporate coaching techniques. Therefore, schools should encourage innovative teaching approaches and provide support for their implementation. This may include using various coaching techniques in the teaching process, enabling more interactive, dynamic, and student-centered education.

## **CONCLUSION**

Our research confirms that coaching positively impacts students' emotional and academic states. The readiness of teachers and students to participate in such programs and the supportive environment provided by parents and schools are crucial success factors. Educational institutions must recognize the potential of coaching and integrate it into their practices, contributing to the comprehensive development of children and improving the quality of education.

Integrating coaching techniques into educational and developmental practices can significantly improve children's mental health in multiple ways. Specifically, coaching helps children develop positive self-esteem and confidence, contributing to better social interaction and academic success. Coaching skills teach children how to effectively cope with stress and anxiety, contributing to a more stable emotional state. Coaching encourages children to reflect on their goals, values, and potential, contributing to their personal and academic development.

Based on the results of this research, numerous areas are open for further research that could deepen our understanding of the impact of coaching techniques on children's mental health. Longitudinal studies are needed to monitor the effects of coaching techniques on children's mental health over several years to better understand long-term benefits. Future research should include different age groups of children to determine how the effects of coaching vary by age. Research should also examine how various environmental factors, such as family relationships, socio-economic status, and cultural differences, affect the effectiveness of coaching techniques.

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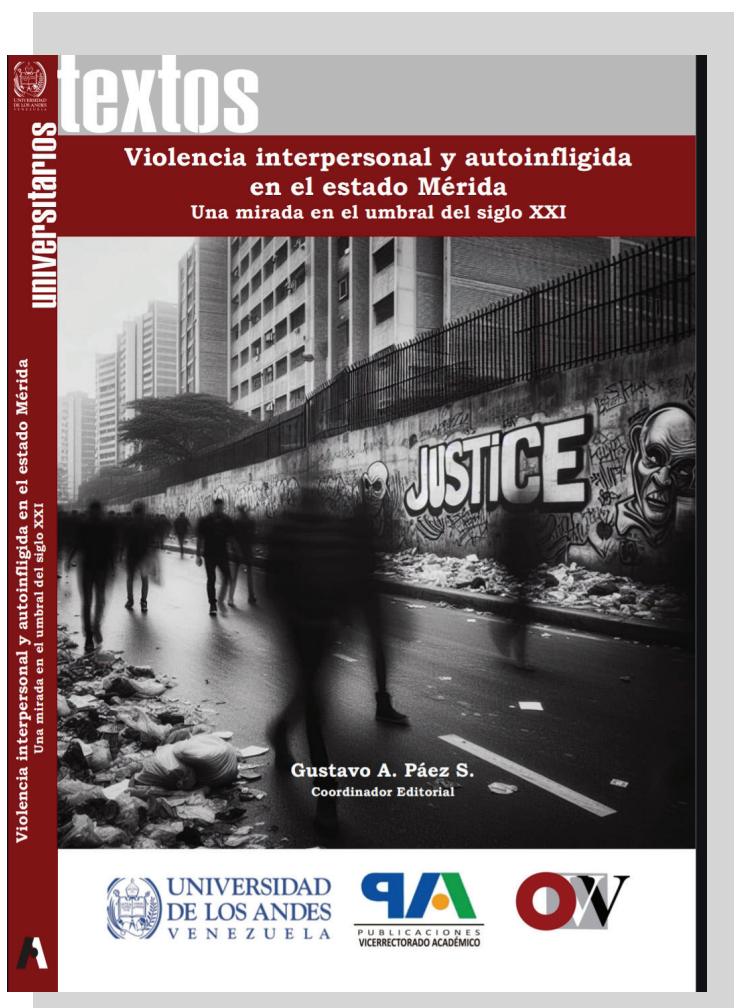


## INTERACCIÓN Y PERSPECTIVA

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# RECENSIÓN



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*Violencia interpersonal y autoinfligida en el estado Mérida. Una mirada en el umbral del siglo XXI*, es una obra escrita bajo la coordinación editorial de Gustavo A. Páez S., quien es reconocido por su trayectoria como docente de pre y postgrado en la Universidad de Los Andes (ULA), por su coordinación en el Observatorio Venezolano de Violencia-Región Mérida (OVV-Mérida). Es investigador del Laboratorio de Ciencias Sociales (LACSO), investigador invitado del Centro de Estudios Regionales de la Universidad Católica Andrés Bello extensión Guayana. Sus líneas de investigación se centran en estudiar el comportamiento temporal y espacial de la mortalidad diferencial en Venezuela, así como de la violencia interpersonal y autoinfligida en el país con énfasis en el estado Mérida. Ha publicado diversos artículos científicos en revistas indexadas tanto a nivel nacional como internacional. Es autor del libro titulado: *Demografía. Indicadores y principales métodos* (2018), así como de varios capítulos publicados en libros vinculados con la temática de la violencia: *Los nuevos rostros de la violencia* (2019); y *Tanatopolítica en Venezuela* (2022). En otros, además de ser autor de varios capítulos, ha fungido como revisor-editor: *Violencia contra la niñez y la juventud en Venezuela* (2023); *Cuando ellas agreden* (2023); y *La gobernanza criminal y el Estado* (2023). El autor es geógrafo, magíster en Ordenación del Territorio y Ambiente y especialista en Análisis Demográfico. En el año 2013, el Vicerrectorado Académico de la ULA le confirió la Condecoración: “Dr. Rafael Chuecos Poggioli” en su 3ra Clase, por trayectoria docente y de investigación, además, ha recibido reconocimientos del Programa del Estímulo al Investigador e Innovador (PEII) del Observatorio Nacional de Ciencia y Tecnología (ONCTI) (2013- 2014 y 2015-2016); del PEII ULA (2013-2014, 2015-2016 y 2017-2018) y del Programa Estímulo a la Docencia Universitaria “Dr. Mariano Picón Salas” (PED) (2017-2018 y 2020-2021). Su equipo está conformado por: Yhimaina J. Urbina T., Karina Rondón, Adelfo Solarte, Nilsa Gulfo y Jesús Boada.

El autor aborda temas sensibles, como la violencia interpersonal y la violencia autoinfligida. Esto revela el compromiso de Gustavo Páez, quien ha asumido con rigurosidad el desarrollo de procesos de investigación, que implican no solo un trabajo en conjunto, sino una serie de riesgos, al exponer sus resultados, muchas veces incómodos. Al anclarnos de forma consciente en la lectura de esta obra, se observa que el autor asume con total compromiso sus planteamientos.

El estudio se concentra en el estado Mérida. No obstante, los resultados se discuten, a partir del contexto nacional. Es decir, se ubican en un país que se levanta y se duerme cada día en medio de una crisis humanitaria compleja, la cual trastoca la vida de quienes habitan este territorio, donde florecen los apegos, se siembran los sueños, se sufre cada día y se teme ser una víctima o una estadística más, producto de la violencia.

En este estudio no encontramos frialdad ni datos desencajados. Hallamos, eso sí, discursos hilvanados por un solo propósito: mostrar al país estadísticas e interpretaciones que tienen rostros marcados por la violencia. También, en las páginas de este libro, la esperanza, en medio del dolor y de tanto silencio, revelan la necesidad de abrir espacios para la discusión y la reflexión en el umbral del siglo XXI.

El enfoque que sostiene los planteamientos es el de la posible transdisciplinariedad, desde la cual se integran diversas miradas y se cohesionan los saberes. En medio de las contradicciones y los disensos, se desenmascaran, tanto la maraña de causas como las diversas manifestaciones de la violencia.

El libro comienza con un prólogo sentido, elaborado probablemente en medio de tertulias académicas, café, lecturas, salidas o puestas del sol: alimentos para la inspiración de Roberto Briceño León, quien interpreta esta obra como la síntesis de un compromiso de muchas voces, que, en 2005, llevó a profesores, investigadores y directivos de diversas universidades nacionales públicas y privadas, a crear el Observatorio Venezolano de Violencia (OVV) en el país. En especial, el OVV de la Universidad de Los Andes ha jugado un papel importante para develar la violencia que se vive en el estado Mérida. Con esta antesala nos adentramos a una lectura de realidades complejas.

El libro se divide en tres partes. La primera se titula *Violencia interpersonal: cifras, estimaciones y casos emblemáticos*. El autor diserta sobre la diversidad de la violencia. Al inicio de esta sección, el lector se encuentra con la definición de violencia interpersonal. Además, se aclaran las fuentes y los procedimientos utilizados para el análisis e interpretación de la realidad. Resalta en esta parte, un enfoque cuantitativo, rico en datos; que al ser interpretados permiten comprender la grave situación de violencia que vive el estado Mérida. Se manejan las tasas de muertes violentas ubicadas en un hilo temporal que abarca básicamente desde 2018 hasta 2022. Se presenta un conjunto de análisis que parte de los espacios nacional, regional, municipal y parroquial. Se abordan delitos como los homicidios, muertes por intervención policial, robos, violencia contra niños, niñas y adolescentes. También se muestra “el rostro femenino de la violencia”.

En la parte II, titulada *Violencia autoinfligida: cifras y estimaciones*, el autor explica la ocurrencia y frecuencia de los suicidios en la entidad y al respecto señala que “En Mérida, desde la década de los años 70, esta causa de muerte comenzó a cobrar importancia en cuanto a su ocurrencia y frecuencia” (Páez, 2024: 190). Ante esta realidad abrumadora, preocupante y que demanda atención, el autor se plantea abordar la problemática asumiendo dos enfoques: cuantitativo y cualitativo. Se dedica, junto a su equipo de investigadores, a observar la evolución histórica de la ocurrencia y frecuencia de los suicidios en Mérida y compararlos con otros estados del país. De igual forma, hace énfasis en la estimación de su tendencia.

Esta investigación resultó un reto para Gustavo Páez, pues “ni para Venezuela ni para el estado Mérida, se cuenta con proyecciones vigentes que hayan sido ajustadas a los cambios demográficos sucedidos en los últimos años” (Páez, 2024: 193). Así que la responsabilidad fue mayor, los esfuerzos se duplicaron para poder manejar con precisión la realidad investigada. A pesar de este obstáculo, después de una profunda revisión de los datos disponibles y otros construidos, a partir de la investigación, se puede señalar que todo apunta a que efectivamente Mérida ocupa el primer lugar en el país, en cuanto a suicidios se refiere. De allí, su interés por estudiarlo, pues es evidente que es un problema que atenta contra vidas humanas y deja secuelas en las familias, vecinos y en la sociedad. Su recrudecimiento, según el autor, se fundamenta en la crisis que vive el país: “inseguridad alimentaria en la población, aumento de la inflación, subempleo, deterioro de las condiciones laborales, entre otras desmejoras económicas, incremento de la inseguridad ciudadana y la violencia, ascenso de las tasas de mortalidad infantil y mortalidad en general, deterioro profundo de la salud de las personas y del sistema de salud pública, pobreza creciente, deficiencia en la cobertura y calidad de los servicios públicos, migración forzada hacia el exterior” (Páez, 2024: 193). Esto puede generar sentimientos y pensamientos negativos; así como un es-

tado indeseado de depresión. Al lado de esto, se encuentra la falta de herramientas para controlar los estados de desesperación e incertidumbre que se enfrentan en un país donde todo se torna más difícil. Se muestra que los hombres merideños, de mediana y de tercera edad son quienes más cometen suicidios, haciendo uso, principalmente, del método de ahorcamiento y envenenamiento. Esto puede deberse a la manera como ellos abordan sus problemas, entre otros factores de índole social y económico. Para el autor, es preocupante que en los últimos años se haya detectado un incremento de la participación femenina en el cometimiento de suicidios. Como un aporte importante, la obra muestra una tabla referida a: *Señales, indicios y comportamientos de potenciales conductas suicidas* (Páez, 2024: 252), la cual brinda la posibilidad de predecirlos y evitarlos. Este instrumento es un recurso importante para poner a salvo a familiares, vecinos y amigos. Por supuesto, esta tarea exige un proceso de observación sistemático para detectar y evaluar, a tiempo, esos indicadores.

En esta segunda parte, los lectores encuentran información relevante sobre el suicidio, la violencia autoinfligida en tiempos de crisis humanitaria y pandemia por Covid-19 (2020-2022). El autor también se dedica a estudiar este tipo de violencia en niños, niñas y adolescentes venezolanos.

Gustavo Páez en su condición de geógrafo, demógrafo y de magíster en Ordenación del Territorio y Ambiente nos muestra la violencia autoinfligida, a partir del uso de la cartografía que le permite ubicar y analizar el problema en las diferentes parroquias y sectores de la ciudad de Mérida. De esta manera, nos muestra la configuración espacial urbana de las muertes por suicidio.

La tercera parte: *“Impactos demográficos derivados de la violencia estructural”*, nos permite reflexionar sobre lo que acontece en Mérida, en lo que concierne a los efectos de la violencia estructural que experimentan quienes habitan Venezuela. Como bien señala en esta sección: “Lo cierto es que es muy probable que esta situación de emergencia haya ocasionado efectos sobre las tasas de mortalidad de Mérida, llevándolas a incrementarse y, por ende, a retroceder la esperanza de vida en la entidad” (Páez, 2024: 403).

Para cerrar, Gustavo Páez, centra su mirada el tema referido a la “Mortalidad infantil en Venezuela: 30 años de retroceso” y demuestra que “Después de cerca de ocho décadas de descenso, la tasa de mortalidad infantil en Venezuela, en el último quinquenio (2015-2020), ha elevado sus valores a luz de una profunda emergencia humanitaria compleja. Esto representa un retroceso en el indicador de unos 30 años y una pérdida de muchos logros alcanzados en la batalla contra las diferentes causas de muerte que diezaban la población infantil en el país” (Páez, 2024: 442).

El compromiso de Gustavo Páez y su equipo de trabajo, con Venezuela y con el estado Mérida es mayúsculo. Es un esfuerzo, que, sin dudas, se hace desde la individualidad hasta alcanzar un Nosotros: universidades, investigadores, oenegés, instituciones interesadas en el bienestar y en la vida de los venezolanos. Pero, sobre todo, es una responsabilidad que debería alcanzar a las políticas públicas; así como inclinarse hacia la prevención de la violencia interpersonal y autoinfligida, la superación de la crisis humanitaria compleja y apostar por una convivencia de paz, en plena libertad y respeto de los derechos de los venezolanos. La protección del ser humano y el reclamo por la justicia social sostienen la obra, que Gustavo Páez y su equipo desarrollaron.

Para el final, he dejado la profunda y sencilla dedicatoria con la cual nos da la bienvenida Gustavo: “A mi esposa Karina y a mi hija Valeria, mis dos grandes fuentes de inspiración” (Páez, 2024). A través de estas palabras, el investigador muestra su compromiso con su núcleo de afectos más cercano, y si leemos entre líneas, encontramos que en ella resalta el respeto hacia las familias y todos los niños y niñas del país. Su bienestar constituye el centro de los esfuerzos investigativos de este equipo, que ante todo se propone mostrar una dura realidad, con el propósito de intentar prevenir la violencia interpersonal y la violencia autoinfligida. Como sabemos, transversalmente sus consecuencias nos marcan a todos.

No se puede cerrar esta reseña, sin antes brindar un sentido reconocimiento a los familiares de Gustavo Páez y de su equipo. Ellos han estado a su lado y han tejido estas líneas indirectamente: con sus esperas pacientes, con sus besos *recargándose por horas*, con su disposición a acompañar enmudecidos en las noches de cansancio, y también en esos días cuando las cosas no salieron como los investigadores lo esperaban. Ellos, también han estado presentes en esos momentos de logros relacionados con la consecución de los resultados de esta investigación, expresados en 454 páginas.

Los investigadores tienen la plena conciencia, que además de sus esfuerzos, de su dedicación y de su rigurosidad, los abrazos y la comprensión ofrecida por padres, madres, esposas, esposos, hijos, hijas, novias, novios, tías, abuelos, los impulsaron a seguir. Saben también que contaron con el apoyo de la ULA, del OVV, de LACSO, de la editorial, de los estudiantes, de los entrevistados y de los múltiples autores citados. Muchos otros, ofrecieron su ayuda; aunque sus nombres quedarán en el anonimato, nuestros reconocimientos los alcanzan. Sus aportes lograron que este libro pudiera concretarse exitosamente, en medio de un andar en zigzag.

En fin, es una obra científica, sentida y escrita por Gustavo Páez, con el apoyo de su grupo de investigadores pertenecientes a la Universidad de Los Andes y al Observatorio Venezolano de Violencia. Todos han unido sus voces y han roto “el augusto silencio de los páramos con un grito de admiración”; así como lo hizo Caribay, en la célebre obra de Tulio Febres Cordero: “Las Cinco Águilas Blancas” (1895). Y, aunque la realidad es abrumadora, es necesario mostrarla, asidos de la esperanza de que alguna vez--otra vez--los niños, niñas y adolescentes de Mérida y del resto del país volverán a jugar como Caribay: “como el viento con las flores y los árboles”, seguros y con una esperanza de vida aceptable.

## INTERACCIÓN Y PERSPECTIVA

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- Capítulos de libros: Apellidos, nombres, año de publicación entre paréntesis, título del capítulo entrecomillado, apellidos del editor o compilador, nombres del editor o compilador, título del libro, lugar de publicación, casa editora, páginas del capítulo. León U., José. (2010). "Salud y participación popular: hacia una ciudadanía plena". En Lévy, J. & Malo, M. *De la participación en salud a la construcción del poder popular: Experiencias para el debate*. Maracay: IAES pp. 17-30.
- Revistas Periódicas: Apellidos, nombres, año entre paréntesis, título entrecomillado, nombre de la revista, volumen, número, lugar de publicación, páginas que comprende el artículo. Pereira Jardim, Lourdes (2008). "Teoría Social y concepción del trabajo: Una mirada a los teóricos del siglo XIX". *Gaceta Laboral*. Vol. 14, No. 1. Maracaibo, Venezuela. pp. 81-101.
- Comunicaciones Personales: Esqueda-Torres, Luis S: Comunicación personal. - Resultados no publicados: Sánchez, Ligia M.: Resultados no publicados.
- Memorias de Congresos: Morales, Osiris: Programa de prevención integral en drogas como estrategia de intervención en las comunidades. pp. 99. Congreso de Trabajo Social –II Internacional y IV Nacional-. Maracaibo, Venezuela, 2000.
- En caso de usar las fuentes en Internet, debe mencionar el autor (de tenerlo), página web, día, mes, y año en que se efectuó la consulta. Hernández, Daniel R. La blogósfera cuenta con más de 60 mil blogs locales. En: [http://www.eluniversal.com/2008/01/25/ccs\\_art\\_lablogosfera-cuenta\\_686549.shtml](http://www.eluniversal.com/2008/01/25/ccs_art_lablogosfera-cuenta_686549.shtml). Fecha de consulta: 04/02/09.