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El Dr. Jesús Enrique Lossada, luego de trabajar infatigablemente hasta lograr la reapertura de la Universidad del Zulia, el 01 de octubre de 1946, le aportó a esta institución su primera revista científica: la *Revista de la Universidad del Zulia*, fundada por este insigne zuliano, el 31 de mayo de 1947. En su Tercera Época la revista mantiene la orientación que le asignara su fundador: es un órgano científico de difusión de trabajos parciales o definitivos de investigadores y/o equipos de investigación nacionales y extranjeros. La revista posee un carácter multidisciplinario, por ello su temática se divide en tres grandes ejes: a. ciencias sociales y arte; b. ciencias del agro, ingeniería y tecnología; c. ciencias exactas, naturales y de la salud. Su publicación es cuatrimestral. Cada número, de los tres del año, se corresponde con uno de los tres ejes temáticos. La *Revista de la Universidad del Zulia*, por su naturaleza histórica y patrimonial, está adscrita a la Cátedra libre Historia de la Universidad del Zulia.

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El enfoque geohistórico como estrategia para el abordaje de la dinámica espacial

Gerardo Valera *

RESUMEN

El presente trabajo introductorio del Número 34 de la *Revista de la Universidad del Zulia*, tiene como propósito valorar al enfoque geohistórico como una estrategia para el abordaje de la dinámica espacial desde lo inter y transdisciplinario, a partir de los aportes teóricos de: Palencia (2003), Ceballos (2007), Morillo et al (2010), Morales (2014), Ramírez y Puerta (2013). El enfoque geohistórico concibe el espacio desde un punto de vista humano, trascendiendo lo meramente geográfico e histórico, para dialogar con el conjunto de las ciencias humanas. Este abordaje inter y transdisciplinario permite concebir el espacio desde diferentes matices, para emitir juicios más aproximados a la realidad

PALABRAS CLAVE: geografía histórica; historia; geografía humana; enfoque interdisciplinario.

The geohistorical approach as a strategy for addressing spatial dynamics

ABSTRACT

The present introductory work of issue 34 of the *Journal of the University of Zulia*, aims to assess the geohistorical approach as a strategy for the approach of spatial dynamics from the interdisciplinary, from the theoretical contributions of: Palencia (2003), Ceballos (2007), Morillo et al (2010), Morales (2014), Ramírez and Puerta (2013). The geohistorical approach conceives space from a human point of view, transcending the merely geographical and historical, to dialogue with the whole of the human sciences. This interdisciplinary approach allows to conceive the space from different nuances, to make judgments closer to reality

KEYWORDS: historical geography; history; human geography; interdisciplinary approach.

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La Geohistoria es la ciencia fundada por el historiador francés Fernand Braudel (1902 – 1985), quien inspirado en sus homólogos Lucien Febvre y Marc Bloch, escribió en 1949: “*El Mediterráneo y el mundo mediterráneo en la época de Felipe II* (originalmente *La Méditerranée et le Monde Méditerranéen a l'époque de Philippe II*).

En Venezuela el liderazgo científico de la Geohistoria lo ejerció el profesor e investigador Ramón Adolfo Tovar López (1923-2018) de la Universidad Pedagógica Experimental Libertador (UPEL). Esta herencia braudeliiana tiene su génesis a partir de sus estudios realizados en el Instituto de Geografía de la Universidad de Estrasburgo (Francia). Al llegar a su tierra natal y en la búsqueda de una teoría propia y que fuese capaz de explicar la realidad del espacio venezolano establece el carácter de la geografía como ciencia social afirmando que ésta “...explica la organización diferenciada del espacio estructurado por los grupos humanos dentro de condiciones históricas determinadas” (Tovar, 1996), dando a la geografía un papel de vanguardia en el estudio de los fenómenos sociales que se presenta en la comunidad, y haciendo de ésta una ciencia de síntesis, de análisis y relaciones de esos acontecimiento; atendiendo además, las posibles influencias que genera al estilo de vida del individuo.

“El Enfoque Geohistórico se desprende de la concepción geográfica que entiende al espacio como un producto concreto o síntesis de la acción de los grupos humanos sobre su medio ambiente para su necesaria conservación y reproducción sujeto a condiciones históricas determinadas” (Tovar, 1986:23), permitiendo conocer e intervenir las distintas realidades que viven las comunidades en un tiempo determinado, es decir, participan conjuntamente las metodologías tanto de la geografía como de la historia anticipado por un proceso de reflexión y razonamiento (Orella, 2010).

La Geohistoria busca modelos de actuación mixtos, fruto de una observación espacio-temporal y entra en campos de investigación propios como son los medios y sistemas de producción dentro de su soporte espacial. Al respecto, Morales (2014: 288) aclara que la Geohistoria “es un saber que surge desde la geografía como disciplina que la origina, edificada según este práctico y novedoso diálogo constructivo entre dos disciplinas, en nuestro caso geografía e historia”.

Sin embargo, queda claro que no es suficiente marcar en un espacio y tiempo concretos los cambios del medio natural en función de la actuación tecnológica humana. Un análisis

geohistórico exige la combinación de los resultados que en un momento dado devienen de las opciones humanas y las determinaciones reales de la naturaleza. La Geohistoria detecta en cada época histórica el juego peculiar de opciones humanas y de determinismos naturales.

Se trata entonces de concebir el espacio desde un punto de vista humano. La concepción geohistórica del espacio conduce a su análisis objetivo, teniendo en cuenta que la realidad es compleja, heterogénea y multivariable, pero que necesita de la contribución de un contingente humano con sentido de pertenencia:

“la Geohistoria es una ciencia que diagnostica pero que supone compromiso: ella es fiel a la condición del pueblo como la solidaridad del grupo humano con su territorio, así como la nación: una comunidad estable, históricamente formada de lengua, territorio, vida económica, manifestada en la comunidad, en su cultura” (Tovar, 1986:63).

Por su parte, Ramírez y Puerta (2013) consideran que las condiciones actuales que vive la humanidad obligan a estrechar el diálogo entre las disciplinas científicas, en la búsqueda de condiciones que favorezcan cada día más a los seres vivos y a los recursos naturales. Esta condición aparece presente en el Enfoque Geohistórico, pues se vale de su metodología para la búsqueda de la resolución de los problemas presentes en el entorno. Al respecto:

“Lo geohistórico se plantea con una visión interdisciplinaria, donde convergen la vertiente sociológica, antropológica e histórica, además de la económica para la definición de una espacialidad producto de condiciones históricas dadas. Conlleva a la identificación de “las permutaciones Geohistóricas” como vía para descubrir los signos del cambio a fin de dar las pautas para acciones concretas que atiendan a las necesidades de los grupos humanos” (Ceballos, 2007: 236).

El enfoque geohistórico, entonces, brindará los elementos necesarios para reflexionar sobre el entorno inmediato, bajo escenarios auténticos y reales en un momento histórico determinado, todo esto bajo una concepción que trasciende la disciplina meramente geográfica. Al abordar un espacio desde lo geohistórico,

“...en esencia persiste una propuesta de interdisciplinaria y transdisciplinaria; en ella visualizamos la posibilidad de aprehender la realidad, comprenderla y explicarla en su complejidad. Lo geohistórico invita a repensar el espacio social construido por los grupos humanos en condiciones históricas determinadas” (Ramírez y Puerta, 2013: 67).

Sin duda que el abordaje inter y transdisciplinario permite concebir el espacio desde diferentes matices para emitir juicios más aproximados a la realidad a diferentes escalas. Por esta razón, Palencia (2003: 38) establece que,

“El Enfoque Geohistórico contribuye al estudio del espacio desde diversas perspectivas: socio históricas, socio – espacial, socio – económica, socio – cultural, para una mejor aproximación, interpretación y comprensión del espacio a escala micro, meso y macro”.

De modo que el abordaje del espacio desde lo geohistórico garantizaría la conexión con otras estructuras del conocimiento, donde no solo se retroalimentaría de la geografía y de la historia, sino involucraría las demás ciencias humanas. Al respecto, Morales (2014: 288) destaca el aspecto interdisciplinar de la Geohistoria y enuncia que “su condición de saber relacional, le permite establecer vasos comunicantes con lo antropológico, lo sociológico y lo histórico manifestados y concretizados en la estructura del espacio”.

En los tiempos actuales, cada día se hace más prioritario que todo individuo adquiera destrezas que le permita intervenir su espacio y que sea capaz de definir, comprender y analizar su propio entorno, a fin de generar la interpretación de los distintos fenómenos encontrados. Es por ello que Ramírez y Puerta (2013: 73) aseguran que “la pertinencia del enfoque geohistórico, en tiempos de globalización, radica en la posibilidad de producir teoría geográfica, asumiendo las especificidades de nuestros propios espacios”.

De esta manera, al tomar el enfoque geohistórico como metodología de aprendizaje de la geografía, se está asumiendo el compromiso de incursionar en el campo científico a través de la investigación y, por ende, de las diferentes fases del método científico, como lo son: la observación, la formulación de hipótesis y la refutación de las mismas, permitiendo llegar a la emisión de teorías que explican el proceso anterior. En efecto, “El aprendizaje geográfico que se pretende, tiene la pertenencia de inducir al estudio de lo local, el observar el orden natural y el orden creado, la ubicación del espacio y del tiempo” (Bejas et al., 2006: 13).

En el mismo orden de ideas, Palencia (2003) sostiene que el enfoque geohistórico brinda la oportunidad de interpretar las formas, estructuras y dinámicas de los centros poblados, a partir de los puntos de vista social, económico y cultural, al mismo tiempo que nos permite establecer una visión general de los elementos que integran al conjunto espacial en sus diferentes escalas.

En consecuencia, el enfoque geohistórico conduce a la elaboración de un sistema conceptual, por medio del cual es posible estudiar la realidad y clasificar los hechos observados, sistematizándolos mediante generalizaciones empíricas que permiten aprehender el entorno, lo que se traduce en conocimiento y mejor calidad de vida.

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Modelización financiera aplicada en empresas del sector manufacturero en la ciudad de Santo Domingo de los Tsáchilas, Ecuador

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RESUMEN

La presente investigación tiene como objetivo dar a conocer las diversas herramientas de planeación y modelación financiera aplicada en el contexto de las pymes para la determinación de necesidades de financiamiento externo, niveles de activos y realizar predicciones financieras mediante el empleo de los estados financieros, volúmenes de ventas, y razones financieras. La investigación desarrollada en la empresa Reciplacom S.A durante el periodo 2016-2019 tuvo como criterio establecer una política estructurada para la realización de una planeación eficiente y la optimización de recursos mediante el empleo de un enfoque mixto. Para el análisis matemático, estadístico y gráfico se utilizaron las aplicaciones informáticas Microsoft® Excel (2019), y SPSS versión 21. Se realizó la aplicación de la regresión lineal múltiple utilizando las herramientas estadísticas de Kolmogoro-Smirnov y la autocorrelación de residuos de Durbin Watson lo que permitió determinar los porcentajes de proyección de estados financieros, niveles de activos y excesos de financiamiento externo. Las predicciones se ajustan mejor al modelo ARIMA (0,0,0) (0,0,0). Para concluir, se puede evidenciar que las técnicas de planeación y modelación financiera aplicada ayudan a determinar la salud financiera de la empresa a largo plazo, brindando parámetros eficientes en cuanto a la determinación de los fondos externos requeridos.

PALABRAS CLAVE: Planificación; financiación; política financiera; inversión; datos estadísticos.

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Financial modeling applied in companies in the manufacturing sector in the city of Santo Domingo de los Tsáchilas, Ecuador

ABSTRACT

The present research aims to present the various financial planning and modeling tools applied in the context of SMEs to determine external financing needs, asset levels and make financial predictions through the use of financial statements, volumes of sales, and financial reasons. The research carried out in the company Reciplacom S.A during the period 2016-2019 had as a criterion to establish a structured policy for the realization of efficient planning and the optimization of resources through the use of a mixed approach. For the mathematical, statistical and graphic analysis, the computer applications Microsoft® Excel (2019), and SPSS version 21 were used. Multiple linear regression was applied using the Kolmogoro-Smirnov statistical tools and the Durbin Watson residuals autocorrelation, which allowed determining the projection percentages of financial statements, asset levels and excesses of external financing. The predictions better fit the ARIMA model (0,0,0) (0,0,0). To conclude, it can be seen that the applied financial planning and modeling techniques help to determine the financial health of the company in the long term, providing efficient parameters in terms of determining the external funds required.

PALABRAS CLAVE: Planning; financing; financial policy; investment; statistical data.

Introducción

Conforme a las nuevas condiciones económicas y financieras en Ecuador, es de vital importancia que las pequeñas y medianas empresas pongan en práctica estudios de investigación para poder mejorar su situación financiera. De aquí parte la importancia de las decisiones a corto y mediano plazo para el éxito de la empresa y toma de decisiones gerenciales que influyan eficientemente en la obtención de mejores fuentes de financiamiento. Siguiendo este modelo, se manifiestan los relatos teóricos sobre la planeación y modelación financiera en el contexto internacional, técnicas de planeación financiera a corto plazo, determinación de fondos externos requeridos y predicción de niveles de activos mediante la regresión lineal múltiple.

Dentro de esta investigación se considera el financiamiento externo de la empresa para poder tomar decisiones de inversión en función de las operaciones de negocio de la organización, a realizarse tanto en mediano y largo plazo en el país; determinando así los fondos requeridos en el proceso de análisis financiero de acuerdo a la modelación financiera

aplicada, que es de importancia en la administración moderna y que influirá en el transcurso continuo administrativo de la organización.

Todo lo anteriormente descrito está fundamentado en Córdoba (2012), Domínguez (2011), Fernández (2010) y Gómez (2003), lo que servirá para que la empresa siga aumentando su éxito empresarial, particularmente de acuerdo a las necesidades de financiamiento externo, las cuales están direccionadas bajo la aplicación de la modelación financiera aplicada que contribuye al cumplimiento eficiente de los objetivos generales, para que se administren de mejor manera los recursos financieros de la empresa.

En la ciudad de Santo Domingo de los Tsáchilas las pequeñas y medianas empresas se amplían conforme al desarrollo de la provincia, que cada día crece teniendo más colaboración económica en el contexto nacional e internacional. Para que esto siga manteniéndose, las empresas deben aplicar técnicas y herramientas que permitan prever el futuro de la organización. Se ha tomado como objeto de estudio a la Empresa Reciplacom S.A, identificando como problemática de investigación que, en la misma, no se han implementado a partir de la modelación financiera aplicada, herramientas para la determinación de niveles de activos y requerimientos financieros que incidan eficientemente en el proceso de toma de decisiones de la empresa.

Esta investigación se justifica al poseer una estrecha relación con el eje 2, objetivo 4 del Plan Nacional de Desarrollo 2017-2021 *Toda una vida de Ecuador*: Consolidar la sostenibilidad del sistema económico social y solidario, y afianzar la dolarización. Garantizar el funcionamiento adecuando de la sostenibilidad macroeconómica y al desarrollo del país. Además, se encuentra direccionado con la línea de investigación de la Pontificia Universidad Católica del Ecuador, Sede Santo Domingo ligada a la administración eficiente y eficaz de las organizaciones para la competitividad local y global, que tributa directamente al Proyecto de Investigación Finnovaplan de la Puce SD y al Plan de desarrollo de Ordenamiento Territorial Santo Domingo 2015 -2030.

El objetivo general de la investigación se identifica como: La determinación de las necesidades de financiamiento externo, niveles de activos y predicciones financieras para la Empresa Reciplacom S.A., mediante la aplicación de técnicas y herramientas de planeación y modelación financiera aplicada.

1. Revisión de literatura

1.1. Planeación y modelación financiera aplicada en el contexto internacional

Hace varios años, la modelación financiera no era muy tomada en cuenta dentro de países, a excepción de las potencias mundiales; como lo menciona Suárez (2014: 1-2) “Estados Unidos es el líder indiscutible en la planeación financiera y su modelación”. Aportando a esta cita, se considera a este país un modelo que gracias a sus principios ha mantenido un sistema a seguir que se debe ir actualizando de acuerdo con las necesidades que diariamente surgen de las empresas, y poder mejorar su rentabilidad y su estabilidad económica.

Para entender el financiamiento en el contexto mundial se debe tener en cuenta las causas que generan la necesidad de financiamiento, las mismas que surgen en las economías europeas ya que por las guerras, el logro de la estabilidad financiera de ese continente exigía estimular el desarrollo económico y social. Los estados financieros ofrecen información de hechos pasados, son un punto de partida para el desarrollo de un plan financiero a futuro, mediante la utilización de las finanzas y las estrategias de financiamiento.

La modelación financiera crea una guía de lo que se hará en el futuro, es un medio de visualización sistemática del financiamiento que se requiere por parte de las empresas para, en el caso que sea necesario, la adquisición de un activo fijo o la implementación de un nuevo producto hacia el mercado (Ugando et al., 2019: 65-78). Es por ello que se debe elaborar una planeación, para en base a este patrón determinar la viabilidad que tiene la empresa para su posterior evaluación y realización del mismo (Castro, 2017: 17).

Utilizando la información de los estados financieros de años pasados se puede empezar con el análisis, el cual revela los movimientos que se realizan en cuentas de activo y la relación que tengan con los pasivos y el patrimonio o viceversa. Ross et al., (2012) y Van Horne (2014), mencionan como punto de partida el análisis vertical de los estados financieros de un mismo periodo contable; aquí se trata de encontrar la magnitud de las cifras juntamente con las relaciones que tienen las subcuentas con el total de la cuenta principal; las cantidades obtenidas se interpretan en porcentajes permitiendo conocer la estructura de la empresa. El análisis horizontal se hace para ambos estados pertenecientes a varios períodos; se deben tener en cuenta las ponderaciones de los periodos, siendo estas importantes en razón a que generan la condición de los cambios. En las comparaciones históricas es donde se muestran los cambios que han sufrido las diversas cuentas de activos, pasivos y patrimonio que están

definidos en porcentajes (Van Horne, 2010). Estos criterios concuerdan con los resultados de investigación obtenidos por Ugando et al. (2021).

1.2. Técnicas de planeación financiera a corto plazo

Mediante las proyecciones de ingresos y desembolsos futuros, la empresa puede obtener el presupuesto de caja de varios periodos. Ross et al. (2012) exponen un modelo general para poder realizar el pronóstico de efectivo: empezando por el pronóstico de ventas, el cual es fundamental para las proyecciones de efectivo de la empresa; este se puede basar en un análisis interno, externo o ambos.

Siguiendo con el modelo, el pronóstico de desembolso de efectivo se efectúa después de realizar las proyecciones de ventas; este desembolso procede de todas las reparticiones de efectivo que ocurren dentro de un periodo contable de la empresa, que se fluctúan generalmente por las ventas de los productos, reflejado también en el costo de ventas, salarios y las rotaciones de inventarios, todo este grupo de rubros son los que generan el mayor movimiento de dinero por el relativo intercambio entre producto y efectivo. A esto se puede adicionar los gastos de ventas por el cumplimiento de las metas que se establecen por un determinado monto de productos vendidos.

De la misma manera hay egresos que no se toman en cuenta, como lo son: las compras en efectivo, cuentas por pagar que han sido canceladas, dividendos, los sueldos a trabajadores y salarios a empleados, intereses sobre los pasivos, el pago de préstamos y de bonos, etc. La necesidad de financiamiento ocurre cuando el saldo de la caja final es menor que el saldo mínimo de efectivo, de aquí se parte con la toma de decisiones de la empresa para poder cubrir el déficit existente. Al contrario, si existe un excedente cuando el saldo final es mayor al mínimo se puede usar este exceso de dinero en inversiones a corto plazo; si bien al existir cualquiera de estas dos opciones (superávit o déficit) deberán ser debidamente ajustados para obtener el saldo final de caja.

Tomando como referencia lo que mencionan Van Horne (2014) y Ross et al., (2014) en sus obras, con el Estado de Resultado Pro Forma se realizan proyecciones de los resultados que obtendrán en el futuro; dentro del estado juega un papel sumamente importante el pronóstico de las ventas, ya que de aquí se pueden proyectar los ingresos y costos de las actividades económico-financieras en los periodos contables.

Este pronóstico es un resumen de los ingresos y egresos esperados en el futuro, determinando el ingreso o pérdida neta. Como paso siguiente se proyectan los gastos de ventas, administrativos y generales; estos gastos tienen estimaciones bastante precisas por el motivo de que se generan con anticipación. Una vez determinado todos los rubros del estado se pueden precisar los requerimientos financieros externos necesarios mediante el método denominado balance general proyectado.

El Balance General Pro Forma es una copia íntegra del valor contable de la empresa dentro de un período específico; el balance general está estructurado por activos, pasivos y capital, distribuidos de manera horizontal como vertical, mostrando cómo la empresa se financia y lo que la empresa posee. Una vez que se obtienen los estados financieros proyectados, el encargado del departamento de finanzas puede analizar y determinar los ajustes necesarios; por ejemplo, si las utilidades que reflejan son muy bajas se puede proceder a ajustar los costos para reducirlos y aumentar el porcentaje de las utilidades; en el caso de las cuentas por cobrar si estas son muy altas se puede recurrir a crear un nuevo sistema de créditos y cobranzas donde se propongan diferentes políticas para obtener la recuperación más rápida del dinero.

1.2.1. Fondos Externos Requeridos (FER) y crecimiento

Ross et al. (2012: 68) mencionan que “El financiamiento externo necesario y el crecimiento están relacionados entre sí”. Si no intervienen otros factores, mientras más alta sea la tasa de crecimiento de ventas o activos, mayor va a ser la necesidad de financiamiento externo. Lo primero que se debe hacer es establecer la relación entre el FER y el crecimiento. Con esto se mantiene que, si las ventas son proyectadas, se toma en cuenta que las deudas también aumentan, pero en el pasivo no existe una utilidad superior, determinando así el fondo externo requerido entre un período y otro.

Es obvio que la variable financiamiento externo y la variable crecimiento van relacionados entre sí, así como se expresó anteriormente; se entiende que cuanto más elevada sea la tasa de crecimiento en ventas mayor será la necesidad de financiamiento, ya que para llegar a un crecimiento financiero se debe establecer en primer lugar los estados de resultados y el balance general proyectado, obteniendo así una idea más clara de la necesidad que tienen las empresas.

1.2.2. Método de la Fórmula

El método de fórmula no es solo una manera para pronosticar los requerimientos de capital externo, sino también para llegar a conocer mediante una adecuación algebraica la tasa de crecimiento interna de las ventas, que sería soportada tanto por las fuentes propias de la empresa, o asignando un monto máximo de financiación.

El crecimiento de una entidad no solo se debe enfocar en la rapidez con la que esta puede crecer sin ningún tipo de financiamiento externo, sino en la tasa de crecimiento que se puede sostener sin emisiones adicionales de capital. Es como lo menciona en su obra Brealey, et al. (2010: 807): “si la empresa logra captar suficiente deuda, se puede financiar prácticamente cualquier tasa de crecimiento, pero tiene más sentido suponer que la empresa se sujeta a una estructura de capital óptima que conservará mientras el capital se incrementa con las utilidades retenidas”. Con esto se espera que la organización solo mantenga la deuda suficiente para contener la razón deuda-capital.

$$FER = \frac{A(\Delta S)}{S_0} - \frac{\text{Pasivos Espontáneos}(\Delta S)}{S_0} - m \times S_1(1-d)$$

Donde:

A - Activos totales

ΔS - Incremento en ventas ($S_1 - S_0$) = gS_0

S₀ - Ventas año base

m - Margen de utilidad sobre ventas ($EAIT/S$)

S₁ - Ventas proyectadas ($S_0(1 + g)$)

d - razón de distribución de dividendos

Principalmente este método se usa para obtener un pronóstico aproximado y sencillo de los requerimientos financieros y como un complemento del método del balance general proyectado.

1.3. Predicción y modelación financiera a corto plazo

La modelación financiera se aplica en cualquier momento para que se lleve un mejor manejo de la empresa. Según lo manifiestan Ross et al., (2012: 63) existe el modelo de

porcentaje de ventas: “La idea básica es separar las cuentas del estado de resultados y del balance general en dos grupos, los que varían en forma directa con las ventas y los que no lo hacen”.

Entonces, con esta técnica se pretende determinar un pronóstico de ventas a futuro y cuánto de financiamiento la empresa necesita para poder apoyar al nivel de ventas esperadas. Con esta forma se plantea desarrollar de manera rápida y práctica la aplicación de estados financieros pro forma, dando así un mejor esquema de predicción en el área de ventas y por ende para toda la empresa. Todo lo anterior indicado se contrasta con la investigación para un grupo de empresas del sector manufacturero expuesto por Valladares, et al., 2021.

1.4. Predicciones y regresión lineal múltiple

La regresión lineal se refiere a la predicción del valor de una variable a partir de una o más variables. En este modelo estadístico se pretende identificar mencionadas variables que son generalmente x, y. Donde y depende de x diferenciando así la variable dependiente (y) y la independiente (x).

El análisis de regresión lineal múltiple como lo expresa en su obra Ugando et al. (2018) “está relacionado con el estudio de la dependencia de una variable, la variable dependiente de una o más variables adicionales”. En este sentido, la regresión puede usarse como sentido de predicción en una ecuación lineal donde se ven afectadas las dos variables. Con ello se puede utilizar diagramas de dispersión y también el coeficiente de correlación r, para determinar si existe algún tipo de relación entre dos variables.

Las estimaciones de mínimos cuadrados son funciones de los datos experimentales; existen momentos en donde estos datos cambiarán de acuerdo con la muestra, es decir, pueden variar de una muestra a otra. Según lo expresa (Gujarati & Porter, 2010) “se requiere alguna medida de confiabilidad o precisión de los estimadores β_1 y β_2 . En estadística, la precisión de un valor estimado se mide por su error estándar (ee)”. El error mencionado es la desviación estándar de la distribución muestral del estimador, y la distribución muestral de un estimado es tan sólo una probabilidad o distribución de frecuencias del estimador. El error se lo determina con la siguiente fórmula:

$$ee(\beta_1) = \frac{\sqrt{\sum x^2}}{n\Sigma} \sigma(1)$$

Entonces, con esta fórmula al presentar datos estimados, se pretender encontrar la desviación estándar de los valores de Y, que se encuentra al contorno de la línea de regresión que se estima en el supuesto. Dentro del análisis de la regresión múltiple se ubican varias pruebas, como lo son Prueba Fisher y R² de Pearson. Entre ellas se encuentra una relación precisa en el análisis de la varianza. El coeficiente de determinación R², que se define como la proporción de la varianza total de la variable explicada por la regresión, en donde, cuanto más cerca este el resultado de 1, mayor será el ajuste del modelo a la variable de estudio. Por otra parte, la prueba de Fisher resuelve mediante el proceso de los modelos de regresión, los cuales restringe uno o más coeficientes de regresión. Estos análisis serán realizados de acuerdo a los criterios expuestos por: Rubio (2017), Sabando et al., (2020) y Ugando et al., (2019).

2. Materiales y métodos

En esta investigación se empleó un enfoque mixto, cuantitativo y cualitativo, siguiendo los criterios de Hernández, et al., (2014). Se utilizaron los estados financieros de la empresa y la información proporcionada por la gerencia de la misma y sus funcionarios. Teniendo en cuenta un tipo de investigación histórica y descriptiva para un periodo de tiempo de 4 años. Además, con un diseño de investigación acción que sustenta los hechos pasados para poder dar solución al problema de investigación.

La población estuvo conformada por la gerencia y el departamento de contabilidad de la empresa Reciplacom S.A, considerando todos los estados financieros para los periodos 2016-2019, así como la información económica financiera que sea susceptible de utilizar. La muestra estuvo determinada por toda la información económica financiera y los Estados Financieros, en la cual se aplicaron las técnicas de planeación y modelación financiera para la determinación de niveles de activos, las necesidades de financiamiento externo y previsiones financieras con vista a proyecciones de ventas a mediano y largo plazo.

Una de las técnicas para la recogida de datos que se vio conveniente utilizar fue la entrevista, ya que se tiene un contacto directo con las personas que se consideran fuente de información, en este caso el gerente y el departamento de contabilidad. Para poder acceder a la información necesaria se procedió a realizar grupos de preguntas para obtener información acerca de la empresa y las percepciones que tiene el departamento económico y la contadora,

de acuerdo a la aplicación de técnicas y herramientas de planeación y modelación financiera aplicada, todo esto corresponde a una información de tipo cualitativa.

La obtención de información de carácter cuantitativo que corresponde a los datos numéricos, como el empleo de los estados financieros de la empresa durante el periodo 2016-2019, sirvieron para aplicar las técnicas y herramientas de planeación y modelación financiera. Además, se emplearon las técnicas estadísticas y de análisis matemático a partir del uso de las aplicaciones informáticas Microsoft® Excel (2019), y SPSS versión 21.

3. Resultados

3.1. Diagnóstico de la situación financiera a corto plazo de la Empresa Reciplacom S.A para el período 2016-2019

Reciplacom S.A. es una empresa ecuatoriana, con sede principal en Guayaquil. Opera en tratamiento y eliminación de residuos industriales. Fue fundada el 24 de noviembre de 2014; está ubicada en Av. De los Colonos, S/N Intersección: By Pass Santo Domingo de los Tsáchilas y su actividad principal es la venta al por mayor de desperdicios, desechos y materiales de reciclamiento. Entre sus principales clientes podemos destacar: Repapers Reciclaje del Ecuador S.A. (mayor porcentaje de ventas, 65%), Industrial Papelera Ecuatoriana S.A., Acería del Ecuador C.A., Acerías Nacionales del Ecuador S.A., Ecoresa Ecología Reciclable S.A., Intercia S.A. y Productos Familia Sancela del Ecuador S.A. El diagnóstico de la situación financiera de la empresa se presentó a través del compendio de los criterios expuestos por varios autores, tales como: Rodríguez (2012), Salvá (2014) y Pereira (2012), donde se procedió al examen de la información obtenida para el periodo 2016-2019.

3.2 Determinación de las necesidades de financiamiento externo y activos corrientes a partir de las técnicas y herramientas de planeación financiera

Utilizando los pronósticos para datos estacionarios con el fin de estimar el valor medio de datos históricos, se tomaron en cuenta las ventas del periodo 2016-2019 obteniendo un promedio de crecimiento del 10%. Debido a la estacionalidad y tendencia de las ventas, la relación existente con el efectivo y equivalentes de efectivo, cuentas y documentos por cobrar, y cuentas por pagar, junto con la aplicación de la regresión lineal múltiple y ayuda del modelo

estadístico de ARIMA, se determinó un valor de proyección del 7% de crecimiento pesimista y un 13% de proyección optimista (Constanza et al., 2012).

Con los resultados arrojados por la regresión lineal múltiple se pudieron establecer las proyecciones de los estados financieros para el año 2020, teniendo en cuenta 2 escenarios del 7% y 13%, siguiendo los criterios de Ugando et al. (2019). Estos valores se tomaron en cuenta para determinar los valores de activos corrientes proyectados, teniendo en cuenta un valor de \$192.831,90 al 7% y de \$203.644,90 al 13% de acuerdo con los datos históricos de las ventas, cuentas por cobrar, cuentas por pagar, efectivo y equivalentes, afectando a los grupos de cuentas de la partida corriente, según se muestra en la tabla 1.

Mediante la aplicación de la ecuación (Activos - Pasivos + Patrimonio), se obtuvo como resultado para la proyección del 7% como un escenario pesimista, que los fondos externos requeridos (FER) ascendieron a -\$15,808.39; por su parte el incremento del 13% para un escenario optimista arrojó un valor de FER, que corresponde a \$-29,358.48, obteniéndose un exceso de financiamiento para ambos casos.

Tabla 1. Estado Proforma. Resumen de situación al cierre 2019 y proyección 2020 al 7% y 13%

Cuentas	Año 2019	Proyección 7%	Proyección 13%
Activos corrientes	180216.73	192,831.90	203644.90
(+)Activos no corrientes	62467.42	62467.42	62467.42
(-) Total activos	242684.15	255299.32	266112.32
(-) Total pasivos	172267.66	180,950.84	188,393.57
(-) Total patrimonio	70416.49	90,156.87	107,077.23
(-) Total de Pasivo y Patrimonio	49273.93	271,107.71	295,470.80
Total, de pasivo y patrimonio			590,941.60
(-) FER (Exceso de financiamiento)		-15,808.39	-29,358.48

Fuente: elaboración propia a través del análisis de los Estados financieros.

Método de Fórmulas para la determinación de los Fondos Externos Requeridos

- Proyección del 7%

$$FER = \frac{A(\Delta S)}{S_0} - \frac{Pasivos Espontáneos (\Delta S)}{S_0} - mxS_1x(1 - d)$$

$$FER = \frac{192831.990(69518.16)}{993116.51} - \frac{132728.64(69518.16)}{993116.51} - 19740.38$$

$$FER = - 15534.53$$

- Proyección del 13 %

$$FER = \frac{A(\Delta S)}{S_0} - \frac{Pasivos Espontáneos (\Delta S)}{S_0} - mxS_1x(1 - d)$$

$$FER = \frac{203644.90(129105.15)}{993116.51} - \frac{14171.37(129105.15)}{993116.51} - 36660.74$$

$$FER = - 28410.92$$

3.3 Análisis de las previsiones financieras mediante la modelación financiera aplicada y el uso de la estadística descriptiva

Al realizar las pruebas de normalidad y aleatoriedad, según el estadístico Kolmogorv Smirnov, se tiene que el grado de significación es 0,000. No se puede probar la normalidad, se tendría que eliminar datos extremos que están alejados de su media. Esto nos indica que las ventas tienen una alta volatilidad, porque las ventas no siguen una distribución normal, lo cual nos permite presenciar que en ciertas épocas del año existen incrementos de las ventas (según se muestra en Tabla 2 y la figura 1) de componente de factor estacional, para ingresos por ventas. De igual forma se muestra en tabla 4 el análisis de correlaciones de Pearson de las variables explicativas efectivo y equivalentes de efectivo, cuentas por cobrar, cuentas por pagar en función de las ventas, donde se identifica la mayor significación del modelo con respecto a la variable cuentas por cobrar.

Tabla 2. Prueba de la normalidad y aleatoriedad residual de las ventas por efecto de las cuentas efectivo y equivalente de efectivo, cuentas por cobrar y cuentas por pagar

Prueba de Kolmogorov-Smirnov para una muestra			Prueba de rachas	
		Unstandardized Residual	Valor de prueba ^a	Unstandardized Residual
N		48		-
Parámetros normales ^{a,b}	Media	0,0000000	Casos < Valor de prueba	828647,65678
	Desv.	13069116,66921510	Casos >= Valor de prueba	24
	Desviación Absoluta	0,420	Casos totales	24
Máximas diferencias extremas	Positivo	0,420	Número de rachas	48
	Negativo	-0,300	Z	10
Estadístico de prueba		0,420	Sig. asintótica(bilateral)	-4,231
Sig. asintótica(bilateral)		,000 ^c	a. Mediana	0,000

a. La distribución de prueba es normal.
 b. Se calcula a partir de datos.
 c. Corrección de significación de Lilliefors.

Fuente: elaboración propia a través del procesamiento de información y aplicación del SPSS versión 21.

Tabla 3. Correlación de Pearson de las variables explicativas efectivo y equivalentes de efectivo, cuentas por cobrar, cuentas por pagar en función de las ventas

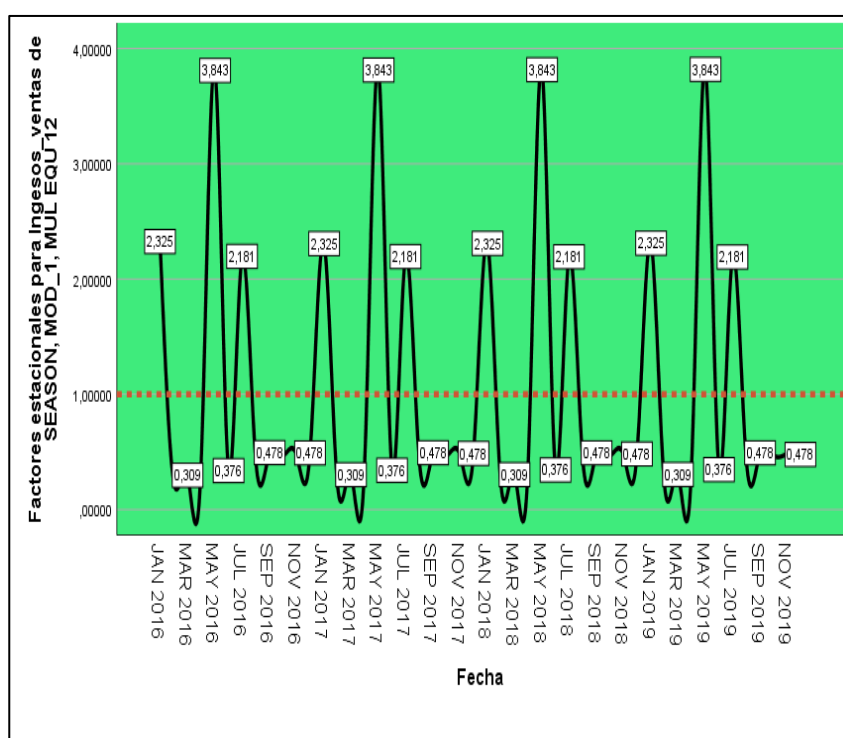
Análisis de Correlaciones de Pearson					
		Ingresos por ventas	Efectivo y equivalente de efectivo	Cuentas y documentos por cobrar	Cuentas por pagar
Ingresos por ventas	Correlación de Pearson	1	-0,033	,729**	0,033
	Sig. (bilateral)		0,825	0,000	0,825
	N	48	48	48	48
Efectivo y equivalente de efectivo	Correlación de Pearson	-0,033	1	-0,017	0,221
	Sig. (bilateral)	0,825		0,910	0,132
	N	48	48	48	48
Cuentas y documentos por cobrar	Correlación de Pearson	,729**	-0,017	1	-0,046
	Sig. (bilateral)	0,000	0,910		0,759
	N	48	48	48	48
Cuentas por pagar	Correlación de Pearson	0,033	0,221	-0,046	1
	Sig. (bilateral)	0,825	0,132	0,759	
	N	48	48	48	48

** . La correlación es significativa en el nivel 0,01 (bilateral).

Siguiendo el análisis se procedió a determinar el índice de tolerancia y el factor de la inflación de las variables. Para el primer caso se identifica un índice de tolerancia superior a 0,1 y además el factor de la inflación de la varianza (FIV) no supera el rango de 5 a 10, por lo tanto no existe la presencia de la colinealidad y la multicolinealidad, según resultados de la tabla 5.

De igual forma se evaluó el supuesto de la independencia de los residuos propuestos por Durbin y Watson, arrojando un valor de 1.964, y este a la vez se ubica dentro del rango permitido de la independencia de los residuos de 1,5 a 2,5. De esta forma, se cumple con tal rigurosidad cada uno de los procesos de los supuestos para someter a las variables explicativas y resultados a un modelo estadístico, que se ajusta lo más real posible al índice de predicción.

Figura 1. Componente del Factor Estacional para el nivel de ventas



Factores estacionales	
Nombre de serie: Período	Ingresos por ventas Factor estacional (%)
1	232,5
2	24,3
3	30,9
4	34,6
5	384,3
6	37,6
7	218,1
8	47,0
9	47,8
10	47,2
11	48,0
12	47,8

Fuente: elaboración propia a través del procesamiento de información y aplicación del SPSS versión 21.

Tabla 4. Modelación lineal múltiples del efectivo y equivalentes de efectivo, cuenta por cobrar, cuenta por pagar sobre las ventas

Modelo	Coeficientes no estandarizados	Coeficientes estandarizados	t	Sig.	95,0% intervalo de confianza para B		Estadísticas de colinealidad	
	B	Beta			L. Inferior	L. Superior	Tolerancia	VIF
(Constante)	-288707,6		0,082	0,935	-7354832,16	6777416,84		
Efectivo y equivalente de efectivo	-3,430	-0,037	0,350	0,728	-23,177	16,316	0,951	0,051
Cuentas y documentos por cobrar	8,567	0,732	0,127	0,000	6,144	10,989	0,998	0,002
Cuentas por pagar	13,914	0,074	,705	0,485	25,884	53,712	0,950	0,053

Fuente: elaboración propia a través del procesamiento de información y aplicación del SPSS versión 21.

El modelo de regresión lineal múltiple obtenido fue el siguiente: $Y = -288707,660 - 3,430X_1 + 8,567X_2 + 13,914X_3$, acompañado de una covarianza 73,30% y un coeficiente de determinación ajustado $R^2 = 53,70\%$, tomando en consideración el análisis de las varianzas (ANOVA) según el Método de Fisher de $F=17,01$ y un nivel de significancia ($p < 0,001$). De la misma manera, el coeficiente tipificado Beta reportó para cada variable independiente su fuerza sobre las ventas (7,40%, 73,20% y -3,70%), siendo las cuentas por cobrar la variable que más se destaca. Por consiguiente, lo justifica la Prueba bondad de ajuste T de student ($T=7,127$; $p=0,000$) con un valor menor al 5% de significancia ($p < 0,05$), respectivamente para este estudio. Demostrando estas pruebas de bondades de ajuste y además que los coeficientes no estandarizados son diferentes de cero (0), la confiabilidad de este modelo estadístico para llevar a cabo la predicción financiera (ver tabla 5 del resumen del modelo).

3.4. Análisis de las predicciones a través del empleo del Modelo ARIMA

En referente al comportamiento de la predicción de los Ingresos por Ventas, Efectivo y Equivalentes de Efectivo, Cuentas y Documentos por Cobrar y Cuentas por Pagar en miles de dólares, consideradas como las variables endógenas (según se muestra en las tablas 6, 7 y 8), se obtuvo un modelo autoregresivo integrado de media móvil ARIMA (0,0,0)(0,0,0), para los Ingresos con sus respectivos parámetros que intervienen durante el proceso de la predicción

como: MAE (5.502.789,167), MaxAPE (1.350,499), MaxAE (104.106.303,7) y el índice de coeficiente Bayesiano (BIC= 33,652), y a la vez autorregresivo de acuerdo la prueba de Ljung-Box Q(18) presentó un valor de significancia de 0,946 ($P>0,05$), demostrando para la predicciones de los Ingresos la presencia de ruido blanco. Con respecto a la modelación del Efectivo y Equivalentes de Efectivo se evidencia un ARIMA (0,0,0) (0,0,0) con sus respectivos parámetros que intervienen durante este proceso de la predicción como: MAE (71.452,829), MaxAPE (2.578,635), MaxAE (1.020.625,360) y el índice de coeficiente Bayesiano (BIC=24,575) y la prueba de Ljung-Box Q (18) presentó un valor de significancia de 0,982 ($P>0,05$), dado este caso manifiesta la presencia de ruido blanco. La modelación de las Cuentas y Documentos por cobrar en miles de dólares se evidencia un ARIMA (0,0,0) (0,0,0) con sus respectivos parámetros que intervienen durante este proceso de la predicción como: MAE (427.269,111), MaxAPE (1.216,621), MaxAE (10.834.140,52) y el índice de coeficiente Bayesiano (BIC=28,721) y la prueba de Ljung-Box Q (18) presentó un valor de significancia de 0,853 ($P>0,05$), dado este caso manifiesta la presencia de ruido blanco.

Tabla 5. Modelación lineal múltiple del Efectivo y equivalentes de efectivo, Cuentas por cobrar, cuentas por pagar sobre las ventas (ANOVA).

ANOVA ^a						
Modelo	Suma de cuadrados	gl	Media cuadrática	F	Sig.	
1 Regresión	9314438039950640.000	3	3104812679983550.000	17.018	,000 ^b	
Residuo	8027685094137090.000	44	182447388503116.000			
Total	17342123134087700.000	47				

a. Variable dependiente: Ingresos por ventas

b. Predictores: (Constante), Cuentas por pagar, Cuentas y documentos por cobrar, Efectivo y equivalente de efectivo

Tabla 6. Fluctuación del modelo ARIMA

Descripción del modelo			Tipo de modelo
ID de modelo	Ingresos por ventas	Modelo_1	ARIMA(0,0,0)(0,0,0)
	Efectivo y equivalente de efectivo	Modelo_2	ARIMA(0,0,0)(0,0,0)
	Cuentas y documentos por cobrar	Modelo_3	ARIMA(0,0,0)(0,0,0)
	Cuentas por pagar	Modelo_4	ARIMA(2,1,0)(0,0,0)

Fuente: elaboración propia a través del procesamiento de información y aplicación del SPSS versión 21.

Por último, en la modelación de las Cuentas por Pagar se obtuvo un ARIMA (2,1,0) (0,0,0). Este resultado nos permite inferir a lo largo del tiempo dos patrones de autocorrelación y de igual manera una presencia integrada de la independencia y la estacionalidad. En este sentido, los parámetros que intervienen durante este proceso de la predicción, como: MAE (9.267,984), MaxAPE (38,013), MaxAE (42.785,250) y el índice de coeficiente Bayesiano (BIC=19,263) y la prueba de Ljung-Box Q (17), presentó un valor de significancia de 0,975 ($P > 0,05$), dado este caso manifiesta la presencia de ruido blanco. Vale recalcar que para los Estados Financieros de la empresa, a través del tiempo se manifiesta un escenario alentador en cada uno de sus procesos econométricos.

En cuanto al análisis de la predicción empleando el Modelo ARIMA, se evidencia que la variable Ingresos por Ventas manifiesta un valor constante desde enero del año 2020 hasta el cierre del año 2021 de \$ 1, 955,614.28. Con respecto a la variable Efectivo y Equivalentes de Efectivo, se puede apreciar un valor constante de inicio del 2020 hasta el cierre del año 2021 de \$ 32,342.64. De igual manera se comprueba que las variaciones de las demás variables de estudio son constantes a través del tiempo, creando confianza para los pronósticos, siendo estos resultados como apoyo para trazar estrategias respecto a la planeación, proyecciones y el desempeño de los funcionarios en la obtención de mejores resultados futuros respecto a la inversión.

Tabla 7. Comportamiento del modelo ARIMA de los Ingresos por Ventas, Efectivo y Equivalentes de Efectivo, Cuentas y Documentos por Cobrar y Cuentas por Pagar en miles de dólares en función de ajuste del modelo desde el año 2016 hasta el 2021.

Modelo	R cuadrado estacionaria	R cuadrado	RMSE	MAPE	MAE	Max APE	Max AE
Ingresos por ventas- Modelo_1	3.930E-14	-0.030	19492927.6	241.04	5502789.16	1350.49	104106303.7
Efectivo y equivalente de efectivo- Modelo_2	1.554E-14	-0.022	208418.33	521.32	71452.829	2578.63	1020625.36
Cuentas y documentos por cobrar- Modelo_3	7.361E-14	-0.019	1656129.09	202.38	427269.111	1216.62	10834140.52
Cuentas por pagar- Modelo_4	0.192	0.979	14628.647	7.296	9267.984	38.013	42785.25

Fuente: elaboración propia a través del procesamiento de información y aplicación del SPSS versión 21.

Tabla 8. Autocorrelación del estadístico Q (Ljung-Box) desde el año 2016 hasta el 2021.

BIC normalizado	Estadísticos	DF	Sig.
33.65	9.550	18	0.946
24.57	7.726	18	0.982
28.72	11.87	18	0.853
19.26	7.543	17	0.975

Fuente: elaboración propia a través del procesamiento de información y aplicación del SPSS versión 21.

4. Discusión y Conclusiones

La regresión lineal múltiple se estableció de acuerdo a las diferentes herramientas y modelos estadísticos, siguiendo los criterios de Rubio (2017) y Sabando et al. (2020); tomando en consideración que las variables explicativas no tienen una mayor incidencia a diferencia de las variables sobre las ventas. Al aplicar las pruebas de normalidad y aleatoriedad arrojan resultados no favorables ya que la distribución no es normal, en base a las variables de estudio, al realizar un enfoque más delicado de la multicolinealidad se llega a deducciones

agradables, ya que se encuentran dentro de los niveles permitidos de la independencia de los residuos. Se determinó que la mejor variable de estudio que explica el modelo son las Cuentas por Cobrar con un (73,20%).

Al aplicar el modelo ARIMA se encontró que las ventas presentan una alta volatilidad y tendencia, siendo similar al estudio realizado por Ugando et al., (2019); donde las ventas fluctúan manteniendo relación entre las variables estudiadas. Se consideran que las ventas tendrán un comportamiento creciente a futuro, ya que al proyectar los niveles de activos en las variables estudiadas, estas crecerán por lo que se evidencia que guardan coherencia entre sí.

Se procedió a determinar las necesidades de financiamiento requeridas para la empresa; el mismo que para ser encontrado se estimaron porcentajes en escenario pesimista del 7% y un escenario optimista del 13%, basados en la técnica de pronósticos estacionarios expuestas por Constanza et al., (2012) que incluye los datos históricos que se pueden evidenciar en el comportamiento de los estados financieros.

Al realizar las proyecciones pesimista y optimista se logró determinar que los niveles de activos corrientes son de \$ 192,831.90 y un valor de \$203,644.90, para los respectivos pronósticos. Se obtuvieron excesos de fondos externos requeridos para un nivel del 7% con un valor de \$15,808.39; y para el 13% un valor de \$ 29,358.48.

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Liderazgo resonante según el género: un estudio en las pequeñas y medianas empresas de la ciudad de Barranquilla

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RESUMEN

La actual investigación identifica al liderazgo resonante según el género en las PYMES panificadoras de la ciudad de Barranquilla - Colombia. Empleando la metodología cuantitativa, de carácter descriptiva, diseño de campo, transversal, y no experimental, figurando como objeto de estudio los setecientos sesenta y nueve (769) miembros colaboradores del sector panificador de la ciudad Barranquilla. Utilizando como técnica, la encuesta y desarrollando el cuestionario como instrumento, éste cuenta con treinta (6) ítems, validado por el juicio de diez (10) expertos, resultando una confiabilidad de (0,81) en base al coeficiente Alfa de Cronbach, valorándose como altamente confiable. Los resultados evidencian que el liderazgo resonante para el indicador género femenino fue el de mayor ponderación, catalogado como presente, mientras el género masculino figura medianamente presente. Se concluye que lo imperativo y relevante de tener y potencializar competencias que permitan la adaptación según los requerimientos organizacionales y del mercado, fomenta la equidad de género, sin desmeritar factores de la empresa, manteniendo los principios de responsabilidad corporativa, social y ambiental, transformación ante el cambio, todo esto apoyado en la innovación.

PALABRAS CLAVE: liderazgo; género; pequeña empresa; mercado.

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Resonant leadership according to gender: a study in small and medium-sized companies in the city of Barranquilla

ABSTRACT

The current research identifies the resonant leadership according to gender in the bakery SMEs of the city of Barranquilla - Colombia. Using the quantitative, descriptive, field design, cross-sectional, and non-experimental methodology, the seven hundred and sixty-nine (769) collaborating members of the bakery sector of the city of Barranquilla appear as the object of study. Using the survey as a technique and developing the questionnaire as an instrument, it has thirty (6) items, validated by the judgment of ten (10) experts, resulting in a reliability of (0.81) based on Cronbach's Alpha coefficient, valuing itself as highly reliable. The results show that the resonant leadership for the female gender indicator was the one with the highest weight, cataloged as present, while the male gender is moderately present. It is concluded that the imperative and relevant of having and potentiating skills that allow adaptation according to organizational and market requirements, promotes gender equity, without detracting from company factors, maintaining the principles of corporate, social and environmental responsibility, transformation before change, all this supported by innovation.

KEY WORDS: leadership; gender; small enterprises; markets.

Introducción

El logro de una organización podría estar dado por la ejecución y cumplimiento de objetivos, todo esto respaldado por la satisfacción y rendimiento de los colaboradores, por lo que el activo humano se ha establecido como un componente básico para la consecución de metas y objetivos, siendo imperativo contar con personas capaces y excepcionalmente equipadas, que hagan posible el perfeccionamiento de los procesos y métodos. Además, las actuales situaciones de crisis y búsqueda de una recuperación económica exigen nuevos modelos e ideas para progresar mediante la ejecución de los planes estratégicos. Esto requiere colaboradores con competencias que los comprometan a ocuparse de sus recursos humanos y, además, a enfrentar las dificultades del mercado.

Se puede plantear el liderazgo como una de esas habilidades clave; investigadores han conceptualizado esta variable desde varias perspectivas, así mismo su idea ha avanzado a lo largo

del tiempo y la cultura, presentando la mezcla de diferentes aptitudes, como el cumplimiento de objetivos, mejora individual y grupal, la comunicación, motivación y métodos de retribución (Marañón et al, 2021). El liderazgo se distingue por ser situacional, el cual implica condiciones y circunstancias que se ajustan a los cambios que puedan ocurrir. A nivel mundial, el liderazgo se considera un instrumento eficaz para el direccionamiento de personal y a su vez para hacer frente a las transformaciones que puedan producirse a causa de las crisis, sectores dinámicos y competencia, por lo que el líder ha de vencer dificultades para cumplir objetivos financieros, sociales, ambientales y tecnológicos, descubriendo oportunidades, gestionando al personal y mejorando beneficios para los asociados.

En Colombia han aparecido estilos de liderazgo para hacer frente a las dificultades introducidas por el mercado, independientemente que sean individuales o autoritarios, se reflejan carencias en el desarrollo de las aptitudes de liderazgo. Los estudios sugieren reexaminar los enfoques convencionales de preparación y aprendizaje para otros más productivos, para garantizar un descubrimiento genuino que impulse un cambio individual para llegar a una administración efectiva a nivel humano y autoritario.

Mientras que en el distrito caribeño se percibe un liderazgo situacional adecuadas a las necesidades del entorno y su gente. El liderazgo, como indican Hughes et al. (2007), Fernández et al. (2020) y Sukier et al. (2020), experimenta experiencias que abarcan emociones, acciones y decisiones apoyados en la razón y lógica. De modo que los líderes son miembros que conducen a la obtención de organizaciones competitivas y con alto grado de cumplimiento de los objetivos organizacionales. Robbins (2004), caracteriza el liderazgo como la naturaleza de incidir en las personas para lograr los destinos fijados.

Así, Goleman et al. (2016), conceptualizan el liderazgo como la actividad de los líderes que buscan comprender y empatizar las emociones y situaciones de las personas, para situarlas hacia un rumbo positivo. Es posible que esto ocurra cuando el líder motiva a sus compañeros de equipo para que desarrollen sentimientos y emociones beneficiosas para la empresa, de la misma manera que debe tener la capacidad de relacionarse y extender sus emociones hacia las personas de la empresa. Para quienes investigan, el liderazgo resonante sale del esquema de liderazgo convencional y presenta otro tipo, donde los líderes tienen la capacidad de motivar y preparar a

sus compañeros hacia un objetivo, esto se origina como resultado de la encauzación emocional por parte del líder, construyendo en ellos seguridad, confianza y respeto, creando un fuerte vínculo para avanzar juntos. Según Ramírez et al., (2019) y Ramírez (2020), el liderazgo resonante se define como la capacidad que posee el talento humano de armonizar y generar emociones positivas, capaz de cautivar a su gente, diseñando estrategias de gestión para acompañar al ser vivo y experimentar sensaciones de bienestar consciente y responsablemente.

De lo anterior, se expresa que el problema radica en la probable ausencia de un liderazgo resonante, que permita estimular al personal y generar experiencias positivas en la gestión de personas en las organizaciones, provocado por una potencial carencia de capacidades que ayuden a desarrollar un liderazgo asertivo que armonice el entorno, dentro de ellas la ausencia de visión, donde se anticipen los factores que inciden en la organización, de esta manera, el líder no tendría la opción de ajustar su liderazgo como lo indica la circunstancia. Por ello, es importante formar, evaluar y desarrollar estilos que produzcan sinergia y empatía en la gente, redes empresariales, y *stakeholders*, potencializando competencias que favorezcan la transformación del líder – personas - organización, por lo que surge la siguiente interrogante: ¿Cómo sería el liderazgo resonante según el género en las PYMES panificadoras de la ciudad de Barranquilla?

1. Liderazgo resonante según género: revisión desde la teoría

A lo largo de los tiempos las organizaciones han comprendido que existen muchas habilidades en los colaboradores para una mayor cercanía al éxito organizacional, entre ellas se encuentra el liderazgo, según Maxwell (2007), Ramírez et al. (2018) y Ramírez et al. (2021), es el poseer habilidades y capacidades que permitan la persuasión de colaboradores con el ánimo de promover mejoras en las actitudes, aptitudes y capacidades para el cumplimiento de manera eficiente de las estrategias organizacionales, mientras que Hughes et al. (2018) y Ramírez et al. (2019), consideran que el liderazgo tiene la capacidad de modificar la perspectiva en la que los colaboradores se auto perciben, apuntando a obtener grandes logros para la organización e individuo.

En tal sentido, las empresas han incluido dentro de sus requisitos, habilidades que permitan el desarrollo del liderazgo, sin embargo, muchas de estas desconocen los estilos de liderazgo según la situación, habilidades y personalidad propia. Antequera y Ospino (2021) y Ramírez (2020), definen al líder resonante como aquel capacitado para identificar y comprender los sentimientos de sus colaboradores, permitiéndoles promover sentimientos positivos y acciones efectivas. Convergiendo, Smith et al. (2010), afirman que los líderes con menos posibilidad de crear malos ambientes laborales, cansancio e insatisfacción son los estilos de liderazgos positivos o resonantes.

Posterior de haber expuesto qué es el liderazgo resonante, es fundamental separar y diseccionar la forma en que los líderes se comportan según su género, teniendo en cuenta que cada uno de ellos tiene varias características, aptitudes y habilidades, lo que afecta a la forma en que se practica el liderazgo y, además, en la administración de las personas, autoridad, motivación y comunicación (tabla 1).

Tabla 1. Liderazgo resonante según género bajo referentes teóricos

	Masculino		Femenino
Carocca (2016)	Emplea estilos dominantes y conflictivos, su objetivo es obtener el éxito particular.	Carocca (2016)	Emplea estilos participativos y prioriza el trabajo cooperativo.
Eagle et al. (2003)	Emplea estilos autoritarios, independiente, eficaz y se caracteriza por tener rasgos.	Eagle et al. (2003)	Se caracteriza por tener rasgos, prioriza el bienestar, mantiene buenas relaciones sociales.
Fritz y Van (2017)	Posee rasgos que favorecen estilos de liderazgo autoritarios, competitivos, asertivos y enfocados al logro.	Lanzoni (2008)	Se fundamenta en la humanización, permitiendo tener relaciones más estrechas, más capacidad de motivación.
Miranda (2019)	Prioriza estilos que faciliten la orientación del personal a desarrollar sus funciones y tareas.	Brzovic (2010)	Emplea estilos que permiten desarrollar la empatía, prioriza el bienestar para obtener mejoras en el rendimiento.

Fuente: elaboración propia (2021).

2. Metodología

2.1. Paradigma de la investigación

Es un conjunto de teorías, técnicas y procesos que constituyen una agrupación científica que tengan como finalidad el identificar problemas para de esta manera darle una solución (Ruiz, 1992). Por tanto, el desarrollo investigativo está soportado por uno o más paradigmas, permitiéndole diversas perspectivas sobre cómo analizar y estudiar los objetos y procedimientos (Herrera et al. 2018). Por lo que la investigación que fundamenta el presente artículo se basó en el paradigma positivista acompañado de un método cuantitativo, el cual consistió en la obtención y procesamiento numérico de los datos. Hernández et al. (2014) y Guerrero et al. (2018), sostienen que el conocimiento debe de ser imparcial, ocasionado por un proceso deductivo en base a una medición numérica y un análisis estadístico inferencial, donde se verifican o desvirtúan las hipótesis fijadas.

2.2. Tipo de investigación

El actual artículo se enfocó en el liderazgo resonante según género en las PYMES panificadoras en la ciudad de Barranquilla. De tipo descriptiva, a través del análisis de la variable por medio de la compilación de datos desde el origen primario, cuyo objetivo fue describir la situación o problema. Antequera y Ospino (2020), sostienen que la finalidad de la investigación descriptiva es obtener información sobre las variables, creencias y teorías que están vinculadas al objeto de estudio, Dankhe (1986), considera que el estudio descriptivo busca exponer las características o rasgos de una población, individuo o fenómeno que pueda ser estudiado. De la misma manera Malhotra (1997), afirma que la investigación descriptiva tiene como finalidad el conocer y exponer los rasgos y características sobre una situación o problema. Así mismo, Hernández et al. (2014), consideran que el diseño de investigación es transversal, donde la recopilación de datos es determinada y ejecutada en un período único. Además, el objetivo de la investigación transversal es plantar la variable y cuál es su incidencia en un momento definido., facilitando su aplicación a individuos, procesos y demás. Los diseños transeccionales se dividen en: (1) exploratorio, (2) descriptivos y (3) correccionales-*causa*.

2.3. Diseño de la investigación

Se conceptualiza como un conjunto de métodos, técnicas e instrumentos seleccionados adecuadamente por los investigadores según el fenómeno o el problema a estudiar, el diseño indica de qué manera se llevará la investigación, detallando el instrumento para la recolección, cómo se medirán y que técnica se aplicará para el análisis de los datos. Referente al objeto de estudio, se perfila dentro del diseño de investigación como de campo no experimental. Para Hernández et al. (2014), una investigación no experimental se da en el momento que no se alteran las variables, visualizando y analizando fenómenos en su entorno genuino o real. Por tal motivo se considera el actual trabajo investigativo como transversal, no experimental y de campo.

De igual manera, un diseño transeccional, de tipo descriptivo, según, Hernández et al. (2014), es aquel análisis donde se exponen diversas perspectivas del estado actual de una variable o más, así mismo su vinculación entre uno o más personas. Siguiendo el diseño, se establece como investigación de campo, obteniendo los datos e información del personal operativo, comercial y administrativo de las PYMES panificadoras de la ciudad de Barranquilla. A su vez se categoriza como transeccional en referencia a Hurtado (2010), en vista que la recolección fue dada en un periodo único, precisamente en el periodo 2020; la finalidad fue analizar el liderazgo resonante para compilar y procesar resultados, obteniendo unas conclusiones que nos llevan a emitir recomendaciones.

2.4. Población de la investigación

La población estuvo conformada por las PYMES panificadoras de la ciudad de Barranquilla (Always Fresh S.A.S., La Baguette S.A.S., Panificadora Del Litoral S.A., La Frontera S.A.S., Organización Panadería Nueva York S.A.S., Inversisa S.A.S., Galipan de la Costa y Molinos del Atlántico) (Ramos Ruíz et al., 2013, Sectorial, 2016, Instituto Colombiano de Bienestar Familiar, 2017). Conceptualizando la muestra como un subgrupo respecto a la población total, en la investigación actual se delimitó como las empresas categorizadas como PYMES pertenecientes al sector panificador de la ciudad de Barranquilla. Por lo que se empleó

el muestreo por conglomerado. Las empresas clasificadas como PYMES en Colombia, según decreto 957 de 5 JUN 2019, donde se define la clasificación empresarial, cuyo criterio es el ingreso obtenido por las actividades, así mismo, se secciona en tres macro sectores como: manufactura, servicios y comercio (tabla 2).

Tabla 2. Clasificación según ingresos (en millones) para las PYMES en Colombia

Sector Tamaño	Manufactura	Servicios	Comercio
Pequeña	de 811 a 7.027	de 1.131 a 4.523	de 1.535 a 14.781
Mediana	de 7.027 a 59.527	de 4.523 a 16.558	de 14.78 a 74.066

Fuente: Ministerio de comercio, industria y turismo. Decreto 957 de 5 JUN (2019).

Aplicando los criterios de inclusión, se emplea como muestra ocho (8) empresas de la ciudad de Barranquilla, categorizadas como pequeñas y medianas empresas del sector de panificador, ubicadas en la ciudad de Barranquilla, su estructura organizacional es similar, con un número de colaboradores significativos. La muestra estuvo conformada por setecientos sesenta y nueve (769) sujetos, seleccionados por el número de personas que cuentan a su cargo, estos se agruparán por áreas como (1) operativa, (2) comercial y (3) administrativo. Desempeñando los siguientes cargos: gerente de producción, jefes de: bodega, ventas, almacén y control de calidad.

2.5. Técnicas e instrumento de recolección de datos

La técnica que se empleó para la recopilación de datos fue la encuesta, juntamente con el cuestionario como instrumento, este contiene un listado de preguntas de selección múltiple, figurando treinta (30) ítems, utilizando una escala ordinal, conteniendo alternativas de respuesta, (S): siempre, (CS): casi siempre, (AV): a veces, (CN): casi nunca, (N): nunca. Por lo que, Bavaresco (2008), lo configura como una herramienta que recopila información desde la fuente primaria. Del mismo modo, Hernández et al. (2014), aseveran que la escala ordinal es el agrupamiento de ítems, que se exponen juicios o afirmaciones, con los cuales se recopila reacciones del objeto estudiado, conforme codifica cada opción de respuesta, evaluando del cinco

(5) al uno (1) las opciones con proposición positivos y del uno (1) al cinco (5) las opciones con proposición negativos (tabla 3).

Tabla 3. Codificación de las opciones de respuestas

Opciones positivas de Alternativa	Opciones Negativas Ponderación
(5) Siempre.	(1) Nunca.
(4) Casi Siempre.	(2) Casi Nunca.
(3) A veces.	(3) A veces.
(2) Casi Nunca.	(4) Casi Siempre.
(1) Nunca.	(5) Siempre.

Fuente: Hernández et al (2014).

Tamayo y Tamayo (2007), manifiestan que el cuestionario como instrumento cuenta con atributos o aspectos del hecho estudiado, posibilitando separar problemas que reduzcan la validez y realidad en los datos necesarios del objeto en investigación. Exponiendo el propósito del trabajo en curso, se estableció un baremo para comprender la media aritmética fijando el proceder de los indicadores del liderazgo resonante según el género en las PYMES panificadoras de la ciudad de Barranquilla (tabla 4).

Tabla 4. Baremo de categorización de la media aritmética determinando la conducta de la variable liderazgo resonante según el género

Rango de puntaje	Categorización
1 - 1,79	No presente
1,80 - 2,59	Poco presente
2,6 - 3,39	Medianamente presente
3,4 - 4,19	Presente
4,2 - 5	Muy presente

Fuente: Hernández et al (2014).

Se concibe como valido un instrumento cuando este mide para lo que fue diseñado o planeado, puntualmente, la variable u objeto de estudio. Esta fase destaca por las diversas acciones que allí se han de desarrollar, en ellas la elaboración del cuestionario debe de estar acorde a los objetivos. La validez de la información recopilada está directamente relacionada con el instrumento con su contexto teórico. Hernández et al. (2014), afirma que la validez habla sobre

la eficacia de un instrumento frente a la variable que está bajo objetivo a medir. Asimismo, el autor antes mencionado sostiene que la validez de un cuestionario como instrumento, está dada por el análisis crítico de los factores. En tal sentido se verificó la validez del instrumento mediante el juicio dado por diez (10) expertos, quienes determinarán qué tan adecuado son los ítems en referencia a los objetivos, dimensiones e indicadores del subconjunto de la muestra.

La confiabilidad de un instrumento hace referencia al grado de precisión del proceso de medición, buscando minimizar fallas, sustentando su coherencia y solidez. Buscando de esta la no incidencia dada por costumbres o halos por parte del investigador, con la finalidad de analizar y gestionar los datos compilados. Magnusson (1978), concibe la confiabilidad como la suma del puntaje real y de error, logrando un puntaje que tenga la capacidad de mostrar la ausencia de errores. Según Chávez (2012), la confiabilidad hace referencia al nivel de congruencia referente a la estudio y medición de una variable, para la actual investigación, se emplea la fórmula de Alfa Cronbach. Por tanto, se aplicaron pilotos a doscientos diez y ocho (218) individuos, con rasgos y características semejantes a la población total la cual está siendo estudiada, obteniendo como resultado una confiabilidad del instrumento de (0,81), pudiendo deducir que el instrumento diseñado es fiable basado en el barómetro de interpretación (tabla 5).

Tabla 5. Escala de valoración del coeficiente de confiabilidad

Escala	Categoría
0 - 0,20	Muy baja
0,21 - 0,40	Baja
0,41 - 0,60	Moderada
0,61 - 0,80	Alta
0,81 - 1	Muy alta

Fuente: Hernández et al. (2014).

2.6. Técnica de análisis de datos

Posterior de obtener los datos se procede a realizar el análisis, la codificación y tabulación se hizo con la hoja de cálculo en Microsoft Excel (.xlsx), utilizando más tarde la estadística descriptiva; según Cruz et al. (2014), la estadística descriptiva busca establecer conclusiones

empleando la inferencia como herramienta, de esta manera obtener perspectivas sobre la población examinada, permitiendo la aprobación de una hipótesis o la representación de la población a través de la medición matemática.

3. Resultados

Tabla 6. Liderazgo resonante según género

Alternativas de respuesta		S (5)		CS (4)		AV (3)		CN (2)		N (1)		Total		Promedio
Indicadores	Ítems	Fa	Fr	Fa	Fr	Fa	Fr	Fa	Fr	Fa	Fr	Fa	Fr	
Masculino	1 - 3	87	11,27	218	28,35	314	40,88	138	17,99	12	1,52	769	100	3,30
Femenino	4 - 6	250	32,47	396	51,45	98	12,79	24	3,08	2	0,22	769	100	4,13
Media		168	21,87	307	39,90	206	26,83	81	10,53	7	0,87	769	100	3,71
Baremos de la interpretación de la media.														
Categorías	Rangos		Alternativas		Promedio total de la variable									
No presente	1 - 1,79		(1) Nunca		3,71									
Poco presente	1,8 - 2,59		(2) Casi nunca											
Mediana mente presente	2,6 - 3,39		(3) A veces											
Presente	3,4 - 4,19		(4) Casi siempre											
Muy presente	4,2 - 5		(5) Siempre		Categoría "Presente"									

Fuente: elaboración propia (2020).

El liderazgo resonante según el género consta de (2) dos indicadores apoyados cada uno por tres ítems, que se detallan en la tabla 6. Se observa que el indicador "liderazgo resonante según el género masculino" (ítems 1, 2 y 3), obtuvo un promedio relativamente intermedio para esta dimensión, de 3,30 mostrando una tendencia 60,23%, de respuestas positivas y neutrales respectivamente, con 28,35%, de opción de respuesta casi siempre y de 40,88% de opción de respuesta algunas veces.

Seguidamente se observa el indicador “liderazgo resonante según el género femenino” (ítems 4, 5 y 6); se considera como presente en las Pymes a las que representan los encuestados, debido a un promedio alcanzado de 4,13 fundamentado con un 83,92% de estos que seleccionaron las opciones siempre y casi siempre (32,47% y 51,45% seguidamente, afirmando que este indicador cuenta con una mayor concentración en pertinencia a una tendencia positiva, demostrando de este modo que el género femenino cuenta con características diferenciadoras y estilos orientados la resonancia.

Luego de analizar los resultados obtenidos, la media global hacia el liderazgo resonante según el género resulta altamente positiva, encasillando esta dimensión como presente en las organizaciones que hicieron parte de la muestra del actual estudio. Dentro de esta se evidencia una presencia relativamente alta-moderada, que los líderes de género masculino cuentan con características que se relacionan con el cumplimiento de metas estableciendo un comportamiento adecuado a la asignación y consolidación de tareas, direccionando sus iniciativas a la realización de sus funciones, indiferentemente de su estado de ánimos, circunstancias o incentivos, relacionado con el orden, acatamiento y desempeño laboral.

Mientras que la líder femenina cuenta con rasgos y estilos que buscan un mayor bienestar para su personal, asociado con la empatía, sinergia, armonía y el lenguaje positivo, el desempeño es adecuado, centrado en armonizar su entorno, afectado por factores económicos, ambientales y sociales, que inciden frecuentemente en la capacidad de respuesta de sus labores, y que notoriamente por el tipo de trabajo (operativo), la dinámica de labor disminuye el tiempo para recrear su mente y mantener niveles de productividad altos.

4. Discusión de resultados

Detallando la variable liderazgo resonante según su género, un 37,24%, se obtiene una media global de 3,71, basándose en el baremo de interpretación en referencia al objeto estudiado manifiesta con una tendencia positiva leve que, contempla que los líderes masculinos cuentan con características o rasgos que favorecen el cumplimiento de objetivos, en comparación a las líderes femeninas que cuentan con rasgos diferenciadoras, contrastando con Arteaga y Ramón (2009), exponiendo, la existencia de disparidades entre hombres y mujeres sobre la manera de

ejercer el liderazgo, el hombre suele ser más autoritario y lleva un liderazgo enfocado hacia la tarea, de esta manera alcanzar los objetivos, mientras que las mujer enfatiza en la motivación y en el desarrollo del personal, obteniendo como resultado mayor rendimiento del personal. Buitrago (2014), Ramírez et al. (2019) y Ramírez et al. (2020), consideran que la manera de ejercer el liderazgo por parte de una mujer suele estar relacionada con la estructura más horizontal, en estas se le da suma importancia a la motivación, el trabajo en equipo y relaciones interpersonales, incidiendo en el comportamiento, el clima organizacional y el rendimiento.

El estudio realizado por Ramírez et al. (2020), al valorar el liderazgo resonante según género muestra que fue poco presente, cabe destacar que el indicador masculino, hace referencia a la naturaleza del servicio, mientras que el indicador femenino, casi nunca las mujeres ocupan cargos de mandos de reportes con la habilidad resonante, es decir, que sus características o estilos derivan de acuerdo con el género que posea cada líder en cuestión. Estos resultados, difieren con los actuales resultados de esta investigación, evidenciando que depende del tipo de organización la capacidad de liderazgo resonante según el género sería diferencia, de igual manera que el liderazgo según el género se ve afectado por factores sociales que inciden en su estilo y forma de aplicar en las funciones sustantivas a los cargos.

Conclusiones

Al revisar la exposición de resultados y su análisis, se concluye que: (1) el liderazgo resonante en las Pymes panificadoras en la ciudad de Barranquilla, muestra un favorecimiento frente a la gestión del personal en relación al género; (2) el género femenino se encuentra más cercano a la resonancia, impactando de manera social y personal a los colaboradores, mientras que el género masculino está medianamente presente y su objetivo va relacionado a la competitividad y consecución de logros; (3) el adecuado uso del estilo de liderazgo resonante armonizará la articulación del talento humano con la estrategia del negocio, y su adaptación a los cambios del entorno; (4) se hace necesario que indiferentemente del género, el ser humano se dé la oportunidad de apropiarse un liderazgo resonante, armonizando su entorno con un enfoque sustentable ante las dinámicas inestable de los mercados, que sea un portador de emociones positivas ante su gente.

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Implications of the legal regulations of marketing communications in the Russian Federation

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ABSTRACT

The aim of implemented research is to form an understanding of the basics of legal regulation of marketing communications in the Russian Federation both among legal theorists and business practitioners interested in carrying out commercial activities in a large, dynamically developing Russian market. This article presents the study results of the legal framework in the field of marketing communications that has developed in the Russian Federation with the country's transition to the market economy. In the course of study, the authors identified the regulatory legal acts of the Russian Federation that directly or indirectly regulate marketing communications, considered the main legal norms in this area, and identified general patterns of functioning of the Russian legal framework in the field of marketing communications.

KEY WORDS: legal regulation of marketing communications; advertising; personal sales; sales promotion methods; public relations; integrated marketing communications.

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Implicaciones de las regulaciones legales de las comunicaciones de marketing en la Federación de Rusia

RESUMEN

El objetivo de la investigación implementada es formar una comprensión de los conceptos básicos de la regulación legal de las comunicaciones de marketing en la Federación de Rusia, tanto entre los teóricos del derecho como entre los profesionales de negocios interesados en llevar a cabo actividades comerciales en un gran mercado ruso en desarrollo dinámico. Este artículo presenta los resultados del estudio del marco legal en el campo de las comunicaciones de marketing que se ha desarrollado en la Federación de Rusia con la transición del país a la economía de mercado. En el curso del estudio, los autores identificaron los actos legales regulatorios de la Federación de Rusia que regulan directa o indirectamente las comunicaciones de marketing, consideraron las principales normas legales en esta área e identificaron patrones generales de funcionamiento del marco legal ruso en el campo de las comunicaciones de marketing.

PALABRAS CLAVES: regulación legal de las comunicaciones de marketing; publicidad; ventas personales; métodos de promoción de ventas; relaciones públicas; comunicaciones integradas de marketing.

Introduction

The legal framework in the field of marketing communications in the Russian Federation (RF) began to take shape with the coming of sovereignty following the collapse of the USSR in the early 1990s. Back then, Russia was in the process of making a transition from a planned to a market economy, which required the development of a legal system corresponding to the new economic environment.

Given the fact that the legal framework for marketing communications in the Russian Federation began to evolve much later than in the advanced economies, the law-making practices and the mechanism for monitoring the implementation of the relevant laws and regulations in Russia are not yet firmly established. Frequent revisions of legislative and other regulatory legal instruments in the Russian Federation, including the regulation of marketing communications, which requires continuous monitoring and particular efforts from the market participants to ensure adaptability to changing legal norms, serve as one of the manifestations of such volatility.

In the context of an emerging market, Russia engages in close international cooperation and becomes involved in the processes of globalization. The foreign trade turnover of the Russian Federation with many countries worldwide amounts to billions of dollars. The large Russian market has been an attractive venue for foreign exporters that carry a wide range of food and non-food items inwards, thus exploiting the market for services step by step. And, a booming business is known to require the building of demand and the marketing of the products provided with the use of marketing communications.

Recent sanctions by the United States, Canada, the EU, Japan, Australia and some other countries against Russia as a result of political differences and retaliatory sanctions have led to a reduction in Russian trade with some countries of the world. However, the ongoing negative processes are not able to freeze foreign economic relations with one of the largest world powers.

While entering a foreign state's market, one needs to be aware of the specifics of legislation in the area of entrepreneurship, in general, and marketing communications, in particular. The difference in the legal regulation between the Russian legislation and that of the other countries may be manifested in the restrictions on advertising and other marketing communications with regard to certain types of goods (services), methods for distributing marketing communications, the time and place of the movement of goods, the mechanism for interaction with the public authorities, etc. The following article is thus of both academic and empirical interest for researchers in international law, companies involved in business activities on the territory of the Russian Federation and implementing different types of marketing communications to promote the marketed goods and services.

1. Methodological Foundation

The legal aspects of marketing receive relatively little attention in the Russian scientific literature (Chardymkiy, 2014). The authors of the following publication implemented the research of the legislation serving as the backbone of the legal regulation of marketing communications in the Russian Federation.

Russian scholars generally divide marketing communications into four main types. The present approach, with minor modifications, mirrors the one suggested by some internationally recognized marketing researchers, primarily, P. Kotler (Kotler, Keller, 2011),

whose publications are particularly popular in Russia. The major types of marketing communications are as follows (Golubkova, 2020; Marketing Communications, 2016):

1. Advertising – paying for space to promote a product or a service in mass media.
2. Personal sales – face-to-face selling in which the salesman tries to convince the customer in buying a product.
3. Sales promotion methods – the step by step proposition developed by a sales person or a company to make the process of selling more effective within a limited time-frame.
4. Public relations – a strategic communication process that builds mutually beneficial relationships between organizations and their publics, generating positive public image of the company and its products.

Alongside the four main types of marketing communications, integrated marketing communications are singled out, combining the elements of several types of marketing communications (Muzykant, 2020). Integrated marketing communications include: corporate identity, branding, promo offerings, exhibition activities, etc.

In carrying out research, the searching method, the method of classification, content analysis, induction were employed. To begin with, the authors of the article undertook a search for legal codes, laws, Presidential Edicts, the Enactments of the Government of the Russian Federation and other laws and regulations of the Russian Federation that contain any references to the above-mentioned types of marketing communications. Moreover, scientific literature on the subject of research was selected. Further on, by resorting to the methods of classification and content analysis, the provisions set out in the laws and regulations connected with the legal regulation of communications activities of market participants were subdivided according to the types of marketing communications and revised to be presented to a wide audience in a clearer way.

In addition to that, the scientific papers on the legal regulation of marketing communications published earlier, including the article by one of the co-authors of M. Chardymkiy, devoted to the legal aspects of Internet marketing in Russia were covered and summarized (Chardymkiy, 2014). The method of induction made it possible to draw some general conclusions about the state and peculiarities of the legal regulation of marketing communications in Russia on the basis of some particular norms.

The following publication contains the characteristics of the legal framework and outlines the main provisions of the essential laws and regulations forming the legal norms for monitoring marketing communications in Russia; with the general conclusions being drawn.

2. The Legal Framework for Marketing Communications in the Russian Federation

The fundamental legal principles to govern marketing communications are rooted in the Constitution of the Russian Federation and in the Civil Code of the Russian Federation.

The country's constitution guarantees a single economic space throughout the Russian Federation and freedom of economic activity. Citizens are given the right to seek, receive, transmit, produce and disseminate information by any legal means (Constitution of the Russian Federation, 1993).

Part one of the Civil Code of the Russian Federation contains provisions governing certain aspects of public relations (Civil Code of the Russian Federation. Part I, 1994). Part two of the Civil Code of the Russian Federation defines the procedure for concluding and executing business contracts, which, among other things, include contracts for the provision of advertising and other services in the field of marketing communications (Civil Code of the Russian Federation. Part II, 1996). In the fourth part of the Civil Code of the Russian Federation, the use of individual tools of integrated marketing communications is regulated (Civil Code of the Russian Federation. Part IV, № 230-FZ, 2006).

Russia has implemented a number of special laws and regulations governing the use of marketing communications, advertising, in particular.

Compliance with the legislation on marketing communications is monitored by the state anti-monopoly authority. The Federal Antimonopoly Service of the Russian Federation currently performs these functions.

The Federal Antimonopoly Service of the Russian Federation is authorized to sue to prohibit the distribution of advertisements carried out in violation of federal law, to publicly refute inaccurate advertisements, to apply administrative measures, to issue orders to terminate contracts for the provision of advertising services that do not meet the requirements of the law (Civil Code of the Russian Federation. Part II, 1996).

In practice, the perpetrators of this offence in Russia are frequently credited with distributing advertisements that infringe the legislation over a long period of time. The Federal Antimonopoly Service is not always able to quickly identify violations in the area of advertising; it takes a long time to review cases for violations of the law or to comply with the orders of the antimonopoly body with regard to suspending the distribution of improper advertising.

The regional and local laws and regulations applicable to marketing communications that comply with the federal legislation have effect in the constituent entities of the Russian Federation and municipalities. Organizing trade fairs, exhibitions, placing the outward advertising are most commonly regulated in Russia at the regional and local levels. Such legal acts occasionally govern the holding of a particular marketing event. The monitoring of the implementation of the regional and local legislation is performed by the executive authorities of appropriate levels.

A series of laws and regulations in force in the Russian Federation implicitly affects the application of marketing communications. They include:

- Law of the Russian Federation «On Protection of Consumer Rights» (Law of the Russian Federation, № 2300-1, 1992);
- Law of the Russian Federation «On Mass Media» (Law of the Russian Federation, № 2124-1, 1991);
- Federal Law «On Communications» (Federal Law, № 126-FZ, 2003);
- Federal Law «On the Basic Principles of State Regulation of Trading Activities in the Russian Federation» (Federal Law, № 381-FZ, 2009);
- Federal Law «On the State Language of the Russian Federation» (Federal Law, № 53-FZ, 2005);
- Federal Law «On Personal Data» (Federal Law, № 152-FZ, 2006);
- Federal Law «On the Protection of Children from Information Harmful to their Health and Development» (Federal Law, № 436-FZ, 2010);
- Federal Law «On Charitable Activities and Charitable Organizations» (Federal Law, № 135-FZ, 1995);

- Resolution of the Government of the Russian Federation «On Approval of Rules to Ensure the Availability of Information in Russian on the Imported Food Items into the Territory of the Russian Federation» (Resolution of the Government of the Russian Federation, № 1575, 1996);
- Resolution of the Government of the Russian Federation «On Measures to Ensure the Availability of Information in Russian on the Imported Non-food Items into the Territory of the Russian Federation» (Resolution of the Government of the Russian Federation, № 1037, 1997).

It's also worth noting that Russia acknowledges international and national codes of ethics in the area of marketing communications, which are of recommendatory nature. First and foremost, they are followed by members of public associations in the field of marketing, for example, the Russian Marketing Association, the Russian Association of Communication Agencies, and large companies.

Among world wide legal instruments of this type, special mention should go to the two present codes of the International Chamber of Commerce, best-known in Russia: the Consolidated ICC Code of Advertising and Marketing Communication Practice (The Consolidated ICC Code, 2006) and ICC International Code of Direct Sales (ICC International Code, 2007).

Among similar internal instruments in the Russian Federation, designed to reinforce socially responsible marketing, noteworthy are: the Code of Standards for Advertising (Code of Russian Association of Advertising Agencies, 1992), the Customary Laws and Rules of Business Advertising Practices on the territory of the Russian Federation (Laws and Rules of The Public Advertising Council, 1999), the Russian Code of Professional and Ethical Principles in the Field of Public Relations (Code of the Russian Public Relations Association, 2001).

Further on, the overview of the legal regulation of the main types of marketing communications in Russia is provided.

3. The Legal Regulation of Advertising Activities

Advertising activities in Russia, as well as in other countries, are subjected to the most detailed and strict legislative regulation.

The following laws and regulations monitor advertising on the territory of the Russian Federation:

- Federal Law «On Advertising» (Federal Law, № 38-FZ, 2006);
- Decree of the President of the Russian Federation «On Guarantees of the Right of Citizens to Health Protection when Advertising is Distributed» (Decree of the President of the Russian Federation, № 161, 1995);
- Decree «On Approval of Regulation on State Supervision of Advertising of the Government of the Russian Federation» (Decree of the Government of the Russian Federation, № 1838, 2020);
- Order of the Government of the Russian Federation «About Approval of Rules of Consideration by Antimonopoly Authority of the Proceedings Initiated on Signs of Violation of the Law of the Russian Federation about Advertising» (Order of the Government of the Russian Federation, № 1922, 2020).

The main legislative instrument regulating advertising activities in the Russian Federation is the Federal Law «On Advertising» (hereinafter the Law). It ought to be remarked that the following law contains some legal norms that indirectly determine the use of other types of marketing communications, alongside advertising.

This law applies to relations in the field of advertising distributed in the Russian Federation. The law does not apply to political advertisements, announcements, non-advertising signs, information posted on a product or its packaging.

According to the Law, advertising shall be fair and truthful. Unfair and untruthful advertisements are prohibited.

Unfair advertising is considered to be one that contains incorrect comparisons of the advertised product with other products, is created under the guise of advertising another product, defames honor, dignity or business reputation, violates the antitrust laws of Russia.

An advertisement shall be deemed untruthful if it contains untrue information on the advantages of the advertised goods, their characteristics, the value or price, the procedure for making payment for them, the terms for servicing, the manufacturer or seller of the goods, the official or public recognition, the rules of, and terms for, conducting a

competition, game or another similar event, in particular, the deadline for acceptance of applications for participation in it, etc.

According to the Law, advertising should not induce illegal actions, call for violence and cruelty, threaten the safety of traffic, form a negative attitude towards people who do not use the advertised goods, contain pornographic information. It's forbidden to use obscene language in advertising, abusive images, comparisons and expressions regarding gender, race, nationality, profession, social category, age, language, state and religious symbols, objects of cultural heritage. In addition, advertising in which there is no part of the essential information about the advertised product, the conditions for its purchase and consumption, is prohibited.

In Russia, it's not allowed to create and distribute hidden advertising that has an unknowable effect on consumers through the use of special video inserts, dual sound recordings and other means.

The law does not allow the advertising of narcotic drugs, psychotropic substances, explosive materials, with the exception of pyrotechnics, human organs and tissues, tobacco products and smoking accessories, medical services for artificial termination of pregnancy, services for the implementation of qualification and other educational works, non-certified and unlicensed goods.

Persons whose rights and interests are violated as a result of inappropriate advertising are entitled to apply to the judicial authorities. Individuals must apply to the court; legal entities must apply to the arbitration court. Victims can file lawsuits for damages, including lost profits, for damages caused to health and property, compensation for non-pecuniary damage, public refutation of inappropriate advertising.

Other laws and regulations in the area of advertising listed above are of a private nature and address only some particular issues with regard to implementation and monitoring of advertising activities.

4. Legal Regulation of Other Types of Marketing Communications

Personal sales, sales promotion methods, public relations and integrated marketing communications are governed by Russian legislation generally, fragmentarily or indirectly.

There are no separate regulatory legal acts to establish requirements for their content, presentation and distribution in the Russian Federation.

Personal sales in Russia has so far been the least affected by legal regulation among all types of marketing communications. This stems from the nature of the given type of marketing communications due to the fact that spoken messages of sellers and shop assistants are the most difficult to monitor and subject to restrictions of any kind. Generalized personal sales is regulated by the Law of the Russian Federation «On Protection of Consumer Rights» (Law of the Russian Federation, № 2300-1, 1992). This law establishes that the consumer has the right to demand the provision of the necessary and reliable information about the manufacturer, contractor or seller, his mode of operation and the goods (works, services) sold by him in a clear and accessible form in Russian. Additionally, information may be provided in other languages at the discretion of the manufacturer, contractor or seller. Thus, the law does not exclude the provision of information to consumers orally, if they consider this form available.

With regard to sales promotion methods in Russia, the terms and conditions for conducting competitions, games and other enabling activities for consumers are regulated by law. Furthermore, the organization of enabling activities is indirectly regulated by law, mainly in connection with the advertising of such events.

The Federal Law “On Advertising” establishes that the advertisement informing of a competition, game or other similar event, for participation in which it is necessary to purchase a certain product, must indicate the dates of such an event, the organizer of the event, the rules for its holding, the number of prizes, conditions for their preparation (Federal Law, № 38-FZ, 2006). Advertising of games and bets by law should not appeal to minors, to minimize the degree of risk, to condemn the non-participation of citizens in risk-based games or bets, etc.

Protection of business reputation of legal entities in Russia as a tool of public relations also belongs to legal regulation. In accordance with the part one of the Civil Code of the Russian Federation, a legal entity is entitled to demand the refutation of information discrediting its business reputation, if the person disseminating such information does not prove that it is true (Civil Code of the Russian Federation. Part I, № 51-FZ, 1994). In this case, a refutation must be made in the same way that the information was disseminated, or

in another similar way. In some cases, the procedure for refuting information that discredits the business reputation of a legal entity is established by the court. If this information is disseminated in the media, then the organization, along with a refutation from the defendant, has the right to demand the publication of its response in the same media. An organization whose business reputation has suffered as a result of the publication of defamatory information is also entitled to claim compensation for losses caused by the dissemination of such information. If it is impossible to establish a person who disseminated information that defames the business reputation of a legal entity, then this organization has the right to apply to the court with a statement recognizing the disseminated information as untrue.

As noted above, the use of certain integrated marketing communications tools is regulated by part four of the Civil Code. In particular, it enshrines legal protection, the procedure for state registration and the conditions for the use of company names and trademarks.

Exhibition and trade fair activities serve as another instrument of integrated marketing communications. Exhibition and trade fair activities are regulated by Resolution of the Government of the Russian Federation «On Approval of the Provision for Holding International Exhibitions of Samples of Defense Products in the Territory of the Russian Federation and Participation of Russian Organizations in Such Exhibitions at Territories of Foreign States» (Resolution of the Government of the Russian Federation, № 339, 2007). Obviously, this resolution has a very limited scope of application.

Such tools of integrated marketing communications, as merchandising, promotions, product placement, are completely outside the field of legal regulation in the Russian Federation.

Conclusions

The historical background of the legal framework for marketing communications in the Russian Federation began to take shape with the country's transition from a planned to a market economy with Russia's coming of sovereignty as an independent state following the collapse of the USSR. Over the past decades, Russia has adopted a number of specific

laws and regulations in the given area. The application of marketing communications is indirectly determined by other laws and regulations.

The legal regulation of marketing communications in Russia is implemented at all levels of public and municipal administration: federal, regional, and local. Primarily, advertising is subject to the legal regulation. The main legislative instrument regulating its application is the Federal Law «On Advertising». The Law provides both general requirements for advertising and legal norms for some particular ways of distributing advertising, advertising of certain types of goods, self-regulatory governance of advertising, state control and accountability for violation of the Law of the Russian Federation «On Advertising». Other types of marketing communications, such as personal sales, sales promotion methods, public relations, as well as integrated marketing communications, are not provided for by any specific legal instruments. Their application is, to a certain extent, governed by the Federal Law «On Advertising», the Civil Code of the Russian Federation and some other laws and regulations.

The legal framework for marketing communications in the Russian Federation has been frequently changed. One example is the Law «On Advertising» that is amended, on average, two to three times per year. Such amendments are generally non-essential and individual in their nature; nevertheless, entrepreneurs and managers are to provide continuous monitoring of the Russian legislation and track any changes in it.

The state supervision of the application of marketing communications in the country is carried out by the Federal Antimonopoly Service of the Russian Federation, including its regional departments. On the other hand, the supervision is scarcely ever conducted expeditiously.

The main results of the study were discussed at the International Social Congress at the Russian State Social University in 2019. The participants of the discussion expressed their opinion about the indirect and fragmentary regulation of marketing communications in the legislation of the Russian Federation, with the exception of advertising, which is due both to the nature of these types of marketing communications and insufficient elaboration of these issues by the legislative authorities. Most of the speakers agreed on the need for a more comprehensive and detailed legal regulation of public relations, sales promotion methods, personal sales, as well as event marketing and product placement.

The legal framework in the field of marketing communications has been functioning in the Russian Federation for 30 years. It has passed the stage of formation and is gradually being improved, approaching the standards of international law.

Despite the formation of a fairly comprehensive legal framework for marketing communications, there are gaps in Russian legislation that allow the free use of many marketing communication tools. These gaps need to be eliminated by specifying the legal regulation of all types of marketing communications, without infringing on the freedom of entrepreneurship.

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Clasterization tendencies of Ukraine's tourism sphere and way out of the COVID-19 pandemic crisis

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ABSTRACT

The article considers the clustering trends in Ukraine's tourism sector, aimed at a further rise of the tourism industry, overcoming its negative effects of the COVID-19 pandemic and achieving sustainable development. The need to create tourism clusters and other topics on the organization of tourism with state executive authorities as well as professional tourism associations on attracting investment and providing institutional and consulting assistance to small tourism enterprises is being investigated. The foreign experience was analyzed, as well as the distribution of tourist groups in Ukraine by tourist types in the period 2019-2020. Method: analysis and synthesis, systematization of materials, historical and logical, comparative, systemic and structural, which allowed to study the trends in the tourism industry. Conclusions. The grouping of the sphere of tourism in Ukraine must be developed under the close attention of the government, state and local authorities, public figures, civil society, companies, because it requires not only the containment of the pandemic, but also the development of forms of tourism competitiveness, investment in this industry, the provision of jobs for workers dismissed during the pandemic, the use of the most advanced innovative technologies for the development of creative tourism industries, which will help to get the industry out of the crisis.

KEYWORDS: cluster; tourism sector; COVID-19; investment; tourism cluster; tourism potential.

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Tendencias de agrupamiento en la esfera turística de Ucrania y salida a la crisis de la pandemia de COVID-19

RESUMEN

El artículo considera las tendencias de agrupamiento en el sector turístico de Ucrania, dirigidas a un nuevo ascenso de la industria del turismo, superando los efectos negativos de la pandemia del COVID-19 y logrando el desarrollo sostenible. Se investiga la necesidad de crear agrupaciones turísticas y otros temas sobre la organización del turismo con las autoridades ejecutivas estatales, así como las asociaciones profesionales de turismo sobre la atracción de inversiones y la prestación de asistencia institucional y de consultoría a las pequeñas empresas turísticas. Se analizó la experiencia extranjera, así como la distribución de los grupos turísticos en Ucrania por tipos turísticos en el período 2019-2020. Método: análisis y síntesis, sistematización de materiales, histórico y lógico, comparativo, sistémico y estructural, que permitió estudiar las tendencias en la industria del turismo. Conclusiones. La agrupación de la esfera del turismo en Ucrania debe desarrollarse bajo la estrecha atención del gobierno, las autoridades estatales y locales, las figuras públicas, la sociedad civil, las empresas, porque requiere no solo la contención de la pandemia, sino también el desarrollo de formas de competitividad turística, la inversión en esta industria, la provisión de empleos para los trabajadores despedidos durante la pandemia, el uso de las tecnologías innovadoras más avanzadas para el desarrollo de las industrias de turismo creativo, que ayudará a sacar a la industria de la crisis

PALABRAS CLAVE: clúster; sector turístico; COVID-19; inversión; clúster turístico; potencial turístico.

Introduction

The relevance of the research topic is that the whole society, including Ukraine, is experiencing difficult circumstances pandemic COVID-19, which affected the modern world - society, economy, politics, and led to the decline of the economy in general and the tourism industry, in particular. Therefore, the modern economy has entered a crisis caused by the global consequences, which questioned the globalization itself as such. The tourism sphere has so far multiplied as the most affected by the COVID-19 pandemic, which, in turn, has affected the world economy (Hernández et al, 2021). Therefore, the search for ways out of the tourist sphere from the phase the potential bankruptcy becomes a priority task not only for tourism itself, but also for the governments of many countries. It is no coincidence that the concept of "new normality" as a characteristic of our existence with masks, quarantine, self-

isolation, lockdown, social distance, caused by such terms as "2019-nCoV", "SARS-Cov-2", "COVID-19", influencing on the lives of the millions of people has appeared.

-**The research object:** the conceptual model of clustering tourism sphere of Ukraine as a complex social and economic phenomenon, develops as a dynamic process.

-**The subject of the study:** trends in the development of tourism industry clustering will contribute to overcoming the COVID-19 pandemic crisis.

1. Literature review

For the analysis we use the works of domestic and foreign scientists such as: (Voronkova et al., 2020), the way global data distribution on the development of digital technology, information technology, robotics, which are now so actively burst into the tourist gallery, and download information in analytical information, information technology, information technology specifically search for data about their customers or data clustering. The work "COVID-19: The Great Reset" by K. Schwab and T. Mullery, which is a serious study of the problems of COVID-19, which recognizes at the same level that people have not made the ability to write in such a deep industrial collapse, the manifestation of the "New Post-Covid Normal" (COVID-19: The Great Reset / Forum Publishing) is very relevant for the study. In Cuomo A. "American Crisis: Leadership Lessons on the COVID-19 Example" (Pandemic. New York: Crown Publishing Group, 2020) Galloway S. "Post-Crown: From Crisis to Opportunity" (New York: Portfolio, 2020), Hans J. "Economics in the COVID-19 Era" (Cambridge, Massachusetts, USA. 2020) Presented a rich factual material on the course of the crisis, provided great statistical data COVID -19 to analyze plans to analyze these issues - Economic, social, demographic, environmental, which took part in the people's lives and created critical pandemic consequences. A number of papers to analyze in the article Ryan A. Born, "Economics in One Virus: An Introduction to Economic Reasoning with COVID-19" (Washington: Cato Institute, 2021), Caro D., "Transforming Nations After COVID. -19 Pandemic/Management, Change, Strategy, and Positive Leadership" (Cham: Springer International Publishing. 2021) Demonstrate the characteristics of the economy in the pandemic period, where so, presented factual material in the pandemic crisis that led to revision. can be compared from the 2008-2009 crisis.

For us this material was very valuable, because in its background we showed the fall and the tourist industry, against which the existence of "new post-covid normality" is formed,

in which a person has to adapt and shape his being in the conditions of the economy fall, uncertainty, instability, complexity (VUCA concepts) and to predict his future. We also rely on our own study (Nikitenko, Voronkova, Andriukaitiene, Oleksenko, 2021), in which a metaphysical foundation crisis was discovered, people were forced to live in a total crisis, since the established ways of human existence in this world were lost. We appreciate the legacy of Shcherbakov A. "The impact and consequences of the COVID-19 pandemic: socio-economic dimensions" (MIR (Modernization. Innovations. Development). 2021), which showed in a systematic way the development of coronavirus pandemic problems and measures to counteract it by national authorities and international organizations, which have already implemented a number of activities.

The works show that the sphere of tourism has suffered the most as a result of the pandemic, and at the same time has a high ability to regenerate. According to the experts of the World Tourism Organization, will recover in the next few months. But with some adjustments: for example, travelers will seek environmentally friendly and more uninhabited areas, respecting the social distance. Ukraine has the necessary tourist potential, a variety of origins and opportunities to use, indicates the search for a way out of the crisis and the formation of new tourist activity concept parameters. Therefore, if it is effectively used, travel and leisure industry can be one of the key steps to overcome the crisis, providing a stable income to state and local budgets, providing jobs and redistribute investment in their favor.

2. Research methodology

To determine the tourism clusters components as well as genesis of their mechanisms formation in Ukraine the methods of theorizing and historical formalization were used. To study foreign practices of tourism sphere clusters creation the methods of system analysis, comparison, sampling and description were used. To justify the scientific foundations and approaches to the development of tourist clusters in Ukraine the methods of grouping, modeling and forecasting were used. To determine the tourism cluster's place in the public policy system of medical and therapeutic and recreational areas was determined by the presence of scientific developments in this area. The method of system analysis and synthesis was used, due to which it was possible to bring together into a system disparate data about the COVID-19 pandemic crisis and made a conclusion about the tourism sector clustering trend in Ukraine and the way out of the COVID-19 pandemic crisis. The comparative method

or the cross-cultural analysis method allowed to compare the development of the tourism industry in Ukraine and abroad and to show the creation conditions of the tourism cluster multilevel model from the position of its main essence components. The axiological analysis method allowed to reveal the tourism industry values, which are coming down to the identification of its components such as creativity, creativity, exclusive development, well-being, safety, adaptation. The method of cybernetic and statistical analysis allowed to construct the distribution of tourist clusters (TC) in Ukraine by tourism types in the period 2019-2020. To distribute tourist clusters on certain functional directions of tourist activity helped methods of structural-functional analysis, and ways out of the COVID-19 pandemic crisis helped modeling and forecasting methods. To form a conceptual model of tourist clustering in Ukraine as a complex social and economic phenomenon, developed as a dynamic process, helped the method of compression analysis and synthesis. The complex of general theoretical and specific methods and approaches which helped to solve the set tasks and to form the cauterization model of tourist sphere of Ukraine and to find the ways out of COVID-19 pandemic crisis was used as a result of the carried out research. Informatiological method aimed at the use of new creative technologies BIG DATA. The research methodology was generally aimed at the fact that the clustering of the Ukraine tourism sphere contributed to the new tourism industry recovery, overcoming its negative consequences and achieving sustainable development.

3. Results and Discussion

Since March 11, 2020, HEI has qualified the spread of COVID-19 as a pandemic. In Ukraine today, due to the influence of exogenous and endogenous factors, in particular the spread of viral diseases, COVID-19 is a significant backlog in the implementation of measures to overcome the crisis and support the tourism sector, poses a serious threat to the competitiveness of the industry in the global market during the predicted recovery period during 2021. We have established that the digital economy contributes to technological progress and under the pressure of global trends develops various economic models of scientific and technological and digital progress, which are based on solving man' problems, science, society (Voronkova Valentyna H. et al., 2020).

The development of the tourist sphere requires to use effective organizational and economic instruments of public policy, which in turn provide opportunities for the formation

of cluster structures in order to strengthen the position in the market of relevant services while increasing economic entity's share in various consumer segments (Ortina, 2015; Khlopyak, 2015).

Abroad, cluster models in tourism are actively implemented in Belgium, Greece, Ireland, Spain, Italy, Norway, Poland, France, Scotland and other countries of the world (Lytvynenko et al, 2020). Their tourist clusters are annually visited by several million tourists; this accounts for almost 1% of the world's trade turnover in tourism (Kovaleva, Alisheva, 2008; Porter, 1993); Timchishin-Chemeris,2015).

Cluster structures, as a form of commercial implementation in the entrepreneurial environment, have a rather long history of practical use on a global scale - since the 60's-70's. since the first industrial clusters appeared in the automobile industry (Rybalchenko, 2018; Rybalchenko, 2020).

In developed countries at the end of the last century - beginning of the new century, the cluster policy began to be widely used in the conditions of transition to a service economy, which allowed improving the efficiency and quality of many services types. At the same time, there was a certain transformation of organizational and economic approaches to the design and further functioning of such clusters, which was conditioned by the specific features of services as an economic good (Rybalchenko, 2018; Rybalchenko, 2020). In modern conditions of the information society, the "best practices" of innovation clusters were created, concentrated in the United States, the European Union, and Southeast Asia. According to experts, clustering covers about 50% of the economies of the world's leading countries. As an example of new forms of tourism industry development are innovative clusters: Silicon Valley, French competitiveness clusters, clusters in Finland, the international cluster Eindhoven-Löwen-Ahen (ELAt), Biotechnology Valley, shipbuilding cluster in South Korea, mechanical engineering clusters in Japan, the "Shanghai zone" of the People's Republic of China.

Taking into consideration the importance for the socio-economic development of regions and territories, tourist clusters began to appear among the first in the foreign service economy, which were aimed at expanding the opportunities and capacity of the tourist market due to the optimization of relevant organizations located in close geographical proximity and capable of forming and implementing a unified tourist product (Perminova,1999).

In the mid-2000s the practice of creating tourist clusters began to spread in Ukraine. Having analyzed the regulatory framework in the tourism sector, we can argue that the creation and development of tourist clusters should form the basis for the formation of national regulatory documents such as the Strategy for Sustainable Development of Tourism and Resorts in Ukraine for the period up to 2026 (government portal), new targeted state programs to develop domestic and inbound tourism in Ukraine, as well as regional programs and strategies of tourist sector development. In the past decade, our country has accumulated considerable experience in the formation of clusters, aimed at the maximum satisfaction of the demands of both domestic consumers and foreign tourists. In Ukraine the clusters are created and function on the basis of such tourist centers:

1) Kamyanets-Podilsky tourist cluster, providing for the development of cognitive tourism, the provision of services for long-term accommodation, catering, health, as well as the organization and holding festivals and fairs;

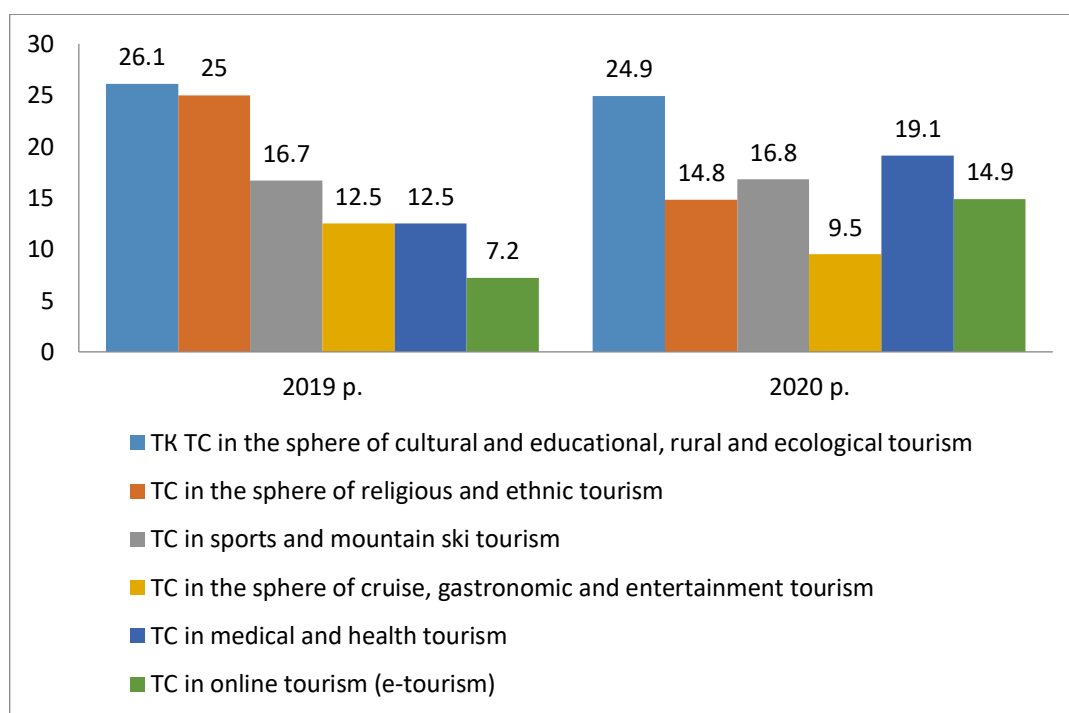
2) Lviv Tourist Alliance with the Lviv promotion in domestic and international tourism markets, in turn, requires the implementation of activities to improve the competitiveness of domestic tourism services and infrastructure of the said city (Rybalchenko, 2020).

The percentage distribution of tourist clusters in Ukraine by type of tourism in 2019 and 2020 is shown in Fig. 1.

But there are a enough problems with the implementation of the clustering principles in the tourism sphere in Ukraine. In our opinion, they include the following:

1. Insufficient level of utilization of allocated funds, violation of the terms of design, installation and construction works, failure to meet the schedule of commissioning of facilities, negligent attitude to the process of acceptance-transfer of facilities to the regional balance, and the like. Thus, back in 2016, the program for the creation of tourist clusters provided for the opening of 16 clusters, not a single one was fully completed, and from 25 facilities that provide tourist infrastructure, only 11 were put into operation, that is, 44%. As of October 1, 2017, their technical readiness ranged from 30% to 77% (Shelemet'va, 2019)

Fig. 1. Distribution of tourist clusters (TC) in Ukraine by type of tourism in 2019-2020.
Source: compiled from data.



The experience of creation and functioning of tourist clusters abroad shows that the basis of their activity is the provision of services for comfortable accommodation, proper catering and organization of thematic, educational, agrotouristic and other recreational activities and occupations. As you know, in Greece there is an active tourist cluster "Wine, Gastronomy, Tourism", in Northern Scotland - rural (green) tourist cluster, in the Republic of Poland - cluster "Pottery wheel", "Baltic coast", etc. These and other countries have defined their tourist smart specialization, which allows qualitatively differ and win in the national and international tourist markets (Rybalchenko, 2018).

2. the use of corrupt schemes in the allocation and investment of funds, allocated overstatement of the cost of work to create the cluster, non-payment and delays in wages and social security during the preparatory work during the construction or reconstruction phase, and the like. One of the most famous cases is the initiation of criminal cases (Rybalchenko, 2018).

Lack of use of the cost method of determining the cost of creating or modernizing tourist cluster facilities in the formation of programs of budgetary expenditure on relevant projects. In contrast to the practice of some foreign countries, in Ukraine certain financial resources are first allocated for the years of life cycle of the cluster project, selected within

the framework of strategic development programs at the state or regional level, and the main task of participants is related to the maximum development of these funds in the declared period. An alternative approach to financing the creation of a tourist cluster should be considered the experience of a number of countries, when the allocation of budgetary funds takes place either after the completion of the entire set of tourist infrastructure of the cluster, or at the final stage of construction (Rybalchenko, 2020; Perminova, 1999).

4. As shows not only the Ukrainian, but also foreign practice, at the beginning of the use of mechanisms of the cluster approach in tourism most often created the so-called tourist and recreational clusters, the mission and purpose of which is associated with the provision of recreation and leisure tourists on the basis of entertainment industry infrastructure and a number of types of tourism (environmental, sports, cultural and informative). However, over time, the situation is changing and tourism and recreation clusters are being replaced by more differentiated and complex projects.

Tourist clusters can be distributed according to certain functional areas of tourist activity (Table 1).

In modern conditions and in the future we should talk primarily about the need for the formation of large sanatorium-resort complexes using the principles of clustering, than about clusters in the field of medical and health tourism. The main difference, based on the classical definitions of cluster in the field of tourism and recreation, will be in the issues of delimitation of areas of responsibility and status of the structure participants. In the context of the health resort complex we are talking about one organization, which provides a wide range of services of therapeutic and recreational orientation. A health cluster, on the other hand, involves a number of independent participants who combine their efforts to achieve the socio-economic objectives of the implemented project (Radchenko, 2019; Pokolodna, Polchaninova, 2019)

From the point of view of further and prospective development of tourism sphere, there is a need for formation and prolongation of the integrative form of cluster structure - a cluster in the sphere of medical and therapeutic and medical tourism, which would unite the advantages of each of the components and would be aimed at solving the problems of the tourist market both at international and national levels.

Table 1. Tourism cluster types

No	The cluster name depending on the scientific division of tourism types	The cluster name depending on the tourism type defined in the Law of Ukraine "On Tourism" and the Strategy for Sustainable Development of Tourism and Resorts	Distribution of tourist clusters by tourism type
1	Ecological and sports (Ski) tourism clusters	Ecological (green) tourism cluster	33%
2	Cultural and educational, historical and ethnographic, and pilgrimage tourism clusters	Ethnic, rural, cultural, educational and religious tourism cluster	25%
3	Tourist and recreational direction tourist clusters	Mountain and sports tourism clusters	16,7%
4	Cruise tourism clusters	Scientific and educational, gastronomic, cruise and entertainment tourism clusters	12,5%
5	Medical and health direction tourism clusters	Medical and health-improving tourism clusters	12,5%

Source: compiled on the basis of (Radchenko, 2019).

As you know, the most common are structural and functional schemes of already existing cluster initiatives in different regions of Ukraine, which are located in the West, South and East. In this context, a significant number of initiatives implemented within the framework of rural, green, ethnographic and other types of tourism was stated. However, in modern conditions, the relevance of studying the type of medical and therapeutic tourism clusters. Existing clusters and cluster initiatives allow to assert that their typification should be carried out on the basis of the criterion of reasonable and weighted specialization, so to say "topical". This model of tourist cluster in the medical and therapeutic-health sphere is based on the structure of participants, specific types of their cooperation, determined at the level of reasonable specialization.

According to our belief, one of the promising tourist clusters in the medical and health-improving sphere can be recognized as a cluster in the Kherson region, can provide tourism services balneological direction. This region has a significant amount of natural and recreational resources (mud, geysers, mineral waters, etc.), which will allow this cluster to develop actively. Kherson is a center of health tourism. Tourist cluster will be realized on its territory within 5-6 years. Preliminarily the implementation of the project requires funds from the state and / or local budgets. According to the preliminary estimations, creation of the tourist infrastructure for the new tourist cluster will cost more than 2 mln. It is estimated that the creation of a new tourism cluster will cost more than 2 million USD, and the planned extra-budgetary investment must be more than 4,800,000 USD. Dollars. USD (Rybalchenko, 2020), (Pokolodna, Polchaninova, 2012). As part of the creation of this sub-cluster, it is necessary to modernize electrical networks, water supply, as well as to reconstruct driveways and roads in sanatorium-resort complexes.

Prospective is the creation of clusters of medical and health tourism in the ski areas of the Carpathians, in particular in the settlements of Kvasy, Rakhiv and others. On their territory there is a significant number of medicinal mineral springs, a lot of medicinal plants grows, which is facilitated by the special climatic zone, etc. On the creation of clusters of medical and therapeutic and health tourism in Agrotouristic area, it is possible to realize it as part of the promotion of rural health tourism in the settlements of Odessa, Ivano-Frankivsk, Khmelnytsky, Vinnytsia, etc. (in particular, in the cities of Kvasy, Rakhiv, etc.). (In particular, in settlements Bakota, Satanov, Khmelnik, etc.) (Grimak, 2019). So, we should rather talk about the formation of large sanatorium-resort complexes using the principles of clustering, and then about clusters in the field of medical and therapeutic and health tourism. The disadvantages in the organizational and functional activity of clusters of this type include the following:

- 1) the complexity of differentiation of participants, including the functions that they perform, conventionally among them can be distinguished leading and auxiliary participants, as well as other partners;

- 2) imperfect state of the resource and infrastructure base of medical and health tourism clusters (it is clear that they should include, first of all, not tourist attractions, but have the necessary resource and material base of medical and health tourism);

3) lack of determination of the key vectors of the participants of medical and health tourism clusters, and, consequently, their interaction directions [ibid].

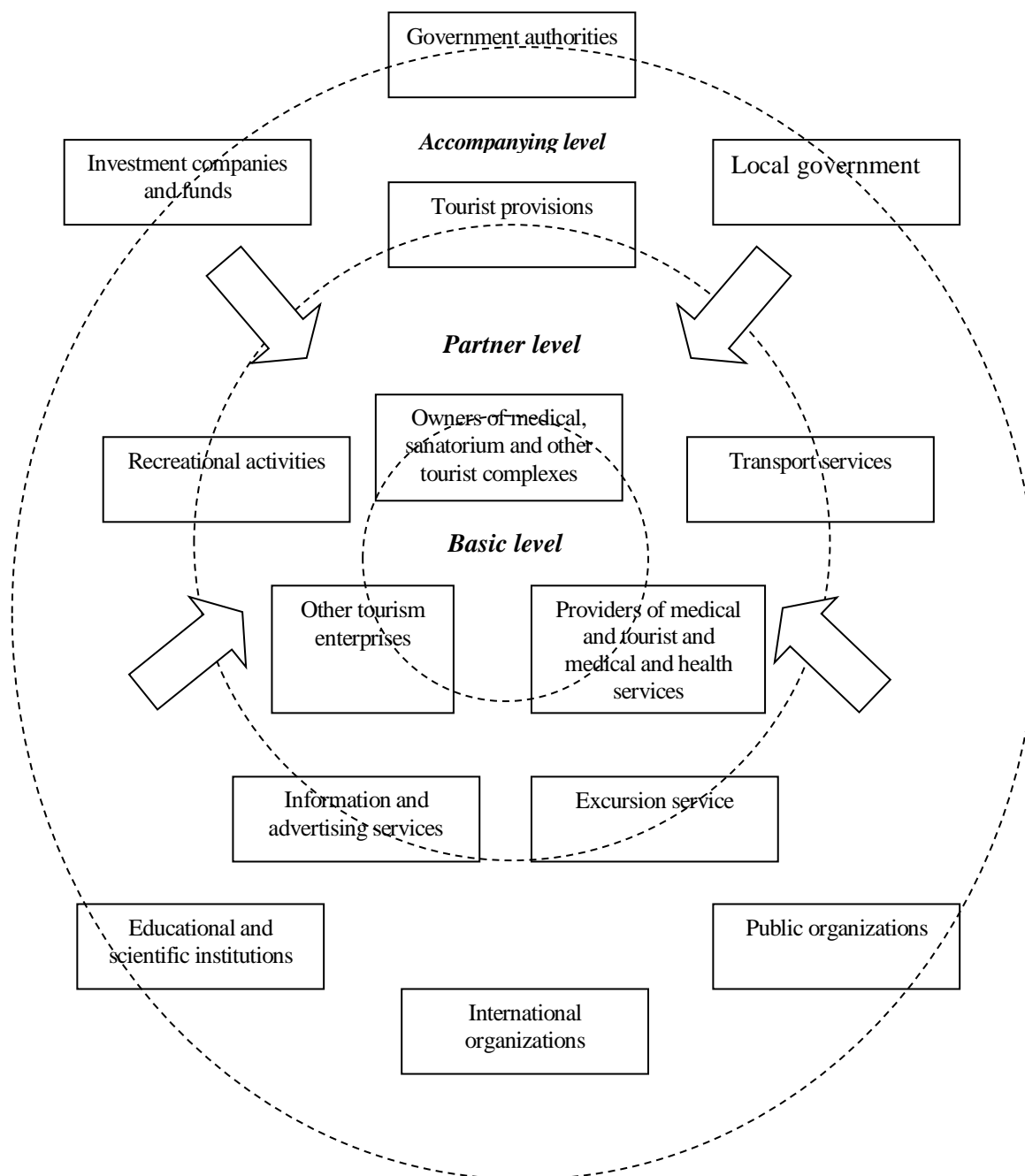
Multilevel model of tourist cluster, in particular in medical and therapeutic and health-improving spheres, can also be considered from the position of its basic essence components, schematically represented by corresponding colocenters (Fig. 2). In this case, the basic level of tourist cluster, which functions in medical and therapeutic and health-improving spheres, is appropriate to present in the mnemonic (schematic) model as a central circle (core). The constituent parts of this colocenter are the entities that provide basic services to the recreationists, as well as for the maintenance of medical and tourist attractions.

There is no doubt that the tourism industry has been shaken by the pandemic "COVID-19," resulting in a serious crisis in this area and reset serious imbalances, resulting in the results of the fall and the global economy. The "COVID-19" pandemic acted as a catalyst of crisis processes which occurred in the form of financial shocks, - notes G. Scherbakov in his article "Influence and consequences of the COVID-19 pandemic: social and economic dimensions.

The efficiency and innovation in the tourism sphere can be provided by tourist clusters, because the creation of 10 such clusters within 5 years gives the possibility for the state to get additional 500 million dollars into the budget, to attract from 800 million to 150 million dollars of investments into the tourist sphere, and also to create 800 workplaces in it and in the adjacent spheres (Georgieva, & Malpass, 2020; Grimak, 2019).

The next linking colocenters are represented by partner structures. They provide additional services to the recreationists on the territory of the tourist cluster. At this level, it is important to establish cooperation with the basic subjects of the tourist cluster (i.e. internal first colocenter). As for ensuring the affiliation of the tourist cluster functioning through the organization of accompanying activities, it is represented graphically by the appropriate so to say peripheral colocenter, within which the state authorities, self-governing organizations, etc. carry out their activities. It should be emphasized that at the level of tourist cluster support it can monitor the state of establishing ties between "partners" and "main subjects of tourist cluster", providing respectively basic and additional tourist services.

Fig. 2. The place of the tourism cluster of medical and therapeutic and recreational direction in the system of public policy. Source: compiled on the basis of the provisions of the Law of Ukraine " About tourism " (zakon0.rada.gov.ua, 2015) and analysis of existing scientific developments in this area (www.ukrinform.ua, 2018).



Conclusions

Thus, in the process of the study it was found out that overcoming the problems of pandemic coronavirus COVID-19 " came to the forefront, which combined economic, social,

demographic, environmental consequences, as well as the distribution of tourist clusters in Ukraine, which is modified by increasing the influence of exogenous and endogenous factors on the sphere of tourism. Provided such influence remains in the nearest future, tourist clusters will actively develop in the sphere of cultural-cognitive, ecological, rural, sports, medical, therapeutic and e-tourism. COVID-19 pandemic acted as a catalyst for crisis processes that occurred in the form of financial turmoil.

Conditions for clustering should be shaped in such a way as to strive to attract investment, especially foreign investment, but for this participants often lack the necessary managerial knowledge and they are forced to seek support from the authorities or business partners.

In order to help these initiators of tourism development, as well as other entrepreneurs in the tourism sector throughout Ukraine, we propose to coordinate the actions of the authorities, professional tourist associations and entities to organize tourism on the terms of mutual support, assistance (especially advisory and institutional) and both tangible and intangible benefits.

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Propuesta de estrategias de marketing para mejorar el consumo de café

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RESUMEN

El artículo propone estrategias de marketing para mejorar el consumo de café en el distrito de Chota-Perú, para lo cual se realizó un estudio de mercado, a objeto de diagnosticar el consumo. Estudio de tipo descriptivo, propositivo, no experimental, transversal. Dentro de los principales resultados se tiene que: el 41% de los encuestados prefieren la marca Nescafé; un 43% están dispuestos a pagar de S/.1.50 a S/.2.00; el 65% toman café en su casa; y el 47% prefieren informarse a través de la televisión sobre los beneficios que brinda el café. Se concluyó que el consumo de café muestra signos claros de crecimiento; las estrategias de marketing necesitan ser efectuadas bajo una excelente coordinación, tanto del gobierno como de las empresas del rubro. De esta manera se beneficiarán más de 250,000 familias que viven de la caficultura a nivel nacional, mejorando su calidad de vida con mayores ingresos económicos, y generando nuevos puestos de trabajo.

PALABRAS CLAVE: mercado; marketing; café; economía agraria.

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Proposal of marketing strategies to improve coffee consumption

ABSTRACT

The article proposes marketing strategies to improve coffee consumption in the district of Chota-Peru, for which a market study was carried out, in order to diagnose consumption. Descriptive, purposeful, non-experimental, cross-sectional study. Among the main results are that: 41% of those surveyed prefer the Nescafé brand; 43% are willing to pay from S / .1.50 to S / .2.00; 65% drink coffee at home; and 47% prefer to learn from television about the benefits of coffee. It was concluded that coffee consumption shows clear signs of growth; Marketing strategies need to be carried out under excellent coordination, both from the government and from the companies in the field. In this way, more than 250,000 families that live from coffee growing nationwide will benefit, improving their quality of life with higher economic income, and generating new jobs.

KEY WORDS: market; marketing; coffee; agrarian economy.

Introducción

Reuters (2016) afirma que Brasil es uno de los países de mayor producción y consumo de café en el mundo, con tendencias en años anteriores de superar a los Estados Unidos, un país de gran consumo de café.

La Federación Nacional de Café en Colombia (2016) manifiesta que en este país, el consumo de café está por debajo de Brasil. Por lo que lanzó su programa “Toma Café”; el plan viene operando desde marzo de 2010, como estrategia para incrementar el consumo doméstico.

Rodríguez (2016) sostiene que en Costa Rica, la producción de café ha ido aumentando gradualmente, en función de la oferta y la demanda; mientras que el consumo crece a una tasa más moderada, similar al crecimiento de la población.

Minagri (2016) plantea que en el Perú no se nota un incremento referente al consumo de café; para lo cual propone que, entre 2016-2017, se lanzarán al menos seis grandes campañas que promoverán el consumo interno de café, tanto en grandes ferias como en supermercados, colegios y empresas, con el fin de mejorar su consumo.

La Junta Nacional del Café (2016) indica que en el Perú el consumo per cápita de este grano es de sólo 600 gramos al año, cantidad que está por debajo del que se tiene en Colombia y Brasil. Esto se debe a que hemos sufrido embates de plagas y repercusiones climatológicas; la epidemia más grande y terrible fue la roya amarilla que terminó con los cafetales; por ello, la Junta Nacional del Café, en acuerdo con el Ministerio de Agricultura y empresas privadas del rubro, proponen plantear estrategias para mejorar el consumo de café.

Según Cruz (2018) la propuesta pertenece a la empresa en la que se realizó la investigación, y es posible adaptarla a organizaciones que ofrezcan un servicio, que presenten la situación estudiada. Perea & Rivas (2008) afirman que los productores poseen estrategias de diferenciación a la altura de la competencia local y mundial. En efecto, “a los pequeños productores y al campesinado les favorecen prácticas alternativas que desafían la hegemonía del capitalismo exportador, tales como la agroecología” (Hernández y Hurtado, 2020), y el impulso de la comercialización de sus rubros tradicionales.

En el distrito de Chota, en la región Cajamarca - Perú, a pesar de ser un lugar con un clima adecuado para el consumo de bebidas calientes y energizantes como el café, éste no se constituye como una de las bebidas preferidas de la población, a pesar de contar con algunas cafeterías en el distrito y plantaciones de cafetales ubicadas en la mayoría de distritos aledaños a la provincia, que producen café de muy buena calidad.

El problema planteado en este trabajo fue, ¿Qué estrategias de marketing se pueden utilizar para mejorar el consumo de café en el distrito de Chota?

El objetivo general consiste en proponer estrategias de marketing para mejorar el consumo de café en distrito de Chota.

1. Aspectos teóricos

Salazar (2004) en su trabajo de estrategia empresarial, cita a Michael Porter, donde menciona que, la esencia de la estrategia es elegir una posición única y valiosa basada en sistemas de actividades; estrategia es un término utilizado desde siglos pasados es decir desde la primera guerra mundial; Porter menciona que el mundo, las industrias, y todo lo que se emprende debe hacerse en función a estrategias, porque siempre va existir un competidor, o algún obstáculo en

el camino empresarial, y ante ello deben trazar estrategias, con el fin de lograr determinados objetivos.

Kotler (2006) señala que el buen marketing no es fruto del azar, sino de una planeación y ejecución minuciosa. Las prácticas de marketing se ajustan y se reformulan de manera constante en todas las industrias para aumentar la posibilidad de éxito. Son de suma importancia las estrategias de marketing, y una herramienta importante es el marketing mix. Sin embargo, la excelencia no es frecuente dentro del marketing y alcanzarla resulta muy complicado. El marketing es tanto un arte como una ciencia, por lo que existe una tensión constante entre la teoría del marketing y su parte creativa.

Para Espinoza (2015) el diseño de las estrategias de marketing es uno de los principales aspectos a trabajar dentro del campo empresarial. Las estrategias de marketing definen cómo se van a conseguir los objetivos comerciales de una empresa. Para ello es necesario identificar y priorizar aquellos productos que tengan un mayor potencial y rentabilidad, seleccionar el público que será atendido, definir el posicionamiento de marca que se desea impulsar en la mente de los clientes, y trabajar de forma estratégica las diferentes variables que forman el marketing mix.

García (2010) indica que el consumo se puede entender con teorías que lo abordan desde diferentes perspectivas, como son: la economía, la política, la antropología y la sociología. Sin embargo, no existe una teoría sociocultural que lo explique. El autor cita a Manuel Castells, quien menciona que el consumo “es un sitio donde los conflictos entre clases, originados por la desigual participación en la estructura productiva, se continúan a propósito de la distribución y apropiación de los bienes”.

Según Ruiz (2002), el café es una bebida que se obtiene por infusión de los granos tostados y molidos del árbol del cafeto (*coffea arábica*); es oriundo de Arabia, desde donde se esparció a todo el Oriente, y siglos después a través de Europa a todo el mundo. Existen dos especies de café: la especie arábica y la robusta.

Para Castañeda (2000), el grupo de variedades cultivadas en el Perú derivan de la especie *Coffea arábica*, catalogándose en el mundo cafetalero como “otros suaves”, caracterizados por su fina calidad, excelente aroma y sabor. Entre sus variables están: el Typica, el Bourbón, el Catuai, el Pache, el Caturra y el Catimor. Debido a las condiciones geográficas y climáticas, se cultiva

entre los 1000 a 1800 msnm, zona caracterizada por lluvias altas, baja luminosidad, con una temperatura media anual de 12 a 20 °C, que permite producir un café de excelente calidad.

En el Perú existen marcas de café tostado molido y en grano, así como de café soluble que se comercializan a través de supermercados, mercados, bodegas y autoservicios. Las marcas de café tostados más comunes son: Cafetal, Altomayo, Cocla, Mountain Villa Rica, Zena, Britt y Monarca. En cafés solubles o instantáneos, las más conocidas son: Nescafé, Altomayo, Mónaco, Don Café y marcas propias de los principales supermercados como: Wong, Metro y Bells.

2. Metodología

El estudio fue de tipo descriptivo, propositivo, no experimental, transversal. Las técnicas e instrumentos de la investigación fueron una encuesta dirigida a la población del distrito de Chota y una entrevista dirigida a las principales cafeterías del distrito. La metodología utilizada se muestra en la Tabla 1:

Tabla 1. Metodología

Objetivos específicos	Metodología	Autor
Diagnosticar el consumo de café en el distrito de Chota.	Aplicación de encuestas y entrevistas.	Ñaupas (2013) y Ñaupas (2013).
Elaborar estrategias de Marketing para mejorar el consumo de café en el distrito de Chota.	Elaborar una matriz FODA y Desarrollar estrategias de marketing.	Espinoza, (2015) y Ansoff, (1957).
Validar la propuesta.	Mediante un experto en Administración	Lili Díaz Manosalva

Fuente: Elaboración propia.

La población se describe a continuación en las Tablas 2 y 3.

Tabla 2. Descripción de la población

Población	Descripción
Población Total	El mercado total será toda la población del distrito de Chota.
Población Potencial	El mercado potencial estará determinado por todas las personas interesadas en consumir café, que representa el 64% de la población según INEI, 2015.
Población Disponible	Personas que tienen el acceso y el interés de consumir café, con nivel socioeconómico baja, media y alta, representando el 80% de la población potencial.
Población Disponible Calificado	Está representado por las personas con capacidad de consumir café, que viene a ser el 90% de la población disponible.
Mercado Ocupado	Es igual a la población disponible calificada porque no se ha insertado un producto nuevo al mercado.
Mercado meta	Estará representado por las personas del distrito de Chota que tengan interés, acceso y capacidad de consumir café en el distrito.

Fuente: Elaboración propia.

Tabla 3. Segmentación de la población

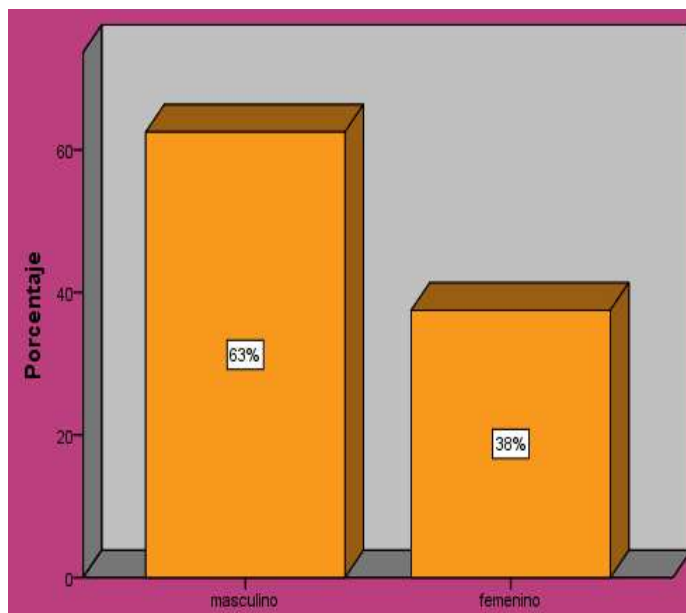
ITEM	Descripción	Población
A	Población Total	48698
B	Población Potencial	31137
C	Población Disponible	24905
D	Población Disponible Calificado	22440
E	Población Ocupada	22440
F	Población meta = n.	22440

Fuente: Elaboración propia.

3. Resultados

3.1. Objetivo específico I: Diagnosticar el consumo de café en el distrito de Chota.

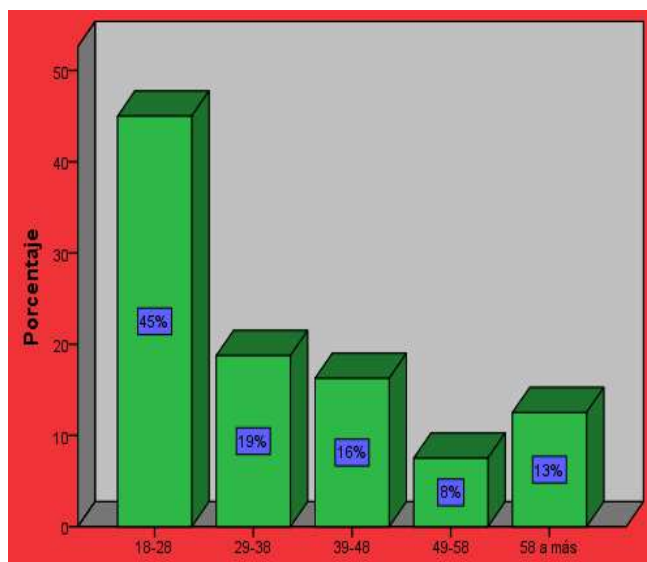
Gráfico 1. Sexo de los encuestados



Fuente: Elaboración propia.

Interpretación: De las 362 personas encuestadas, el 63% son varones, es decir 228 personas; y 134 personas son mujeres, que representa el 38% del total.

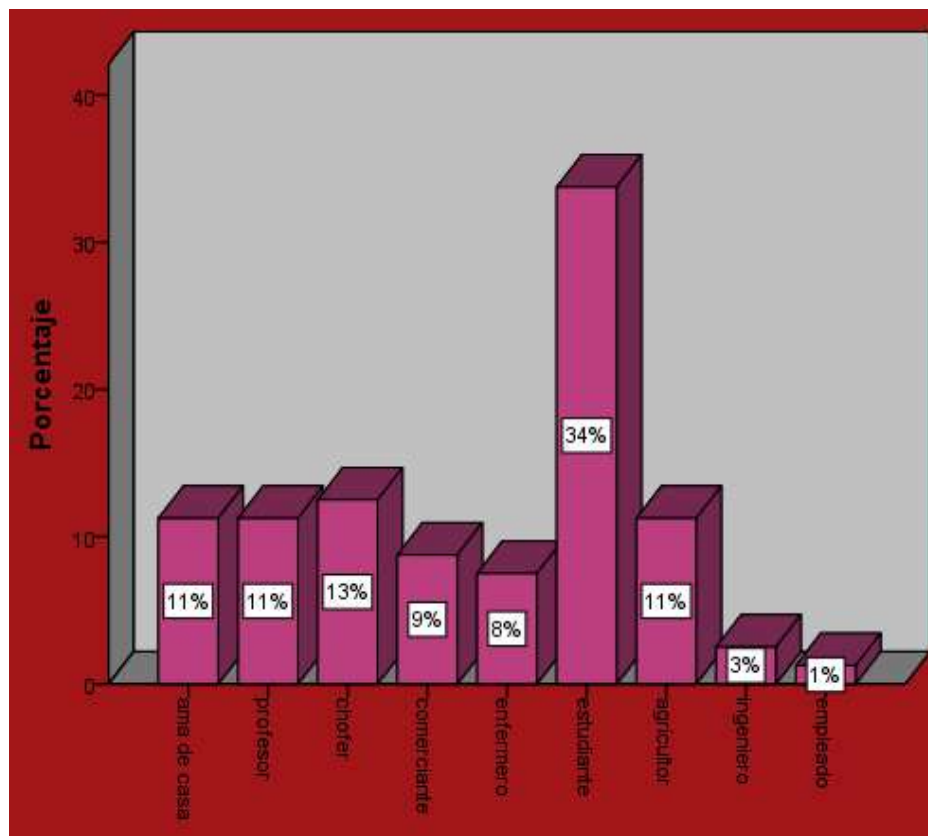
Gráfico 2. Edad de los encuestados



Fuente: Elaboración propia.

Interpretación: Del 100% de encuestados o de 362 encuestas, el 45% lo conforman las personas que están entre las edades de 18 años hasta 28 años; en el 16% se encuentran las personas entre 29 a 38 años; el 8% son aquellas personas de 49 a 59 años; y el 13% lo conforman las personas encuestadas, entre las edades de 58 años a más.

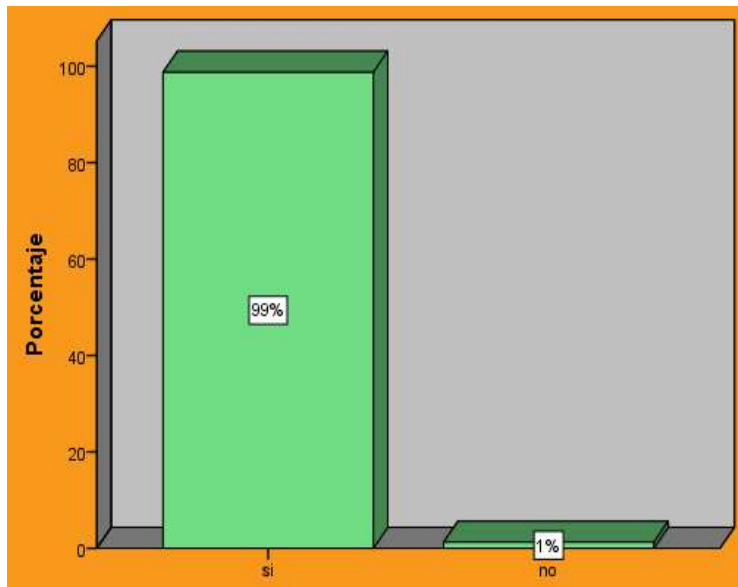
Gráfico 3. Ocupación de los encuestados



Fuente: Elaboración propia.

Interpretación: Haciendo una indagación sobre la ocupación de las personas encuestadas, respondieron lo siguiente: Un 11% manifestaron que son amas de casa, 11% se dedican al trabajo de profesor, 13% cumplen la labor de choferes, 9% son comerciantes, 8% de los encuestados trabajan como enfermeros; el 34% son estudiantes, un 11% se ocupan en la agricultura; y 3%, 1%, respectivamente, ejercen la labor de ingeniero y de empleado, conformando de esta manera el 100% de personas encuesta

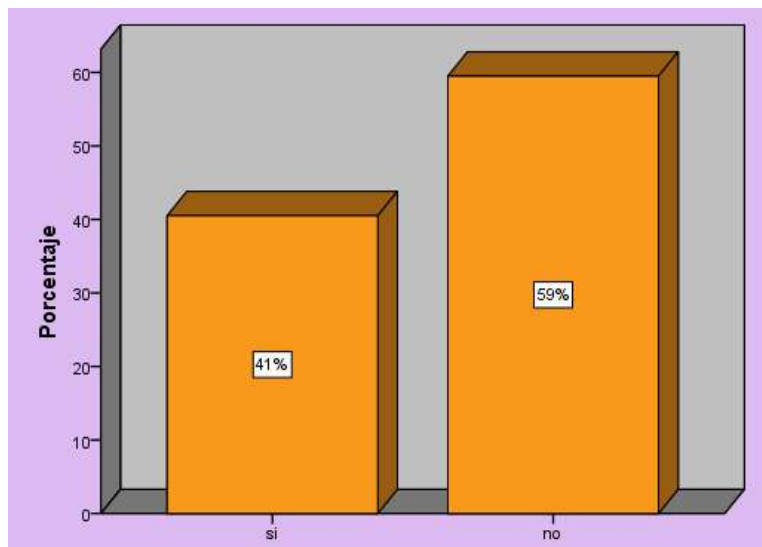
Gráfico 4. ¿Usted toma café?



Fuente: Elaboración propia.

Interpretación: Cuando se les preguntó a las personas encuestadas si toman café: El 99% respondieron que sí, los cuales representan 358 personas encuestadas; y 4 personas manifestaron que no tomaban café, los cuales representan el 1% del total.

Gráfico 5. Beneficios del café

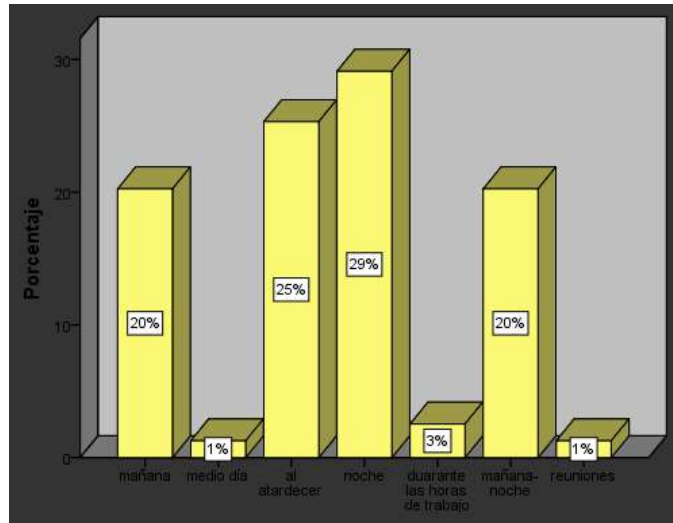


Fuente: Elaboración propia.

Interpretación: Al preguntarles a los encuestados si conocían los beneficios del café, el

41% afirmaron que si conocen; y el 59% no conocen.

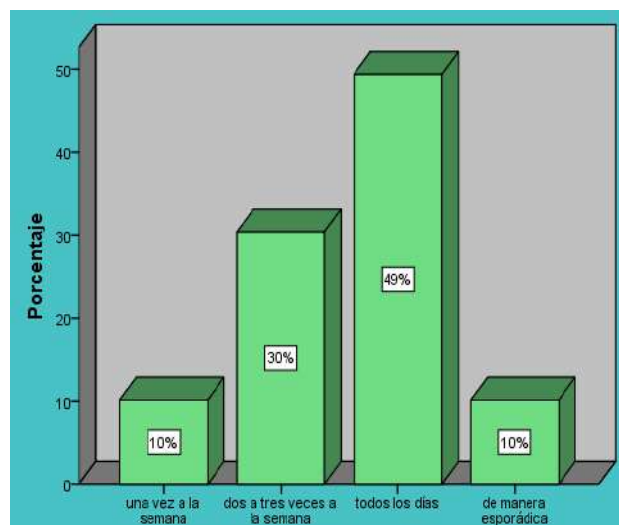
Gráfico 6. Momento del día que toma café



Fuente: Elaboración propia.

Interpretación: Al indagar a las 362 personas encuestadas sobre el momento del día en que toman café, respondieron: Un 20% toman en la mañana, 1% al mediodía, 25% al atardecer, 29% en la noche, 3% en reuniones.

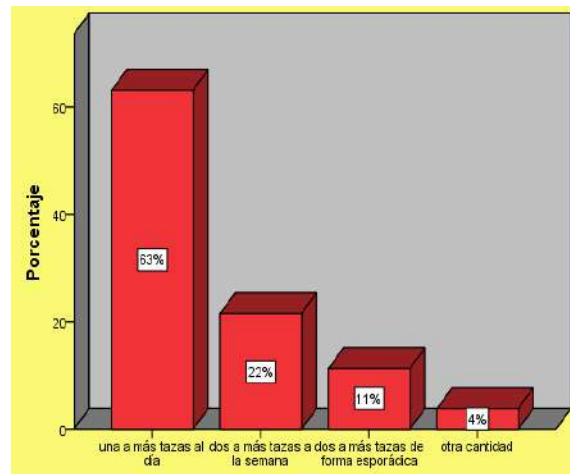
Gráfico 7. Frecuencia de tomar café



Fuente: Elaboración propia.

Interpretación: Al preguntarle al total de personas encuestadas, con qué frecuencia toman café respondieron: que el 10% tomaban una vez a la semana, el 30% de dos a tres veces por semana, 49% manifestaron que tomaban todos los días, y el 10% de manera esporádica.

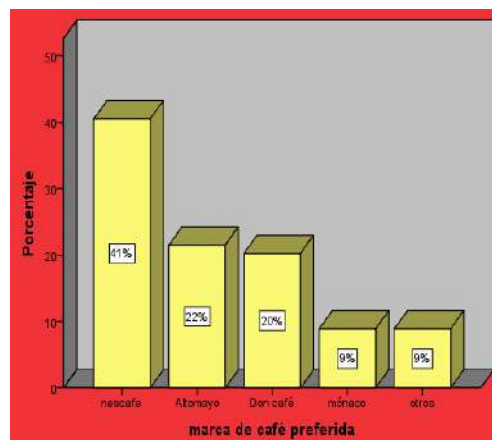
Gráfico 8. Cantidad de café que toma



Fuente: Elaboración propia.

Interpretación: Cuando se les preguntó a las personas encuestadas sobre la cantidad de café que tomaban, manifestaron: que el 63% tomaban de una a más tazas al día, el 22% toman de dos a más tazas a la semana, el 11% indicaron que toman de dos a más tazas de forma esporádica, y el 4% toman otra cantidad.

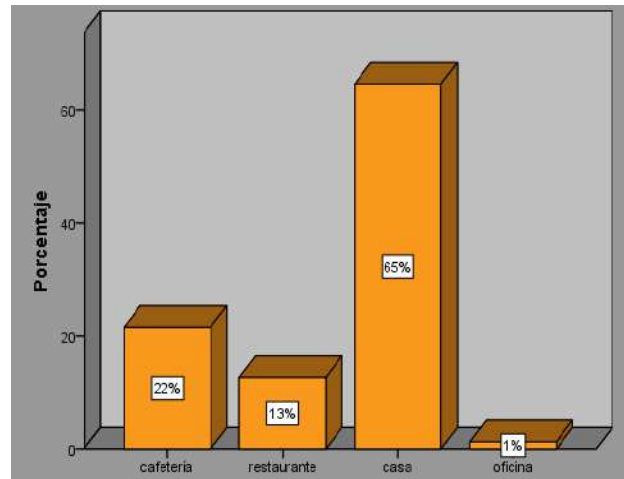
Gráfico 9. Marca de café preferida



Fuente: Elaboración propia

Interpretación: Del 100% de encuestados, cuando se les preguntó sobre la marca de su preferencia, respondieron: el 41% prefieren la marca Nescafé, un 22% se inclinan por la marca Altomayo, el 20% optaron por la marca de Don Café, el 9% manifestaron que preferían la marca Mónaco y un 9% prefieren otras marcas.

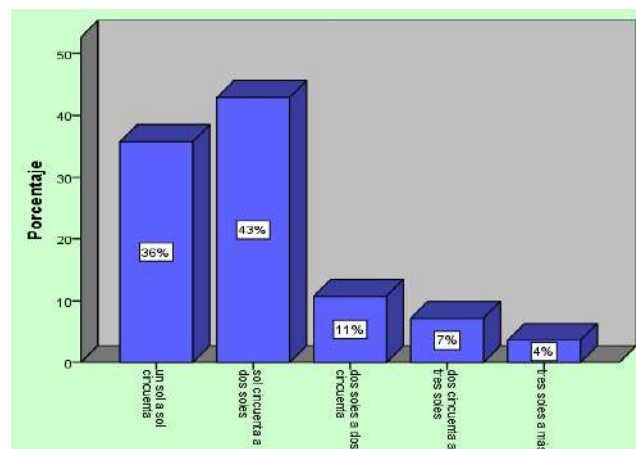
Gráfico 10. Lugar preferido que toma café



Fuente: Elaboración propia.

Interpretación: Al preguntarles a las 362 personas encuestadas cuál es el lugar de su preferencia para tomar café, el 22% manifestó que toma en la cafetería, un 13% lo hace en el restaurante, el 65% consume en su hogar y sólo el 1% toma en la oficina.

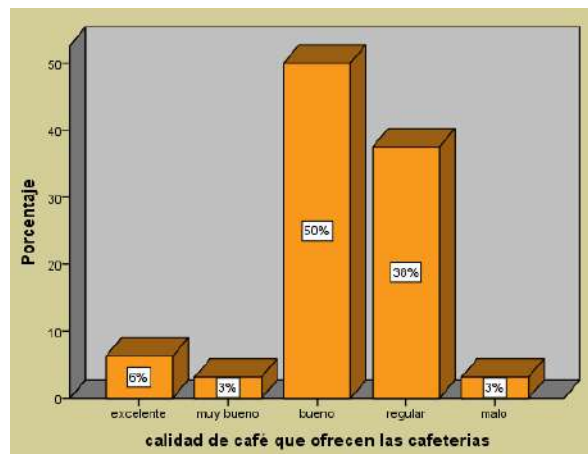
Gráfico 11. Precio que está dispuesto a pagar



Fuente: Elaboración propia.

Interpretación: Cuando se les preguntó a las personas, por el precio que pagarían por una taza de café, el 36% paga de S/.1 a S/.1.50; el 43% pagarían de S/.1.50 a S/.2; un 11% pagan de S/.2 a S/.2.50; el 7% de los encuestados están dispuestos a pagar de S/.2.50 a S/.3, y el 4% pagan de S/.3 tres a más.

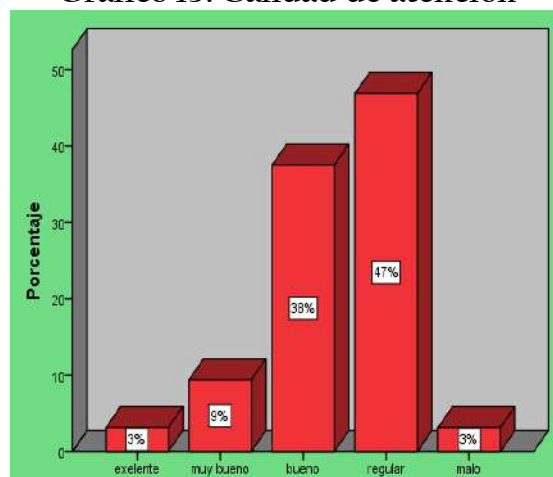
Gráfico 12. Calidad de café que ofrecen las cafeterías



Fuente: Elaboración propia.

Interpretación: Del 100% de encuestados, el 6% calificó como excelente el café que ofrecen las cafeterías del distrito de Chota; un 3% muy bueno; el 50% manifestaron que es bueno, el 38% regular; y el 3% dijeron que es malo.

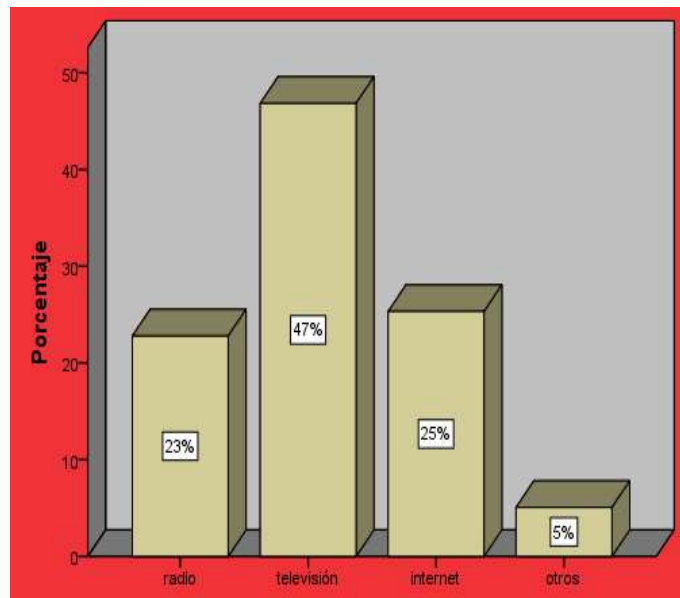
Gráfico 13. Calidad de atención



Fuente: Elaboración propia.

Interpretación: A las 362 personas encuestadas se les indagó sobre la calidad de atención que brindan las cafeterías del distrito Chota: el 3% contestaron que la atención es excelente, el 9% muy bueno, un 38% bueno, el 47% indicaron que la atención es regular y un 3% manifestó que es malo.

Gráfico 14. Medios de comunicación para informarse



Fuente: Elaboración propia.

Interpretación: Del 100% de encuestados, el 23% indicaron que les gustaría informarse de los beneficios del café por intermedio de la radio, el 47% por la televisión, un 25% por el internet y un 5% prefieren informarse por otros medios de comunicación.

3.2. **Objetivo específico 2:** Elaborar estrategias de Marketing para mejorar el consumo de café en el distrito de Chota.

3.2.1. **FODA:** Según Espinoza (2013), la matriz FODA es una herramienta estratégica de análisis interno y externo, de la situación de una empresa: su objetivo es ofrecer un claro diagnóstico para poder tomar las acciones estratégicas oportunas y mejorar en el futuro. Por sus iniciales, FODA significa: fortalezas, oportunidades, debilidades y amenazas.

Tabla 4. Análisis interno

FORTALEZAS	DEBILIDADES
Brinda beneficios para la salud.	Los locales que ofertan café de la zona urbana del distrito de Chota no cuentan con un plan estratégico de marketing.
Experiencia de las personas que ofertan el producto.	El café que se ofrece en el distrito de Chota no es de la mejor calidad.
Disponibilidad de materia prima de buena calidad y precios accesibles.	No se cuenta con medios de publicidad para promocionar el producto.
Se cuenta con locales de venta propios.	Falta de presupuesto para participar en ferias, rondas de negocio y capacitaciones a nivel local, regional, nacional.
El recurso humano que oferta el producto es emprendedor y dispuesto al cambio.	Falta de capacitación a personal de ventas-pos ventas.
Los locales de venta que ofertan café cuentan con servicios de comunicación instalados.	Las cafeterías no cuentan con buena distribución del producto.
Las cafeterías brindan seguridad y confianza.	No se cuenta con planes de contingencia (luz, agua, entre otros.)

Fuente: Elaboración propia.

Tabla 5. Análisis externo

OPORTUNIDADES	AMENAZAS
Estabilidad política y democrática.	Cambio de gobierno e inestabilidad política.
Existencia de tratados de libre comercio para la adquisición de tecnología.	Cambios climáticos que afectan la producción y comercialización de café.
Intervención de PROM – PERÚ, Sierra y Selva Exportadora.	Presencia de plagas y enfermedades en los cultivos.
Clima adecuado para la producción y comercialización del café.	Fuertes campañas publicitarias de las empresas que ofrecen productos sustitutos.
Se cuentan con vías de comunicación accesible.	Publicidad engañosa o fraudulenta, desprestigiando los atributos del producto.
Acceso a entidades financieras.	
Clima adecuado para consumir café.	
Incremento de los ingresos económicos de la población.	
Crecimiento demográfico de la población (zona urbana).	

Fuente: Elaboración propia.

3.2.2. Estrategias de marketing de segmentación

En la presente investigación se ha segmentado la población del distrito de Chota de acuerdo al nivel socioeconómico, sabiendo que el 3,5% de la población pertenece al nivel AB; el 8,8% pertenece al nivel socioeconómico C; un 15,4% pertenece al nivel D; y el 72,3% en el nivel E (Departamento de Estadística – CPI, 2016).

3.2.3. Estrategia diferenciada

Nos dirigimos a los diferentes segmentos del mercado que se ha identificado, pero con una oferta y estrategia diferente para cada una de ellos; es decir que de acuerdo con los niveles socioeconómicos de la población, se debe ofrecer un tipo de café para cada segmento, clasificándolo de acuerdo a la calidad. Para el segmento AB se debe ofrecer café Gourmet, para el nivel socioeconómico C se debe ofertar café orgánico, para el nivel D un café de calidad ecológica, y para el nivel E, se debe ofertar café de calidad convencional o comercial.

3.2.4. Estrategias de marketing de posicionamiento

Es el espacio que ocupa el producto en la mente de los consumidores. Mediante esta estrategia, se busca posicionar el producto en la mente de los consumidores con el posicionamiento inrish. La estrategia a desarrollar es dar a conocer a los consumidores que el café es un alimento de origen vegetal que contiene químicos naturales, con propiedades similares a las frutas y verduras; aunque no es una fuente de nutrientes ni de calorías, el café tiene más de mil sustancias químicas naturales, muchas de ellas con capacidad antioxidante, ayuda a eliminar los radicales libres, es decir, es un producto anticancerígeno, de tal manera que el café tiene beneficios para la salud; es importante resaltar el efecto estimulante que tiene la cafeína en aquellas personas que realizan largas jornadas de trabajo, o aquellas que requieren mejorar su nivel de concentración.

3.2.5. Estrategia por calidad y precio

El mecanismo a implementar estará en función de los gustos y preferencias del consumidor y de acuerdo al estatus social. La estrategia por calidad y precio será: un café de mejor calidad un mayor precio, y un café convencional con un menor precio.

3.2.6. Estrategias de crecimiento

Para mejorar el consumo de café en la zona urbana del distrito de Chota se tendrá como referencia a dos de las aristas de la Matriz de Ansoff: productos actuales en mercado actual, productos nuevos en mercado actual (Tabla 6).

Tabla 6. Matriz de Ansoff

		PRODUCTOS	
		ACTUALES	NUEVOS
MERCADO	ACTUAL	Penetración del mercado	Desarrollo de productos
	NUEVOS	Desarrollo de mercados	Diversificación

Fuente: Ansoff (1957)

3.2.7. Estrategia por Atributos

El café peruano es un café de la especie arábica, cultivado en 13 regiones del Perú. Es una bebida suave, de taza limpia, con un grado de acidez, con un cuerpo medio/alto, de excelente aroma y con un sabor agradable; en conclusión, el café peruano es un café de alta calidad, y la estrategia será dar a conocer al público consumidor las cualidades y atributos de este café.

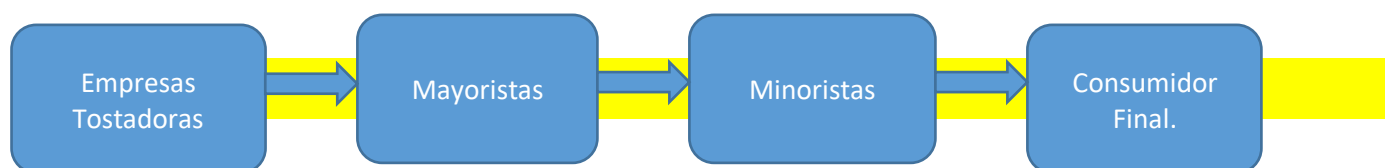
3.2.8. Estrategia funcional o las 4ps del Marketing

Estrategia de Producto: El café que se debe ofrecer será de buena calidad, con sus atributos sensoriales más importantes, en sus diferentes marcas, calidades, presentaciones; con la finalidad de satisfacer las necesidades de los diferentes niveles socioeconómicos de la población. En efecto, al momento de hacer el estudio de mercado, un alto porcentaje de encuestados pedían mejor calidad del producto. La estrategia será, ofrecer productos de alta calidad, garantizados, que sus características y presentaciones estén acordes a los gustos y preferencias de los demandantes.

Estrategia de Precio: El precio estará fijado de acuerdo a los ingresos de todos los niveles socioeconómicos de la población, teniendo en cuenta la calidad y marca del producto, con el fin de cubrir las expectativas de todos los estatus sociales del público consumidor, es decir, que la estrategia a utilizar referente al precio, estará en función a los diferentes ingresos de la población, en alusión al estudio de mercado.

Estrategia de Distribución o Plaza: Los locales que oferten el producto deberían almacenarlo de forma adecuada, manejando correctamente sus inventarios y gestión de pedidos; sus locales de ventas estarán ubicados en puntos estratégicos. La distribución del producto tendrá la estrategia de distribución utilizando con eficiencia los canales indirectos, es decir, el producto sale de la empresa al mayorista, luego llega al minorista y este distribuye al consumidor final. Como se aprecia en el Gráfico 15.

Gráfico 15. La distribución del producto



Fuente: Elaboración propia.

Estrategia de Promoción: Mediante esta estrategia se informará de los beneficios, bondades, atributos del café. La estrategia a utilizar incluye lanzar publicidad a través de los importantes medios de comunicación, con un spot publicitario dando a conocer las características, propiedades y beneficios del producto, con el fin de desterrar los mitos según los cuales el café daña la salud. Los medios a utilizar serán la televisión, la radio, el internet, redes sociales y otros, tal como recomiendan las personas encuestadas en el momento de hacer el estudio de mercado.

4. Discusión

Los resultados de la investigación corroboran lo expuesto por Tepox-Vivar & González-Cabañas (2021): “al margen de sus transformaciones, el comercio justo ostenta el mérito de colocar en la mesa de debate la necesidad de cuestionar y repensar los valores movilizados en las

relaciones comerciales basadas en la maximización de la ganancia, y que dejan de lado el desarrollo de capacidades y empoderamiento de los pequeños productores”.

Además, los resultados coinciden con Cuevas (2020) quien afirma que es importante promover el involucramiento de organizaciones de la sociedad civil, el sector público y privado e instituciones de investigación en el proceso de posicionamiento de rubros ofertados por pequeños productores.

Conclusiones

Las estrategias de marketing si mejoran el consumo de café en el distrito de Chota, pero estas estrategias de marketing necesitan ser efectuada bajo una excelente coordinación de marketing, tanto el gobierno, como por las empresas tostadoras.

El 41% de los encuestados prefieren la marca Nescafé, un 43% de todos los encuestados están dispuestos a pagar de S/.1.50 a S/.2.00, el 65% del total de personas encuestadas toman café en su casa, y el 47% de encuestados prefieren informarse sobre los beneficios que brinda el café a través de la televisión.

Los dueños de las cafeterías, afirmaron que nunca han tenido el apoyo del gobierno y de ninguna otra institución para fortalecer su emprendimiento; también pusieron mucho énfasis y manifestaron que es muy importante la capacitación a los trabajadores para mejorar el nivel de atención al cliente y por último, dijeron que ellos nunca aplican ninguna estrategia para mejorar el consumo.

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The role of transnational companies in the reality of the new world

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ABSTRACT

The purpose of the study is to analyze the problem of determining the status of transnational corporations in the system of global governance, in revealing the transition of transnational corporations from an economic subject of international relations to understanding it as a political actor in the system of international relations. The article covers a range of issues related to attempts to regulate foreign TNCs by national states, It also touches upon the issue of changing the positions of leading TNCs in the ratings compiled by authoritative publications over the past decade, an analysis of the influence of transnational corporations as non-state actors in world politics is carried out. Research methodology. Analysis of published survey reports of international organizations and individual leading transnational corporations. One of the most pressing issues in the study of the role and place of transnational corporations in world politics is the problem of determining the status of transnational corporations in the global governance system. As a result, we find that transnational corporations act in the global governance system as tools and as institutions, which requires the development of new scientific approaches that reflect the dynamics of the introduction of these actors into the system of world politics.

KEY WORDS: transnational corporations; business management; international relations; Political science; Economics; international politics; international security; international cooperation; Globalization.

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El papel de las empresas transnacionales en la realidad del nuevo mundo

RESUMEN

El objetivo del estudio es analizar el estatus de las empresas transnacionales en el sistema de gobernanza global, donde se observa la transición de las empresas transnacionales de un sujeto económico de las relaciones internacionales a un actor político en el sistema de relaciones internacionales. El artículo abarca una serie de cuestiones relacionadas con los intentos de regular las empresas transnacionales extranjeras por parte de los Estados nacionales. Metodología de investigación. Análisis de informes de encuestas publicados de organizaciones internacionales y empresas transnacionales líderes individuales. Uno de los temas más urgentes en el estudio del papel y el lugar de las corporaciones transnacionales en la política mundial es el problema de determinar el estatus de las corporaciones transnacionales en el sistema de gobernanza global. Como resultado, encontramos que las empresas transnacionales actúan en el sistema de gobernanza global como herramientas y como instituciones, lo que requiere el desarrollo de nuevos enfoques científicos que reflejen la dinámica de la introducción de estos actores en el sistema de la política mundial.

PALABRAS CLAVE: empresas transnacionales; gestión empresarial; relaciones internacionales; Ciencia política; Economía; política internacional; seguridad internacional; cooperación internacional; Globalización.

Introduction

The relevance of this topic is due, firstly, to the growing role of transnational corporations (TNCs) in the development of world geopolitical and geo-civilizational phenomena and processes in order to realize the interests of the world's leading actors, and secondly, to the aggravation of the competitive geopolitical struggle for the influence of TNCs on the economic development of national economies and the security of host countries.

The purpose of the study is to analyze the problem of determining the status of TNCs in the system of global governance, in revealing the transition of TNCs from an economic subject of international relations to understanding it as a political actor in the system of international relations.

The objectives of the study were: a brief analysis of the activities and characteristics of transnational non-state actors; consideration of the activities of TNCs from the point of view of their own interests both as instruments and as institutions for influencing world

processes; substantiation of the massive "invasion" of TNCs into world politics, under the influence of which the role of TNCs as a subject of the world political process is changing. One of the most pointed issues in the research of the role and place of TNCs in world politics is the problem of determining the status of TNCs in the global governance system. Many scientists and experts specializing in the research of the problems and perspective of global governance argue that the world, lead by globalization, is moving towards precisely this form of regulation of relations between all participants in world political and economic relations; at the same time, TNCs act in the system of global governance both as instruments and as institutions.

1. Methodology

The research methodology is based on the use of: a systemic method that allows a multifactorial and comprehensive study of the place, role and interests of TNCs as an international actor realizing their interests in the geopolitical space; the method of geopolitical analysis, which substantively studies the geopolitical "cut" of international relations, geopolitical processes, conflicts, fundamental value foundations, "internal springs" of events, phenomena occurring at the borders of contacting states as a result of the activities of TNCs; and also on the use of the spatial-contextual method, which implies that the phenomenon develops and is studied not by itself, but in the context of the sequential development of processes separated in time and space, which allows a deeper understanding of the phenomenon under study, the causes of the events being studied, with the possibility of a deeper penetration into their essence and the formation of forecasts for the development of processes.

2. Results and Discussion

One of the most pressing issues in the study of the role and place of TNCs in world politics is the problem of determining the status of TNCs in the global governance system. Many scholars and experts specializing in the study of the problems and prospects of global governance argue that the world, guided by globalization, is moving towards precisely this form of regulation of relations between all participants in world political and economic relations; at the same time, TNCs act in the global governance system both as instruments and as institutions. A wide range of actors is involved in global governance, there is a greater

number of connections and interactions, all types of political strategies known to mankind are applied. An increasing number of new actors, the overwhelming majority of whom do not belong to states and IGIO that do not have sovereignty and international legal personality in its traditional sense. The activity of non-state actors, to which TNCs can be ranked, often leads to the fact that such areas as social, economic, industrial and security spheres “leave” the state. which have always originally belonged to him. As Ilyin noted, when there is a general inability of traditional actors (meaning the state) of international relations to stabilize the situation on a global scale and develop solutions with an adequate response to modern challenges and threats, “non-state actors begin to interfere in this process, striving to intercept the functions of global regulation and management. from nation-states and international organizations” (Ilyin, 2011). Possessing significant resources of influence on world politics (not only material ones), transnational non-state actors (such as TNCs and IGIOs) generate “non-systemic phenomena” in it, which is facilitated by the increasing transparency of borders and the erosion of the sovereignty of national states, indirectly associated with global world political processes. Having a highly dynamic scientific, production and market potential, TNCs operating through their branches and subsidiaries in many countries have formed the so-called. “Think tanks” that form a monetary and financial strategy that is beneficial for them, contributing to their dynamic accelerated development (Shurahbil, 2017). As a result, according to Kenichi Ohmae, the state in the modern world is retreating, freeing up the field not only for capital, but also for the political activity of such subjects as “individuals, firms and markets” (Ohmae K, 1990). And TNCs began to play an important role in this process. Do not forget that TNCs, pursuing their own interests and acting within the framework of their own strategies, try to bypass local legislation and often ignore the interests of the host country, which becomes the cause of contradictions between TNCs and the governments of host states.

At the present stage of development, TNCs begin to function like states. In this regard, it is interesting that, for example, the American corporation IBM has its own diplomatic personnel to establish business relations with potential clients (Krivenko, 2016). Indeed, the influence of TNCs on global processes is very great. The ratings of the largest TNCs, regularly conducted by the American business magazine Forbes, have demonstrated their influence on the current world position of countries. So, in 2016, the magazine published a rating of the

two thousand largest and most influential companies in the world. In this rating “companies from 62 countries of the world were represented. Including 515 companies - from the USA, 210 - from Japan, 113 - from China, 56 - from India, 62 - from Canada” (Krivenko, 2016). According to the Forbes rating, “the most influential transnational company in the world at that time was the American bank JP Morgan Chase. The top five also included General Electric, Bank of America, the American oil and gas corporation Exxon Mobil and the Chinese bank ICBC ”(Corporations that rule the world, 2011). As a result, a new criterion for assessing state sovereignty arose - efficiency (by the way, the same criterion is the main one in assessing the activities of TNCs). But, already in 2020, according to the rating, the TNCs of China took the leading positions, ahead of the US corporations (Ranking of the world's largest technology companies, 2018).

The place occupied by TNCs in the rating and the influence of TNCs on the world market are interconnected, which also plays a significant role in the status of a state in international relations. As a result of the activities of TNCs, the import of institutions is carried out - those "rules of the game" (labor and antitrust laws, principles of taxation, contracting practices, etc.) that have formed in developed countries. TNCs objectively increase the influence of the countries exporting capital on the countries importing them. For example, German firms in the 1990s subjugated almost all Czech business, as a result of which, according to some experts, Germany established much more effective control over the Czech economy than in 1938-1944, when Czechoslovakia was seized by Nazi Germany. The economy of Mexico and many other countries of Latin America is controlled by American capital in a similar way.

Corporations have a number of objectively important characteristics as members of international relations. These include the presence of territories for the implementation of activities, the existence of subdivisions and branches for the sale of products without customs duties, as well as the involved human, natural, scientific resources of foreign states (Shurahbil, 2017; Mikryukov, 2021). That is, at the present stage of development, TNCs occupy positions of active participants in the international division of labor and cooperation and distribute world resources.

Assessment of the influence of TNCs on the economic development of national economies and the security of host countries is currently rather ambiguous. On the one hand,

TNCs are viewed as the main structural element of the economy of most countries, the leading force of their economies, economic processes are associated with their motives to defend their interests. On the other hand, their activities can provoke negative consequences for the political regime of states. In the scientific literature, there is also a purely negative attitude towards TNCs and the role they play in world and national politics. So, for example, back in the 90s, RI Zimenkov noted that TNCs negatively affect the economy of the third world countries and their activities lead to the destruction of political mechanisms operating in society, as well as to the loss of the state's main functions in the field economic regulation (Zimenkov, 1990).

At present, one can notice that he is not only paying attention to the states of the "third world". sanctions policy pursued by the United States and European countries, but it is in solidarity with the activities of TNCs. Transnational corporations, as noted by A.I. Podberezkin, "will strive to exert more influence on the conduct of the government course of their states and use state resources to achieve their goals in the international arena; at the same time, an increase in the total number of TNCs and their resources of influence in key countries of the world will most likely lead to a mutual balancing of their conflicting aspirations "; that is why "the degree of influence of TNCs on the politics of leading states will depend on their ability to create coalitions of interests with the participation of other TNCs." (Podberezkina and Aleksandrova, 2016). This is a balanced, conservative point of view on the role of TNCs in world politics and the nature of their influence on the sovereign policy of national states. This point of view can hardly be disputed - for criticism it seems to be very cautious. At the same time, outside the framework of this position, there are qualitative changes taking place in the entire world politics as a whole: under the influence of the massive "invasion" of TNCs into world politics, the role of TNCs as a subject of the world political process is changing.

A very clear example of significant problems in world politics and in the free trade market is associated with the sanctions policy of the United States and the Chinese company Huawei. As a global company, Huawei is opposed to protectionism and prioritizes business compliance above its own commercial and national interests. The growing ambitions of China, supported by the growing importance of digitalization, (Kayin Fu, 2020) which lays

the foundations of the intellectual world, is of concern primarily to the United States, which sees in China not only a potential competitor, but also a threat to its national security.

Politicians in the United States, regardless of their views on domestic issues, agree that China should not be given priority. Regardless of who is in the White House, China's containment strategy will not change significantly. Therefore, the introduction of the sanctions regime is de facto the use of brute, unlimited force, which should break the Chinese corporation. This means that this is not a matter of Huawei's agreements with anyone, but a big problem in world politics. A state of emergency was introduced by presidential decree of May 16, 2019, which allows companies to be included in the list of national threats. On the same day, the US Department of Commerce listed both Huawei and all of its subsidiaries. The blackmail pretext used to attack Huawei is serious, but any accusation requires at least minimal evidence, no evidence has been presented. As a result, even the closest allies of the United States, for example, the United Kingdom and Germany, did not abandon Huawei in their plans to deploy 5G networks, but only tightened conditions and focused on security.

On August 2, 2017, the President of the United States signed the Countering America's Adversaries Through Sanctions Act (H.R. 3364), approved by the US Senate and House of Representatives. The law is a political document aimed at strengthening the sanctions regime against Iran, Russia and North Korea and limiting the powers of the US President to lift sanctions that have already entered into force without the approval of the US Congress.

As far as the Russian Federation is concerned, the document contains an assessment of Russia's foreign policy and a list of political, military and economic countermeasures aimed at destabilizing the Russian economy and putting pressure on the functioning of the Russian fuel and energy complex. The introduction of the sanctions restrictions regime has set new challenges for the current and long-term development for the key Russian oil and gas companies.

Conclusion

Summing up, we can conclude that the global competitive confrontation is escalating in the field of international relations, threatening peace, stability and international security, which in a certain way leaves an imprint on the role and political significance of TNCs. TNCs need to expand their political influence and their own political space, it is pointless to

restrain them in this movement. Meanwhile, the field of world politics is occupied by traditional actors - nation-states, which are wary of the invasion of their sphere by non-state actors, in particular, such as TNCs. However, this does not stop TNCs: in their rivalry with nation-states for spheres of influence, they give rise to such a phenomenon as "privatization of world politics", which, by its very existence, completely changes the established ideas about the role of traditional and non-traditional actors in the global political process. The study of the role and place of TNCs in world politics requires the development of new scientific approaches that reflect the high dynamics of the implementation of these actors outside of sovereignty into the system of relations between states and interstate entities.

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Public procurement in Ukraine in the context of international requirements: the way to improve a legal regulation

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ABSTRACT

The *purpose* of the study is to characterize the System of national legal regulation of public procurement of Ukraine, to determine the features of the impact of international law on the Ukrainian procurement system, as well as ways to improve it. The research *methodology* is based on an integrated intersectoral approach and a comparative approach. The effectiveness of the current legislation of Ukraine on public procurement was determined by means of the "ex post" assessment methodology, and the methodology of legal monitoring, including as a result of the study of court decisions. The *results* showed that the legal regulation of government procurement on the territory of Ukraine is undergoing significant changes, in connection with the harmonisation of legislation to international (worldwide and regional) standards; the majority part of the WTO GPA and Association Agreement provisions in the field of government procurement has already been implemented or is being implemented by Ukraine. Indeed, taking into account the access to the EU market obtained within the GPA framework, Ukraine has already not so many external incentives for the full compliance with the obligations to harmonize the legislation under the Association Agreement than it was expected at its signing.

KEYWORDS: Government policy; Procurement; public finance; international agreements; Public International Law; public administration.

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La contratación pública en Ucrania en el contexto de los requisitos internacionales: la forma de mejorar una regulación legal

RESUMEN

El propósito del estudio es caracterizar el sistema de regulación jurídica nacional de la contratación pública de Ucrania, para determinar las características de la repercusión del Derecho internacional en el sistema de contratación de Ucrania, así como las formas de mejorarlo. La metodología de investigación se basa en un enfoque intersectorial integrado y un enfoque comparativo. La eficacia de la legislación vigente de Ucrania en materia de contratación pública se determinó mediante la metodología de evaluación "ex post" y la metodología de supervisión jurídica, incluso como resultado del estudio de las decisiones judiciales. Los resultados mostraron que la reglamentación jurídica de la contratación pública en el territorio de Ucrania está experimentando cambios significativos, en relación con la armonización de la legislación con las normas internacionales (mundiales y regionales); la mayor parte de las disposiciones del ACP y del Acuerdo de Asociación de la OMC en la esfera de la contratación pública ya se ha aplicado o está aplicando Ucrania. De hecho, teniendo en cuenta el acceso al mercado de la UE obtenido en el marco del ACP, Ucrania ya no tiene tantos incentivos externos para el pleno cumplimiento de las obligaciones de armonizar la legislación en virtud del Acuerdo de Asociación de lo que se esperaba en el momento de su firma.

PALABRAS CLAVE: Política gubernamental; adquisiciones; finanzas públicas; acuerdos internacionales; Derecho Internacional Público; administración pública

Introduction

Rationally and effectively organised, competitive government procurement system directly influences the development of each country's economy, stabilisation of commodity markets, reasonable distribution/use of budget funds, provision of goods (services, works) for various social needs, and also leads to fundamental changes in the relations between the state and business entities. All economic entities are interested in competition for government orders, because competitive procurement allows countries to use state funds more efficiently, and more commercial opportunities appear on the market. Government procurement should act as a

regulatory mechanism for both competition in the market of quality goods (services, work), and in the anti-corruption efforts (Zakharova et al, 2021). Moreover, globalisation, regionalisation and liberalisation in international trade relations have had an influence on the possibility of including/engaging in government procurement processes not only national economic entities, but also foreign ones, as a consequence - the need to protect their rights (as commodity producers), as well as the interests of the states (in particular, security, economic and other interests), which influenced the creation of the provisions agreed upon between the states (international treaties, decisions of international organisations) in this field and their discussion within the framework of international organisations (e.g. the WTO, the EU). Accordingly, there is a practical significance of the need for regulatory, legal and institutional support/control of the process of government procurement, both nationally and internationally, as well as their concurrency (harmonisation, adaptation). The improvement of legal regulation in government procurement in Ukraine is particularly important, taking into account Ukraine's international commitments in this area and Eurointegration-related aspirations.

The purpose of the study is to characterize the System of national legal regulation of public procurement of Ukraine, to determine the features of the impact of international law on the Ukrainian procurement system, as well as ways to improve it.

To achieve this goal, the author studied the following materials: doctrinal works of scientists, topical articles of practicing experts, Ukrainian legislative acts, regulations of specialized state bodies, international acts and agreements, decisions of the international court, Ukrainian official information registers of public procurement. The main research area of the article is public procurement management. In addition, Ukrainian national legislation and international law were subjected to deep study.

1. Methods

The research methodology is based on an integrated intersectoral approach and a comparative approach. A systematic approach and a classification method made it possible to select legal acts regulating public procurement. On the basis of the historical and legal method of cognition, the genesis and subsequent evolution of Ukrainian acts in the context of the

development of international legislation on public procurement and trade are investigated. The structural-legal method helped to determine the level of development of the Ukrainian public procurement system in international trade relations. The comparison method allowed the authors to identify features that indicate the compliance of the public procurement system in Ukraine with international principles and norms. The method of critical analysis contributed to the identification of shortcomings in the legal framework for public procurement in Ukraine. The effectiveness of the current legislation of Ukraine on public procurement was determined by means of the "ex post" assessment methodology, and the methodology of legal monitoring, including as a result of the study of court decisions. Analytical and modelling methods contributed to the formulation of proposals for improving the Ukrainian public procurement system.

2. Results and Discussion

2.1. General Characteristics of the Ukrainian Legislation on Public Procurement

In the current geopolitical and economic relations between the states, in particular the relations with the participation of Ukraine, the availability of an effective and efficient mechanism for the implementation of government procurement becomes important, which is also guaranteed by legal regulation, both at the international (for example, within the WTO and the EU), and at the national (domestic) levels.

In general, to date, Ukraine has the following international obligations in the field of public procurement in accordance with the following documents (in chronological order):

- Free Trade Agreement with the EFTA states (EFTA 2010), which became effective on June 1, 2012 (On the Ratification of the Free Trade Agreement between the EFTA states and Ukraine, the Agreement on Agriculture between the Kingdom of Norway and Ukraine, the Agreement on Agriculture between Iceland and Ukraine and the Agreement on Agriculture between Swiss Confederation and Ukraine, Law of Ukraine, No.4091-VI, 2011, art. 1), containing general provisions on trade in goods (industrial, agricultural, fish and marine products), services and dispute settlement;

- Association Agreement between the European Union, the European Atomic Energy Community and their Member States on the One Part, and Ukraine, on the Other Part of 2014. (Chapter 8 of Section IV (Art. 148-156 and Annex XXI; according to Annex XXI-A, the Indicative Diagram of Institutional reforms, adaptation of legislation and market access, which is divided into several stages, is established) (VRU, 2014);

- WTO Agreement on Government Procurement of 1994 (WTO, 1994) (Agreement on Government Procurement, hereinafter referred to as GPA) (VRU, 2016).

In addition, one cannot ignore the UNCITRAL Model Law “On Procurement of Goods, Construction and Services” dd. June 17, 1994 (UNCITRAL, 1995) and the OECD Principles for Integrity in Public Procurement 2009 (OECD, 2009), which are an example of the “soft law”, and the generalized international and national experience and practical developments in the field of government procurement under free market conditions, as well as the acknowledgement of urgency of the proper state regulation in this area. The above-mentioned developments of the UNCITRAL and OECD (Ukraine is not a member of the OECD) can informally and instructively influence on domestic state actions of countries (including Ukraine), when they create /reform their national legal and institutional mechanism for the budget allocation.

It should be noted that the terms “government/state procurement” and “public procurement” are used as synonyms. The term “government procurement” is used in the official Ukrainian text of the Association Agreement, and the WTO Agreement on Government Procurement, while in the national legislation, the term “public procurement” is used since 2015, and in the first place - in the Law of Ukraine “On Public Procurement” (VRU, 2015).

In fact, the legislation of Ukraine related to the government procurement is continuously developing and systematising, but nonetheless, there are the existing and potential risks and problems of functioning, which are to be solved. That is, one of the significant problems of the government procurement system of Ukraine is the considerable scope and "relative novelty" of the regulatory framework. Constant change of statutory instruments is one of the main problems of the system of state procurement, which leads to ambiguous interpretation of principles and rules of public procurement, as well as to ineffective enforcement. One may say

that recently the legislation on government procurement has been drastically changing, which in practice leads to numerous conflicts and difficulties in practical activities of business entities.

The system of regulatory management of public procurement in Ukraine is characterised by an extensive system of statutory instruments, mainly by delegated legislation, regulating certain highly specialised issues related to the development and detailed elaboration of the provisions of On Public Procurement, Law of Ukraine, of Dec. 25, 2015, No.922-VIII.

The basis of the Ukrainian legislation in public procurement is made up of the following laws and regulations:

a) On Public Procurement, Law of Ukraine, of Dec. 25, 2015, No.922-VIII, which encapsulated the legal and economic principles of purchase of goods, works and services to meet the requirements of the state and the local community, as well as the procedure for their implementation (Art. 1), which came into force for all customers in Aug. 1, 2016 (regulatory acts in the similar sense exist in almost all countries of the world);

b) On Sanctions, Law of Ukraine, of Aug. 14, 2014, No.1644-VII, prohibiting government procurement of goods, works and services from the state-owned legal entities being the residents of a foreign country and legal persons, a share of the registered capital of which is the property of a foreign country, as well as government procurement from other entities engaged in the sale of goods, works, services originating from a foreign country to which sanctions have been applied (Art. 4);

c) On Prevention of Corruption, Law of Ukraine, of Oct. 14, 2014, No.1700-VII, stating that the anti-corruption program must be approved by the heads of the legal entities, being the participants of the preliminary qualification and procurement procedures in accordance with the Law of Ukraine On Government Procurement, if the value of purchase of goods, service (services), and work equals or exceeds 20 mln hryvnias (Art. 62);

d) On Peculiarities of Procurement of Goods, Works and Services for Ensuring Defence Needs, Law of Ukraine, of May 12, 2016 No.1356-VIII, specifies the implementation procedures for the procurement of goods, works and services to ensure meeting of defence needs for the special period, the period of the anti-terrorist operation, during the period of the state of emergency (Art. 1);

e) On Approval of the Procedure for the Electronic Procurement System Operation and the Authorisation of Electronic Platforms, Resolution of the Cabinet of Ministers of Ukraine, of Feb. 24, 2016, No.166 - concerning the operation of the e-procurement system, the procedure of authorisation of electronic platforms, conditions and cases of disconnection of electronic platforms from the e-procurement system, the requirements to electronic platforms and the responsibility of the operators of authorised electronic platforms;

f) On the Strategy of Reforming Public Procurement System (the "Roadmap" - according to Article 152:2 of the Association Agreement), Resolution of the Cabinet of Ministers of Ukraine, of Feb. 24, 2016, No. 175-p, specified the fundamentals of harmonisation of national legislation to the EU rules, the adaptation of key concepts, notions and bringing the procurement procedures in compliance with international standards. Moreover, Resolutions of the Cabinet of Ministers of Ukraine: On the Prepayment of Goods, Works and Services Purchased for Budget Funds of Apr. 23, 2014, No.117, is of great importance; On Complaint Filing Fees Setting of Mar. 23, 2016, No.291; On Approval of the Procedure of Using Funds Provided by the State Budget for Financial Support to Ensure the Functioning of the Government Procurement Web-Portal of July 22, 2016, No.467;

g) Orders of the Ministry of Economic Development and Trade of 2016: On the Procedure of Publication of Information on Public Procurement of Mar. 18, 2016, No.477; On Allocating the Web Portal of the Authorised Body for Procurement as Part of the Electronic Procurement System and Ensuring of Its Functioning (ProZorro) of Mar. 18, 2016, No.473; On Approval of the Forms of Documents in Public Procurement of Mar. 22, 2016, No.490; On Approval of Samples of Tender Documents of Apr. 13, 2016, No.680; On Approval of the Procedure for Determining the Procurement Item of Mar. 17, 2016, No.454; On Approval of a Sample Provision on the Tender Committee or Authorised Person (Persons) of Mar. 30, 2016, No.557;

On Approval of the Instruction Concerning the Procedure for Using the Electronic Procurement System in Case of Procurement, the Cost of Which is Less than the Cost specified in Paragraphs 2 and 3 of Part 1 of Article 2 of the Law of Ukraine "On Public Procurement", Order of the ProZorro State Enterprise, of Mar. 19, 2019, No.10 and others.

2.2. General Characteristics and Special Features of the Legal and Regulatory Framework Covering Government Procurement in the Framework of the WTO

For a long time, the regulation of government procurement was outside the GATT-1947/WTO (WTO, 1947) system and did not include the extension of the most favoured nation treatment regime to public procurement procedures. Within the Tokyo Round of multilateral trade negotiations (1973-1979), on April 12, 1979, the Government Procurement Agreement was adopted, and entered into force on Jan. 1, 1981; later it was in force as revised or amended on February 2, 1987, and encapsulated in goods only public procurement the most favoured nation treatment, only for organisations subordinate to the central government bodies. Subsequently, this Agreement was revised during the Uruguay Round of Negotiations in 1994, and came into force on January 1, 1996. However, due to the fact that the WTO brings together a large number of countries, both developed and those developing, the issue of creating the government procurement rules mandatory for all is a problem, because this sector is not subject to legal regulation of "WTO Multilateral Agreements". Accordingly, when joining, the countries take the responsibility of execution of the "Multilateral trade agreements", contained in Annexes 1, 1B, 1C, 2, 3 to the Marrakesh Agreement on the creation of the WTO (paragraph 1 of art. XII) (WTO, 1994b). The scope of government procurement is regulated by the Government Procurement Agreement of Apr. 15, 1994 (hereinafter – GPA or WTO GPA), which refers to a limited number of agreements contained in Annex 4, that is, it can be acceded by individual WTO member states, at will (GPA art. XXIV:2).

Conditions for the WTO-member's accession to the Agreement on Government Procurement are agreed upon during negotiations. While joining the Agreement, the Government of the WTO-member should ensure the compliance of the national legislation, administrative procedures, rules and practices in respect of public procurement with the GPA provisions (Art. XXIV:5). A formal procedure for the accession to the Agreement, which stipulates the submission by an applicant of an offer as concerns the GPA coverage of its procurement and negotiations with the parties to the Agreement, has been established.

It should be noted that the accession of new parties to the GPA is extremely slow, most countries acceded it in 1996. Of the 164 WTO member-states (WTO, 2016), 48 WTO member-

states are the parties to the GPA (including Armenia, Hong Kong, Israel, Canada, New Zealand, Norway, Republic of Korea, Singapore, USA, Switzerland, Japan, Ukraine, the EU and 28 member states, covered by the GPA as one part, the customs territory), another 4 international organisations (namely: IMF, OECD, UNCTAD/WTO-ITC) and 34 WTO members participate in the GPA Committee as observers, 9 of which are in the process of acceding the GPA. The WTO estimates a total volume of the government procurement market at 1.7 trillion US Dollars annually (WTO, 2020).

The WTO policy is to contribute to the formation of an effective global public procurement market. The purpose of the GPA is to achieve greater liberalisation and expansion of world trade; elimination of discrimination; ensuring the transparency of laws, regulations, procedures and practices relating to state procurement and the improvement of the international basis for the world trade. The GPA contains standards that form the basis for institutional reforms at the national and international levels, and consists of two parts: a) general rules and responsibilities (mostly with regard to the procedures for competitive bidding); b) the annexes of the national authorities in each member state, whose procurement is subject to the GPA.

In 2012 the GPA was amended according to the Protocol on Amendments to the WTO Government Procurement Agreement (WTO, 2012) (art. II) concerning the prevention and counteraction of corruption in the government procurement.

The most important principles enshrined in the GPA are the principles of national treatment and non-discrimination. According to art. III:1 GPA requires the use of both the principle of national treatment, and the principle of most favoured nation in government procurement (art. III), and for developing countries, the GPA provides for a special and differential treatment (art. V).

Among the purely economic and organizational advantages, it is usually noted that for entering the foreign government procurement market, a foreign participant does not need to have a local office, spend on advertising, and be engaged in retail trade. The main thing the OECD draws attention is the integrity of the public government procurement process (OECD, 2009:

10), consisting of types, stages /steps /phases, and influenced by economic, legal, organizational, political, social, environmental and other factors.

It should be noted that the Agreement on Government Procurement covers only a part of public procurement of the contracting countries, namely that:

Is carried out by procuring organizations identified by each Member, that is, ones subordinated to central government bodies, regional (local) authorities, as well as other organizations, including utility providers;

Has relation to goods and services designated by the Member, including construction ones;

Has relation to procurement contracts, for an amount not less than corresponding limits / cost thresholds (Article I:4).

The Agreement applies to any contracts (for example, purchase, leasing, rental ones, etc., including any combination of products or services) with respect to public/government procurement (Art. I:2), the value of which exceeds the established limits / cost thresholds fixed in Appendices of each Party to the GPA (Art. I:1). In Ukraine (WTO GPA/133 (2015)), the purchase cost threshold is as follows:

- for goods and services acquired by organizations subordinated to central government bodies: - SDR 130.000, and for construction services: – SDR 5.000.000 (Appendix A, Appendix I, Appendix 1);

- for goods and services acquired by other government authorities – SDR 200.000, and for construction services: – SDR 5.000.000 (Appendix A, Appendix I, Appendix 2);

- for those acquired by other institutions, enterprises, and organizations in the field of public/social works, goods and services: – SDR 400.000, and for construction services: – SDR 5.000.000 (Appendix A, Appendix I, Appendix 3).

It should separately be noted that these limits / cost thresholds in the rough were set out in Appendices of the most part of the States-Parties to the Agreement.

The Government Procurement Agreement contains the detailed procedural/tendering requirements that must be observed by procurement entities. The procedural requirements are aimed at ensuring the guaranteed access to procurement covered by the Agreement and creating

the level playing field for domestic and foreign suppliers in their competition for government procurement contracts. The Agreement allows to conduct the bidding procedures of three types (Article VII):

- open: - that is, any interested supplier may submit his offer;
- selective (Article X): - that, according to which only suppliers invited by a procurement entity, for example from the annual list of qualified suppliers (Article IX:9), may submit their offer;
- Limited (Article XV): - that where a procurement entity contacts potential suppliers individually in cases specified in Article XV of the GPA.

Notably, in accordance with the OECD First Public Procurement Principle, the appropriate degree of transparency is ensured across the whole procurement process, with a view to promoting the fair and equitable involvement of potential participants/suppliers (2009: 11).

Also, in the Agreement on Government Procurement, there are entrenched the requirements ensuring transparency and the non-discriminatory determination of qualified suppliers (Article VIII), in addition to the pre-determined, limited and objective conditions for the participation in bidding (Article VIII: 3, 4), as well as the sufficiency (reality of terms) for any actions related to the organization and conduct of procurement procedures and performance of contracts concluded following their results (Articles VIII (c); IX: 9, 10; XI: 1, 3).

The tender documentation provided by a procurement entity must contain all necessary information with respect to an intended procurement, so that potential suppliers will be able to submit an appropriate tender offer (Articles IX, XII).

The agreement defines rules to conduct the procedure for the announcement, receipt and opening of tender offers. The main purpose of such rules is to ensure transparency, as well as the fair, competitive and non-discriminatory conduct of the procurement procedure at all and every stages/steps/phases of the cycle of government/public procurement, regardless of its type. Thus, during the open or selective tender procedure, the conditions for opening of tender offers precisely on the day, at the time and in the place established by the tender documentation, and requirements regarding the national regime and non-discrimination towards the acceptance and

opening of offers, as well as requirements /guarantees to have a procurement contract concluded with a supplier, must be ensured (Article XIII).

The Agreement prohibits to apply measures as for promoting the local development, or improving the balance of payments through localization, and licensing of technology, investment requirements, conditions for the countertrade, or similar requirements (Article XVI). However, developing countries can, under certain conditions, apply similar measures.

As concerns technical specifications (Article VI) laying down the characteristics of products or services (quality, safety, dimensions, packaging, marking, etc.), production processes and requirements relating to conformity assessment procedures prescribed by procurement entities, the Agreement establishes the requirement to apply them in such a way that no additional and unnecessary barriers to international trade are created (Article XII: 2 (f), (g)). Moreover, they must be based on existing international standards or, in their absence, on national technical regulations and standards. But, for example, in Germany and the Netherlands, there is entrenched the requirement that technical specifications should be based solely on national standards, which discriminates to some extent foreign suppliers (Pokrovskaya & Uskova, 2008: 36).

The WTO GPA does not directly regulate the issue of the “sustainable” / “green” government procurement, but countries can apply the “environmentally-appropriate” conditions only through the possibility of establishing technical requirements for products/services and their suppliers. Also, the countries-parties to the GPA are not prohibited from introducing more specific provisions of the national legislation in the field of government procurement in order to ensure/comply with the “environmental and social responsibility” (Shadrina & Romodina, 2017: 160).

Due to the fact that government procurement, though unified by the common rules and obligations of the member states, nevertheless, the regulation of this sphere is carried out in accordance with national legislation. For the convenience and efficiency of government procurement, given the remoteness of the various countries and the location of national authorities making the order, most of the government procurement is currently being executed

electronically via the Internet. Each GPA member state has a national platform for the efficient government procurement (WTO, 2020b).

The Parties to the GPA are obliged to promptly publish any regulatory legal acts, judgments, administrative rules of the general application, as well as any procedure (including standard contract terms and conditions) as regards government procurements in a relevant publicly-accessible specific publication, the list of which, for example for Ukraine, is enshrined in Appendix II to the WTO GPA/133 dd. November 11, 2015. In addition, each Party to the WTO GPA must annually report statistics of its purchases made under the Agreement to the Committee on Government Procurement (Article XIX:5). This statistical data contains the information about the number and total volume of contracts being lower and higher than the price threshold, including with the breakdown by types of procurement entities, groups of products and services, as well as of those concluded under the restricted procedure.

Before the start of the bidding procedure, the Parties to the Agreement are obliged to publish a tender offer (according to Articles VI, VII, IX:7, XVI:2), that is, the invitation to participate in a tender, in a publicly-accessible electronic or print medium/resource used by the Parties for the publication of notices (for Ukraine, this is Appendix III to the WTO GPA/133 dd. 11.11.2015). Not later than 72 days after the contract is concluded with a supplier, a procurement entity must also inform about the procurement award (Article XVIII). Such notice should include the information about the type and amount of products or services under the contract, data on a winning tenderer, the contract price or the highest and lowest offers that were taken into account while making the award towards the contract.

Furthermore (Article XIX:2), at the request of any supplier of the Party to the Agreement, a procurement entity must provide with explanations towards its procurement procedure, reasons for the refusal given to a supplier to include him in the qualifying list, characteristics and advantages of a selected tender offer, etc. In this case, the conditions for the confidentiality of certain information, for example, concerning considerations to ensure public interests and commercial secrecy, as well as to maintain conditions for the fair competition among suppliers, must be observed. (Taking into account the OECD Second Public Procurement Principle consisting in the fact that governments should maximize transparency in a competitive tender

and apply preventive measures to improve the integrity, especially with regard to cases connected with emergency urgent situations and national security) (OECD, 2009: 11). The Government of the Party to the Agreement, a supplier of which did not win in a tender, may also submit a request for additional information in order to verify the fairness and impartiality of a tender. In particular, in Ukraine the web-resource addresses or addresses, at which the Parties publish the statistical information on procurement according to Article XVI:5, and notices on contracts concluded according to Article XVI:6, are captured in Appendix IV to the WTO GPA/133 dd. November 11, 2015.

One of the key GPA provisions is to enable vendors to challenge actions that are in contradiction to its provisions (by settling disputes (Article XXII) and appeal procedures (Article XX)). And since the GPA is one of the WTO agreements, all disputes arising as a result of its execution may also be settled through the dispute settlement procedure provided for in the Dispute Settlement Understanding of 1994 (WTO, 1994c). However, at the same time, the settlement of disputes under the WTO GPA has its own particularities and is also subject to special rules. The most important rules from them are those concerning:

- the inability to terminate concessions or other obligations under the GPA within the procedure governing the settlement of disputes under any other WTO agreements, and vice versa, the inability to terminate concessions or other obligations under any other WTO agreements within the procedure governing the settlement of disputes under the GPA (Article XXII:7);

- the right of the Dispute Settlement Body to allow consultations between the Parties to the Agreement on disputes, under which it seems to be impossible to withdraw measures that violate the provisions of the Agreement (Article XXII:3).

One of the features of the GPA is the requirement for the Parties to the Agreement to establish a non-discriminatory, transparent and effective internal challenge procedure (Article XX). Suppliers who have doubts about the compliance with the GPA requirements in the procurement process may apply to the independent court on the territory of the Party. The Party to the WTO GPA may delegate authorities to consider a supplier's complaint to the national judicial instance, or an independent and impartial supervisory body. A body considering the

complaint may take a decision to eliminate breaches of the Agreement, or to compensate a supplier for costs related to the preparation for a tender, or a notice of protest. A decision on the elimination of breaches of the Agreement may envisage urgent temporary measures, including the termination of the bidding procedure. For the whole effective period of the GPA, only four disputes in the field of government procurement were settled, namely (WTO, 2020c):

DS163 - Claimant: USA. Defendant: Republic of Korea. Third parties: EU, Japan. - The report of the group of experts is approved, no action has been taken since on June 19, 2000;

DS95 - Claimant: Japan. Respondent: USA. The powers of the group of experts terminated on Feb. 11, 2000;

DS88 - Claimant: EU. Respondent: USA. Third Party: Japan. The powers of the group of experts terminated on Feb. 11, 2000;

DS73 - Claimant: EU. Respondent: Japan. Suspended (mutually agreed solution) on July 31, 1997.

The institutional mechanism/body of the Government Procurement Agreement is the Committee on Government Procurement (Article XXI), which includes representatives of all the Parties to the Agreement. The Committee shall elect its Chairman and Vice-Chairman and shall conduct meetings not less than once a year. The authorities of the Committee cover:

- the annual review of the implementation and operation of the Agreement;
- the annual report on the implementation of the Agreement to the WTO General Council, as well as the Parties to the GPA;
- the establishment of subsidiary bodies (for example: the Working Group on Transparency in Government Procurement), the Working Commission on matters of the GATS Rules, the Work Program on Collection and Reporting of Statistical Data, etc.;
- the facilitation of consultations between the Parties on any issues related to the implementation of the Agreement;
- the definition of directions for the further development of the Agreement, making amendments and additions thereto;
- the generalization and analysis of notifications and statistical data provided by the Parties to the Agreement.

The WTO «eGPA» is the official WTO GPA portal and the only point of information and entry for domestic and foreign exporters, chambers of commerce and industry, business-associations, business-schools, electronic platforms, other ministries and governmental bodies, and mass media communications (WTO, 2020d).

As a factor of the performance by the States of their international obligations in a certain area (including government /public procurement), it might be appropriate to envisage, in the GPA (as part of the annual reviews of the implementation and operation of the Agreement) and/or in the Trade Policy Review Mechanism (WTO, 1994d), obligations in materials (reports, reviews, analytical data, separate sections, etc.) not only to reflect the fulfillment /observance by the Parties of the GPA provisions, but also to indicate ways to avoid /evade them at the national level, specific violations, abuses (their quantitative indicators, systemacity, etc.). This would enable countries to independently improve, more actively and responsibly, at the national level and in the unilateral manner, their organizational-legal mechanism/system of government procurement, within the framework of the principles and provisions entrenched in the WTO GPA.

The main areas in the work of the GPA contracting States, in the field of government /public procurement, for the near future are as follows:

- development and use of the unified methodology for collecting information and reporting;
- further expansion of using the Open Contracting Data Standard, OCDS, which will significantly increase transparency and availability of the information about public procurement. (as a matter of fact, ProZorro Electronic Public Procurement System is built exactly on the basis of using this standard).

It should be noted that the international and legal peculiarity of WTO law is that member states are obliged to ensure the conformity of its laws, regulations and administrative procedures with the WTO agreements. The GPA establishes only the basic rules that countries must apply at government procurement at the international and national levels within the framework of the WTO. GPA does not regulate in full and in detail the whole procedure of government procurement, leaving a choice in building this system and formalising individual

elements to the discretion of each state, depending on the national features of the economic system.

After years of negotiations and Ukraine's activity to bring the state of the economy and legislation into compliance with WTO requirements, on Feb. 5, 2008 (WTO, 2008), the Protocol on the Accession of Ukraine to the WTO was signed (art. 1) (VRU, 2008), in accordance with the procedures of May 16, 2008. Ukraine became a full member of this Organisation (art. 1) (WTO, 2020d). Due to the fact that the GPA is an agreement with a limited number of parties to it (Annex 4), in 2009 Ukraine started a separate procedure to accede to this Agreement, the period of validity of which ended in 2016. Ukraine acceded to the GPA, concluded on Apr. 15, 1994 in Marrakesh, as amended by the Protocol to it from Mar. 30, 2012 (Geneva), based on the Decision of the Committee on Government Procurement of the WTO GPA/133 dated on Nov. 16, 2015 (art. 2), including Annexes A and B to this Decision (art. 1) (VRU, 2016).

Due to Ukraine's accession to the GPA, the office of GPA in UA, a pilot project office set up by the Ministry of Economic Development and Trade of Ukraine with its partners, was opened. The goal of the GPA in UA office is to provide support and advice to Ukrainian companies participating in international government procurement of GPA states and importers from GPA member states in terms of their participation in government procurement in Ukraine, as well as the analysis of the obstacles and assistance in resolving disputes. It should be noted that the idea of providing advisory support was adopted by Ukraine from the EU, which manages the advisory network-the European Network of Enterprises (EEN), established on the basis of national Chambers of Trade, agencies for development and universities. As a rule, all these diverse structures offer not only government procurement advice but also other information services on various aspects of EU law in the field of state procurement.

On February 25-27, 2019, within the framework of the Meeting of the WTO Committee on Government Procurement, Ukraine was elected, for the first time in history of its membership in the WTO, as a Presiding Country of the Work Program on Collection and Reporting of Statistical Data. The previous presiding country of this Program was the USA. This

event is a certain confidence in Ukraine on the part of the world community and recognition of our achievements in the field of regulating government procurement.

Given that Ukraine has recently become a party to the GPA (in 2016), the Ukrainian business entities are only starting to use the opportunities provided by the GPA, and as a result an active consulting is arranged for potential national suppliers regarding their participation in international government procurement, foreign businesses are engaged in national procurement. Ukraine's participation in the system of state procurement within the framework of the WTO has just begun and needs to be elaborated. Ukraine's accession to the GPA is of great practical significance to stabilize the national economy, contributing to the expansion of markets for government procurement, as commodity markets around the world are now opening for the national suppliers, which will stimulate the production, but on the other hand, lead to the increased competition on the domestic market of the country.

Depending on the participation of the Parties in the WTO Agreement on Government Procurement, the following types of agreements (regulations) on the free trade and regional economic integration, which include the provisions on government procurement, can be conventionally distinguished:

Agreements concluded between the Parties to the GPA for government procurement (in particular, the Association Agreement between Ukraine and the EU of 2014), in which a more liberal regime than that the GPA envisages is provided (for example: owing to separate more detailed procedural provisions; by expanding the list of goods and services, etc.);

Regional trade agreements between the states participating in the GPA for government procurement, and countries that are not parties to this Agreement (which affects the bilateral regulation of the field of government procurement).

To sum up, it should be noted that the legal regulation of government procurement on the territory of Ukraine is undergoing significant changes, in connection with the harmonisation of legislation to international (worldwide and regional) standards, this stipulates the adoption of a large number of regulatory acts. Constant changes in legislation lead to complications in the laws application in practice.

2.3. Ukraine's International Obligations in the Field of Government Procurement According to the Association Agreement between Ukraine and the EU of 2014

According to art. XI of the Marrakesh Agreement on the Establishment of the WTO, the EU as a customs territory and Ukraine as a state (art. XII), are members of the WTO. As a result, having signed the Association Agreement (EU-Ukraine, 2014), the parties to it (Ukraine and the EU) must perform with the international obligations arising from the participation, both in the GPA and those associated with the WTO membership, including the Government Procurement Agreement.

The EU and Ukraine, at the development of the Association Agreement have performed their international obligations, due to the WTO membership, and, in general, with no repetitions, have complemented and elaborated the GPA provisions at the regional level. One of the most significant trends of reforming the government procurement system is to ensure the stability and predictability of the regulatory framework on the basis of the harmonisation of national legislation to the EU rules, the adaptation of key concepts, and notions and bringing procurement procedures in line with international standards.

It should be noted that according to the chronology of events, before the conclusion of the regional international treaty - the Association Agreement between Ukraine and the EU in 2014, the accession of Ukraine to the WTO Agreement on Government Procurement was preceded in 2016 (potentially a worldwide international treaty). On the one hand, the provisions of the Association Agreement in the field of government procurement influenced on the position of the EC and Ukraine in the negotiation process regarding the WTO GPA; on the other hand, the GPA influenced on the adjustment of some obligations of the Parties in the Association Agreement in 2018.

The Association Agreement between Ukraine and the EC (Chapter 8 (Articles 148-156) of Section IV and Appendix XXI) envisages “ensuring the mutual access to the public procurement markets, based on the principle of the national regime at the whole-of-government, regional and local levels for state contracts and concession agreements in traditional economy branches, as well as in public utilities” (Article 148).

As distinguished from the market of goods against the government procurement market, the Association Agreement stipulates not the asymmetric opening of the market on the EU part, but the symmetric mutual access to the market of two parties, after bringing the national legislation by Ukraine in compliance with the EU regulations (Article 154). The Association Agreement envisages the mutually gradual (Article 148) five-stage (Appendix XXI) access to the government procurement market, subject to the fulfillment by Ukraine of the so-called “homework” (EU–Ukraine, 2019) (with the possibility, upon completion, of the further mutual deeper access to the government procurement markets (Article 154(4))). The WTO Agreement on Government Procurement does not stipulate the “homework”, since all issues are agreed upon before its signing in the negotiation process.

The Association Agreement explicitly links the access to the EU public procurement market with the actions of Ukraine regarding the approximation of the national legislation to the EU government procurement rules (Article 148). In particular, Ukraine should define a central executive body responsible for government procurement policies (Article 150:2(a)), and a separate impartial and independent appeal body for reviewing decisions taken by customers in the procurement process (Article 150:2(b)). In conducting procurement, the principles of non-discrimination, equal treatment, transparency and proportionality must be observed (Article 151:1). Ukraine should bring its legislation into proximity with the requirements of the EU Directives regulating government procurement; however, these directives should not be fulfilled completely or instantly (Article 153:2). Appendices from XXI-B to XXI-N divide these Directives into several types of elements: “basic”, “mandatory”, “optional” (i.e. provisions that are not mandatory, but recommended for approximation) and those, “which do not fall under the scope of the legislative adaptation”. It is worth noting that Ukraine has already fulfilled or is in the process of fulfillment of the above conditions (details will be discussed later).

It is worth noting that in 22 EU countries there are both special State Programs (Plans) for the Development, for example, “green” government procurement (France, Germany, Lithuania), and general State Programs for the environmental protection, which determine the role of government procurement in the achievement of goals and objectives (e.g. in Latvia). Development of the mentioned programs in Ukraine is currently a pending issue, because the

only plan for further development of public procurement is now the Government Procurement Reformation Strategy ("Roadmap" - art. 152:2 of the Association Agreement), which is designed for the staged harmonisation of national legislation to the EU requirements, rather than for the implementation of domestic and national development plan, and in particular it specifies:

1) the harmonisation of Ukrainian legislation in the field of government procurement with the relevant EU aquis standards according to Chapter 8 of section IV and Annex XXI to the Association Agreement (art. 153);

2) institutional development, proper financial and logistics management and staffing of the authorised body (namely, the Ministry of Economic Development and Trade of Ukraine), as well as the independent supervisory authority for the protection of the rights of subjects of government procurement, optimisation of the interaction of regulatory and supervisory bodies in the field of government procurement and public finances management;

3) creation and development of electronic procurement system considering the requirements and standards of the EU and best international practice (for example: On the Government Procurement Reformation Strategy ("Roadmap") of Feb. 24, 2016 No.175-p, Resolution of the Cabinet of Ministers of Ukraine);

4) development of the system of professional training of specialists in public procurement and professionalization in the field of government procurement (Prozorro, Infobox, n.d.);

5) international cooperation in the field of government procurement and improvement of the image of Ukraine in the international arena as a state with a modern system of state procurement.

In order to ensure the proper organisation and implementation of tasks in the field of European integration and implementation of the Association Agreement, the Government Office for the Coordination of European and Euro-Atlantic Integration was established, consisting of the Secretariat of the Cabinet of Ministers of Ukraine (For example: Resolutions of the Cabinet of Ministers of Ukraine: *On the Government Office for European and Euro-Atlantic Integration* of Aug. 13, 2014 No.346 & *On the Government Office for the Coordination of European and Euro-Atlantic Integration* of Oct. 4, 2017 No.759).

Among the most prominent innovations in the field of government procurement in Ukraine, the "ProZorro" system should be noted, which consists of a single database, using the NOSQL open source, and a single centralised system of electronic auctions, which are accessed via six separate commercial platforms, which receive revenue through the fees, paid by the entities participating in the auctions. Transparency and avoidance of corruption, in particular, are supported by clear tariffs for the use of the ProZorro electronic system. Regarding the public administration of the given electronic system, the ProZorro electronic system of government procurement, initially based on non-governmental principles, has finally turned into a state institution (MEDTU, 2016).

The main objectives of the electronic system are: eradication and systemic prevention of corruption; transparency of government procurement; the inadmissibility of discrimination and the objective evaluation of bid applications; simplicity and ease of procedures application; transition to electronic document flow; complete reporting and analysis of all state procurement.

It should also be noted that the introduced ProZorro system of electronic public procurement has been recognised worldwide. The Ministry of Economic Development and Trade of Ukraine received the World Procurement Awards for the creation and implementation of an electronic system with a unique architecture. The Ministry of Economic Development of Ukraine and ProZorro were nominated in the Public (Government) Procurement ("Public Sector") category. Among the other nominees in this category there were: Ministry of Justice of Great Britain with the competition transformation, the Department of Education of the New South Wales, Australia, with its own solutions in the area of procurement, and the Executive Office of the President of the USA with their P200 procurement service. It has been noted that the ProZorro practice confirms/evidences the effectiveness of the reforms, which are based on the Government-Business-Community triangle, and due to the support of a reputable international anti-corruption organisation - Transparency International, and the WNISEF foundation, EBRD, the German Government and other partners, the ProZorro system was able to demonstrate positive results already at the initial stage. It should be noted that the EU widely applies the government procurement procedure in the form of an electronic auction. EU state

organisations that have already implemented e-procurement save from 5% to 20% of purchasing costs (Ivanov & Sevastianova, 2015). Also, the introduction of electronic procurement in the EU is widely supported by the International Monetary Fund, the European Central Bank and the European Commission.

In accordance with the international obligations of Ukraine, it is necessary to introduce to the national legislation the international standards that are already recognised by the world community as effective and appropriate, with a view to convergence of public procurement markets around the world and unification of their legal regulation. Currently, Ukraine is obliged to adapt the core elements of the EU directives relating to government procurement to domestic legislation during the transitional period specified in the Association Agreement (up to eight years, which is registered in the schedule of implementation of EU directives in effect). In this case, the reformation of government procurement system requires a comprehensive approach and should not be confined only to the adoption of certain special rules and making a significant amount of tactical changes to legislative acts.

Interestingly, the Association Agreement stipulates that Ukraine has to adapt national legislation according to the principles of Directives 2004/18/EU and 2004/17/EU, which have already become void, so the explanatory note to the Law of Ukraine on Government Procurement 2015 contains references to Directives EU/24/2014 and 2014/25/EU.

On May 14, 2018, the Ukraine – EU Association Committee, with the trade membership attendance, has decided to update Appendix XXI to the Association Agreement (EU–Ukraine, 2018), in order to take into account the “new” EU Directives on government procurement adopted in 2014, in particular (EC, 2017): the provisions of the Directive 2014/23/EU on the award of Concession Contracts Conclusion, Directive 2014/24/EU on public procurement and Directive 2014/25/EU on procurement by entities operating in the water, energy and transport sectors, and postal services sectors. In order to harmonize the thresholds of the EU and Ukraine commitments regarding the WTO GPA (WTO, 2020d) with the current definitions in EUR, they were also insignificantly increased (in particular: for government contracts of central state authorities - from EUR 133.000 up to EUR 135.000; in other cases – from EUR 206.000 up to EUR 209.000; for state concessions and contracts in the utility and infrastructure sectors – EUR

5.150.000 – 5.225.000 (accordingly), etc.), and as for some positions, EUR 1.000.000 (in the utility and infrastructure sectors) was established (for example, for social and other specific service contracts – EUR 750.000 (state-based)). Therefore, it is possible to predict the further updating and insignificant growth of thresholds in Appendix XXI to the Association Agreement of 2014. In this case, it should be noted that this adjustment was not made in Article 10:4 of the Law of Ukraine “On Public Procurement”.

At the same time, it should be noted that within the GPA framework, in comparison with the Association Agreement, the list of types of government procurement is smaller (in particular, regarding procurement in the utilities sector, separate types of services and goods, state concessions).

Moreover, the fewer signatories of /parties to an international treaty are, the more specific its terms and conditions become. One can even speak about strengthening the “mandatory nature” of international acts while reducing the number of its participants, or the transition from the universal to the regional or bilateral international regulation of some or other types of relations.

In fact, the majority part of the WTO GPA and Association Agreement provisions in the field of government procurement has already been implemented or is being implemented by Ukraine. Indeed, taking into account the access to the EU market obtained within the GPA framework, Ukraine has already not so many external incentives for the full compliance with the obligations to harmonize the legislation under the Association Agreement than it was expected at its signing. One cannot forget that the enhancement of Ukraine’s positions on the international stage contributes to performing its own international obligations, especially to the countries and international organizations / integrations, partners, donors and creditors.

Conclusion

Thus, it can be argued that the source systems for regulating the area of government/public procurement at the international level consist of: a) international multilateral (universal and regional) and bilateral contracts; b) decisions of international organizations (imperative and dispositive). And, at the national intrastate level, they consist of

(whole-of-government/ federal and regional): a) legislative (general and special /sectoral) acts;
b) subordinate statutory instruments.

International legal regulation of public procurement does not refer to obligatory, widely used provisions of international law, it is applied in cases where the state gives consent to its application on its own, however, it should be admitted that there are the generally accepted regulations and provisions, observed by a vast majority of states. In turn, the number of states harmonising/adapting national legislation to the specific international legal standards of government procurement is quite small (a limited number of member states of the WTO Government Procurement Agreement (GPA), or the countries that have concluded generally bilateral international agreements, the provisions of which are fully or partially consider the regulation of public procurement). The most unified, practically implemented and "successful" regulation is the legal regulation in government procurement within the framework of the WTO and the EU. On the whole, government/public procurement is the scope of national legislation of each state, rather than of international organisations of regional economic integration. The institutional and legal coverage/regulation of government procurement in Ukraine is focused on reforming and building a system that would meet the standards of the EU and the WTO. The system of national legal regulation of government procurement of Ukraine is characterised by an extensive system of newly adapted acts, most of which are delegated legislation, regulating individual highly specialised issues, and the main the provisions are enshrined by On Public Procurement, Law of Ukraine, of Dec. 25, 2015, No.922-VIII.

The accession to international sectoral/special contracts in the field of government / public procurement (the WTO Agreement on Government Procurement 1994), or the inclusion of provisions /commitments on this issue in more general international agreements (the Association Agreement between Ukraine and the EU 2014), and the relevant harmonization/adaptation of the national legislation due to this fact are only one aspect (rather complex and long-term, but not determinative one). The development and introduction /reduction to practice (taking into account the OECD public procurement principles) of the effective mechanism for the implementation, management, control and supervision (including liability, punishment and encouragement) of the public procurement area in particular are a

completely different question that can undo all efforts of negotiable and rulemaking activities (at the international and national levels), as well as the “advanced” insights and experience. Ukraine cannot neglect, but, on the contrary, needs to use more actively the protective, organizational and legal instruments (international and national ones), on the one hand, for defending national economic interests and security, and on the other hand – for supporting and protecting interests of national commodity producers and commodity consumers on the market of government/public procurement.

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Business activity of enterprises as a factor in accelerating technological progress in the economy

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ABSTRACT

The article deals with the problems of increasing the commercial activity of machine-building companies in post-crisis conditions, the solution of which should contribute to a fairly rapid return to previously developed plans for their expansion. The relevance and novelty of the problem lies in an integrated approach to the category of commercial activity of companies, which involves investigating various areas of their activities and generalizations from the theoretical and practical point of view. The objective of the study is to identify possible ways to increase the commercial activity of companies to enter the development stage. The methodological basis of the study is based on work in the field of economics, management and finance of companies and the possibility of its use in modern conditions. The main directions of research into the commercial activity of companies are analyzed: ensuring planned growth and improving the material and technical base of production; balance and steady increase in financial results; increase in the efficiency of the use of all types of resources of the company and its work in general; effective policy of deepening specialization and diversifying production; and growth of innovative potential in all areas of activity.

KEY WORDS: enterprises; growth rate; economic and social development; resources management; economic growth.

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La actividad comercial de las empresas como factor de aceleración del progreso tecnológico en la economía

RESUMEN

El artículo trata sobre los problemas del aumento de la actividad comercial de las empresas de construcción de maquinaria en condiciones posteriores a la crisis, cuya solución debería contribuir a un retorno bastante rápido a los planes previamente desarrollados para su expansión. La relevancia y novedad del problema radica en un enfoque integrado a la categoría de actividad comercial de las empresas, que implica investigar diversas áreas de sus actividades y generalizaciones desde el punto de vista teórico y práctico. El objetivo del estudio es identificar posibles formas de incrementar la actividad comercial de las empresas para entrar en la etapa de desarrollo. La base metodológica del estudio se fundamenta en trabajos en el campo de la economía, la gestión y las finanzas de las empresas y la posibilidad de su uso en las condiciones modernas. Se analizan las direcciones principales de la investigación de la actividad comercial de las empresas: el aseguramiento del crecimiento planificado y la mejora de la base material y técnica de la producción; equilibrio y aumento constante de los resultados financieros; aumento de la eficiencia del uso de todo tipo de recursos de la empresa y su trabajo en general; política eficaz de profundización de la especialización y diversificación de la producción; y crecimiento del potencial innovador en todos los ámbitos de actividad.

PALABRAS CLAVE: empresa; tasa de crecimiento; desarrollo económico y social; gestión de recursos; crecimiento económico.

Introduction

Business activity of machine-building enterprises is a particularly promising modern category that allows enterprises to implement their strategic development plans and ensure innovative economic growth in a fairly fast time frame.

Business activity of enterprises is ensured primarily by the stability of their development and the balance of economic growth in the future.

The subject of the study in this case is an integrated approach to the business activity of machine-building enterprises in modern conditions. The importance of the study is determined by the need for restoration and active forward movement along the path of further development of enterprises in the post-crisis period.

In modern studies, considerable attention is paid to the concept of business activity of enterprises, most often in certain areas, for example, increasing production efficiency, building up innovative potential (Pinkovetskaia et al, 2021).

In this regard, the purpose of this study is to focus on the multidimensionality of this concept for a detailed study of individual areas in practice.

Business activity is addressed very often to the internal factors of the enterprise: increase in production capacity, renewal of labor instruments, technologies, etc. However, the modern economy also requires active work with the external environment of the enterprise, which is interpreted as market activity (Abramsky, 2001; Abryutina and Grachev, 2001).

It is not enough to produce a competitive product, but it is equally important to position it in industry and in international environment, which gives an appropriate assessment not only to the product, but also to its developers and manufacturers.

If we generalize all modern definitions of the business activity of enterprises, it can be formulated as the ability of an enterprise to achieve the planned economic growth and development with the widespread use of the entire range of extensive and intensive methods of increasing the efficiency of its activities.

Economic growth and development are fairly close concepts, but they have different specifics. The economic development of business entities is based on ensuring their economic growth and determined on the basis of the quantitative characteristics of the enterprise (Poloskov and Zheltenkov, 2018; Putyatina and Arsenyeva, 2020; Zverev et al, 2021).

In the most general sense, economic growth is a quantitative increase with a qualitative improvement of the social product over a certain period of time (usually a year).

The economic growth of an enterprise is determined, first of all, by the growth of such indicators as: amount of products manufactured in physical terms, revenue, profit, etc. However, in real conditions, the growth of some indicators may be accompanied by stability or even a decrease in others (for example, the company's revenue increased, and the balance sheet profit decreased due to an increase in the cost of production) (Putyatina and Arsenyeva, 2020).

1. Literature Review

The term "business activity" appears in Russian literature relatively recently, in connection with the reform of the economy and the formation of market relations.

Currently, there are a large number of interpretations of the concept of "business activity". However, they all have their flaws and do not characterize business activity comprehensively. So, in the large economic dictionary, business activity is understood as "economic activity, concretized in the form of the production of a particular product or the provision of a specific form of service and forms the basis of the international standard classification of economic sectors and economic classifiers of the System of National Accounts" (Azrilian, 2004).

The most famous Russian authors are V.V. Kovalev, G.V. Savitskaya, etc. The methodology for analyzing business activity proposed by them is based on the same indicators, but there are differences in the depth of the analysis.

The most detailed analysis of business activity, covering all aspects of the enterprise, is given by V.V. Kovalev (2007).

In addition to the usual indicators of business activity, such as the turnover of working capital and its components and the period of their turnover, it includes in the analysis of business activity indicators of the efficiency of the use of enterprise resources: material, labor and financial one (Kovalev and Volkova, 2000).

O.V. Myasnikova considers business activity as a set of work of all employees of an enterprise, whose efforts are aimed at increasing the turnover of working resources and assets (Myasnikova, 2007).

The main difference between foreign approaches and the approaches of Russian authors lies in their practical content, they are filled with specific examples and experience of firms. E. Helfert under business activity means the efficient use of assets entrusted by the owners to the managers of the company. There is also a close relation between the business activity of organizations and the functioning of the securities market. Thus, D. Stone and K. Hitching present business activity as a characteristic of the effectiveness of managing a company's asset portfolio (Stone and Hitching, 2009).

2. Materials and Methods

When implementing the strategy of economic growth, it is important for enterprises to consider such important areas as: increasing the material and technical base of production,

i.e. the amount of resources involved, which form the basis of the economic potential of enterprises; increasing the efficiency of resource use based on the intensification of production processes; identification and active use of reserves for increasing the efficiency of all production and commercial activities of the enterprise; systematic implementation of a comprehensive innovation policy, involving the introduction of new and modernized goods, technologies, deepening of specialization and expansion of production cooperation.

The methodological basis of the study is modern scientific developments in the field of management, enterprise economics, innovation management, marketing, etc.

The procedure for researching the business activity of enterprises should be divided into two main parts: identification of the weakest points in the activities of the enterprise that require active intervention and development of specific measures to eliminate these shortcomings.

Unfortunately, it is rather difficult to develop a comprehensive quantitative assessment of the business activity of enterprises, since each enterprise has its own development program, its own opportunities for economic growth, specifics of innovation processes, etc.

Therefore, one of the main indicators of the business activity of the enterprise is the timely fulfillment of the set strategic goals and development tasks for the studied period of time.

It must be emphasized that economic growth and development are not the same thing. Growth can happen with or without development. Growth is an increase in certain indicators of enterprise: revenue, asset value, etc.

The concept of enterprise development refers not so much to quantitative forming indicators of growth and financial results of enterprises as to qualitative changes in the field: goods with improved technical and operational indicators, indicators of reliability, ergonomics, cost, etc.; production technologies that reduce labor intensity while improving product quality; management methods that allow, based on the methods of the digital economy, to make more balanced, most optimal decisions in the development of production and in the process of selling products; social policy of enterprises, which allows the most effective use of the main element of the driving force of progress: staff of enterprises, taking

into account the increase in their interest in the results of labor (Bank, V. R., Bank, S. V. and Taraskina, 2006).

It should be noted that the economic growth of indicators always has a certain limit due to the limitation of the resources used by the enterprise, therefore, the modern task of the development of enterprises is based on systematic and balanced growth, ensuring technical and economic progress in science and production (Voitolovsky, Kalinina and Mazurova, 2013).

When considering economic growth in detail, the following areas of analysis for enterprises are often highlighted:

- time, at which the dynamics of the most important indicators in time for the studied period of time is determined, taking into account the rate of their change.
- industry, which determines the importance of an enterprise in the industry and the output of industry products;
- social, which provides social guarantees for the employees of the enterprise when the macroeconomic conditions change (level of employment, crisis, inflation, etc.).
- innovative, in which a policy of improving the quality of products, their competitiveness, regular updating of technologies, means of labor, etc. is implemented.

3. Research Results

The factors and directions that determine business activity of enterprises in modern conditions are shown in the Figure 1.

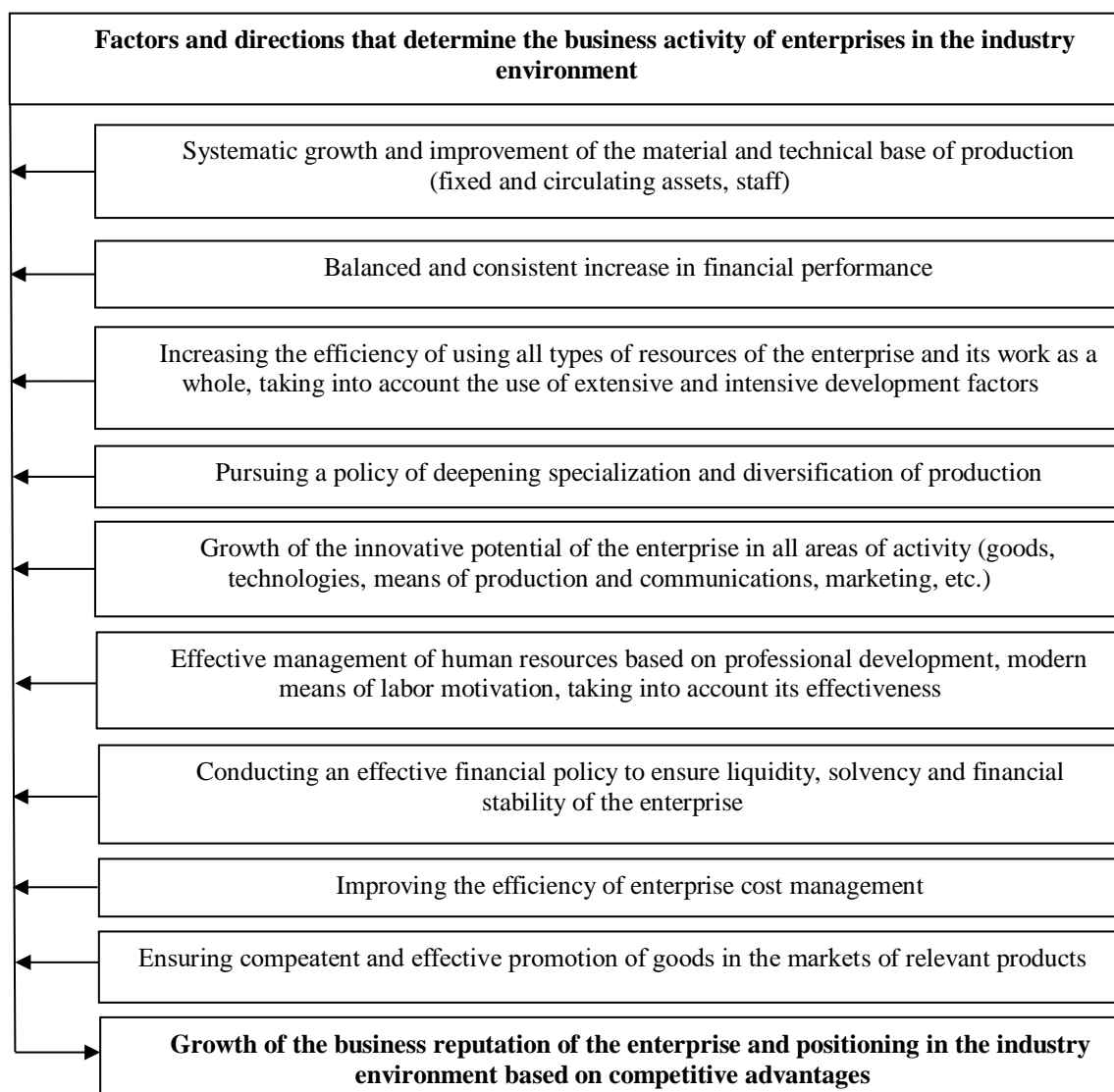
We consider the above areas of research of enterprises' business activity in more detail.

Systematic growth and improvement of the material and technical base of production (fixed and circulating assets, staff). The growth of factors of production is the starting point for the development of enterprises, since they provide the basis for increasing their production capacity and allow expanding the horizons of specialization and diversification of production in the future. An increase in the resources used by an enterprise in its activities is an important factor in extensive development, but does not exclude the active use of intensive factors.

Balanced and consistent increase in the financial results of the enterprise. With an increase in production factors, it is not possible to obtain sufficiently fast return in the form of an increase in revenue and profit in practice. However, these indicators determine the

effectiveness of growth and the purpose of carrying out various measures to improve the material and technical base of production.

Figure 1. Factors and directions that determine the business activity of enterprises in modern conditions



Improving the efficiency of using all types of resources of the enterprise and its work as a whole, taking into account the use of extensive and intensive development factors. When developing an enterprise, as a rule, both methods are used, depending on the availability of funds for development. The efficiency of the enterprise is determined mainly by the indicators of profitability (assets, fixed and working capital, sales, etc.). All indicators of profitability with an increase in the efficiency of the enterprise should have a growth trend (Helfert, 2008).

Pursuing a policy of deepening specialization and diversification of production. Modern enterprises mainly have industry specialization, which is associated with the release of products for a specific purpose. In connection with the industry cooperation used in the manufacture of complex products, enterprises may have the following types of specialization: subject, involving the release of ready-to-use products of the enterprise; detailed, focused on the release of individual parts, assemblies, etc.; technological, which is focused on performing certain technological operations as separate types of production activities (metallurgical production) (Atkisson, 2015).

Along with the development of specialization, enterprises are also diversifying their activities, which is understood as a self-regulating process of expanding the capabilities of an enterprise in various directions, most of which are interconnected and interdependent (Novikov, 2018).

The main types of diversification of the enterprise are given in the Table 1.

Table 1. Main types of diversification of enterprises

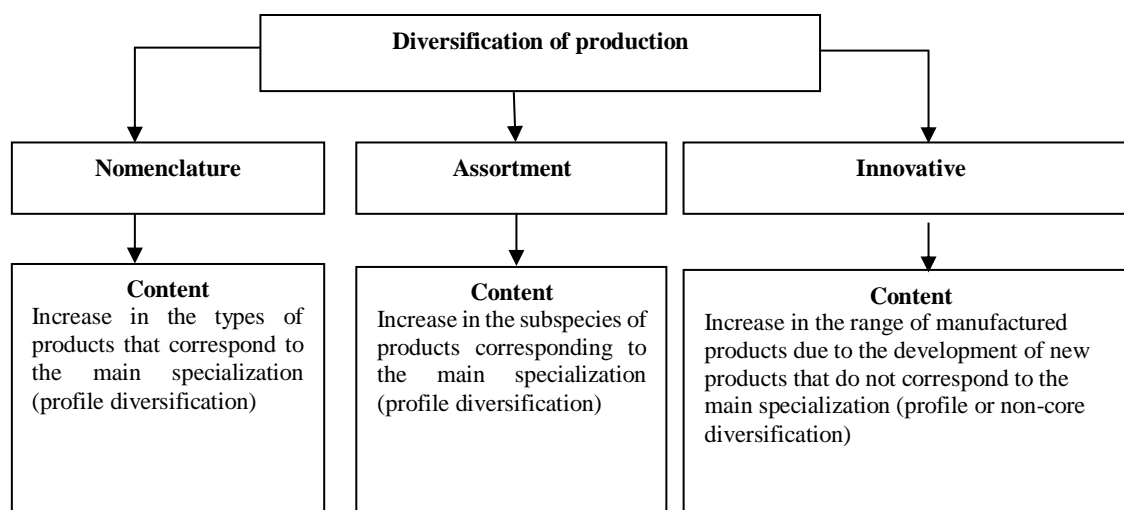
Diversification type	Scope of use
Diversification of production	Expansion of nomenclature and assortment of products by the enterprise
Diversification of capital investment	Distribution of financial resources in various innovative projects or an investment fund between securities with different returns and risks
Diversification of industrial cooperation	Expansion of the sphere of economic relations for the supply of components and semi-finished products
Diversification of market	Expansion of sales markets for manufactured products
Diversification of technology	Expansion of the technologies and know-how used by the enterprise
Diversification of industry	Expansion of the sphere of economic relations and introduction into other industries

The main reasons and goals for the development of diversification at enterprises may be the following ones: enterprise with difficulties in selling the current range of products; most of the goods are at the stage of decline in the life cycle; need for the most complete use of production facilities (due to their complete or partial downtime); high level of competition in the market for relevant goods and there are analogous goods (including imported ones)

that quickly capture the market; company purposefully reduces the risk of dependence on the market conditions for certain products, etc.

There are certain types of industrial diversification that are of the greatest importance for machine-building enterprises, which are reflected in the Figure 2.

Figure 2. Main types of diversification of production



Growth of the innovative potential of the enterprise in all areas of activity (goods, technologies, means of production and communications, marketing, etc.)

Today, each enterprise has a certain experience in introducing innovations (goods, technologies, materials, labor instruments, etc.), i.e. it has a certain innovative potential.

In the most general approach, the innovative potential of an enterprise should be understood as the ability to develop and implement various innovations that provide:

- improving the quality of manufactured goods (structures) based on the main technical and economic characteristics;
- expansion of the range of products by means of new types;
- introduction of new technological processes, equipment, materials, organizational forms of labor and management, etc.

The innovative activity of modern machine-building enterprises has many conditions for development, determined by:

- interest and financial support from the state and industry;
- financial well-being of the enterprises themselves, which have a sufficiently high level of self-financing;

- programs to stimulate scientific and technical developments in the field of mechanical engineering;
- presence and development of intellectual property.

The introduction of promising innovations provides the enterprise not only experience in their development, but also the prospect of their development for a long period of time. The more actively the development of various innovations at the enterprise takes place, the higher its innovative potential and its business activity is (Komarova, Zamkovi and Novikov, 2019).

Effective management of human resources based on professional development, modern means of labor motivation, taking into account its effectiveness.

The staff of enterprises is extremely important in the economy of any enterprise, since it largely determines the following: economic growth of enterprises for the production of competitive products in accordance with world achievements; development and implementation of a wide range of innovations: goods, technologies, methods of organizing production, use of modern means of labor; growth in labor productivity as an important factor in the intensification of production; introduction of innovative projects to update the material and technical base of production; increasing the efficiency of production and economic activities of enterprises in general; widespread use of the digital economy in their activities and other aspects.

Conducting an effective financial policy to ensure liquidity, solvency and financial stability of the enterprise.

Assessment of the financial condition of enterprises is an important component of its business activity, since it determines the level of their financial independence, the degree of loyalty of credit relations in the banking system and in relations with industry partners (Petrova, 2020). This problem is urgent because many enterprises have difficulties in replenishing working capital for development and are often not always able to repay the loans taken on time and in full, which greatly complicates the rhythm of production and sales of products.

In the process of financial and economic analysis we evaluate:

- rate of growth of the property of the enterprise, characterizing the expansion of economic activity, as well as the mobility of assets, which is determined by the ratio of non-current and circulating parts in the structure;
- level of liquidity of the company's assets, which largely determines the level of its solvency;
- level of financial stability, which is divided into absolute financial stability, normal, unstable financial position and crisis financial position;
- level of financial independence, which is mainly determined by the equity concentration ratio;
- financial indicators of business activity and efficiency of economic activity.

Improving the efficiency of enterprise cost management.

In the conditions of market competition, each manufacturer must commensurate his costs for the production and sale of products with the market opportunities, effective demand of buyers and costs of the main competitors. For this it is necessary to calculate and timely adjust the cost of goods, which can constantly change under the influence of internal production and external market factors (Kiselev, 2006).

In a modern economy, the efficiency of cost management is the determining element of the economic and financial policies of enterprises. The cost management process includes:

- planning, control and adjustment of the cost of all types of products;
- analysis of the structure of the cost of goods and its changes;
- determination of economies of scale of production in the production of technologically similar products for the optimal adjustment of pricing policy;
- study the impact of changes in inflation on costs and other aspects.

It is important to refract numerous changes in production through adjusting costs, which is extremely important for the development of a company's pricing policy for the future.

Ensuring competent and effective promotion of goods in the markets of relevant products.

The conditions for the accelerated development of the Russian economy are accompanied by a significant degree of uncertainty of market changes in the external environment of enterprises.

In this situation, a promising marketing task is not only taking into account these changes, but also, to a large extent, the impact on the external environment and active participation in its formation. When enterprises follow the laws of market orientation, they are forced to take into account the interests of not only direct customers (consumers) of products, but also intermediate customers and even competitors.

In the conditions of effective marketing, the enterprise closely interacts with the external environment, i.e. the market in the broadest sense of the word should be informed about the enterprise and its products, and the enterprise takes into account the specifics of the market conditions of individual manufactured goods to the maximum.

Marketing costs are very important for the activities of enterprises, since they directly affect the level of overhead costs, production costs and their financial results (Efimova and Melnik, 2009).

In general, the effectiveness of activities and costs associated with marketing can be determined by various factors and indicators, for example, growth of:

1. regular customers and buyers of products;
2. revenue from individual goods and enterprise as a whole;
3. profits from the sale of products by type and by enterprise;
4. relative reduction in unit costs associated with the implementation of marketing and other activities.

Growth of the business reputation of the company and positioning in the industry environment based on competitive advantages.

The market stability of an enterprise is determined by its ability to fairly quickly restructure to changes in market needs and market conditions, building up and demonstrating its competitive advantages in the industry environment.

The conclusions of the analysis of the market stability of the enterprise should contain the following main elements:

- to what extent the company is able to maintain its main specialization in an unstable economic environment and what are the main economic reasons and consequences of the changes that have occurred;
- to what extent the production potential of the enterprise is able to develop, update and modernize its products;

- what is the level of competitiveness of manufactured products in Russian market and is there potential for its increase;
- what competitive positions the company has achieved and what strategic goals the company can implement to strengthen or increase the achieved level;
- what is the financial stability of the enterprise and its stock, which is possible when building long-term plans;
- what are the potential adaptations of the enterprise to possible changes in the market conditions of goods, etc.

4. Discussion

In view of the urgent need for enterprises, first of all, the restoration of the level of economic activity to the pre-crisis level, there is a problem of the minimum period for carrying out the relevant measures, which is quite controversial. In these conditions each company individually assesses its damage and develops its own plan for returning to previously set goals.

The timing of bringing enterprises to the pre-crisis level today is quite difficult to determine, however, due to the qualifications and creative initiative of staff at the enterprises, planned calculations are already being made to adjust the production program for the next period of time, taking into account the intensification of business activity (Khotinskaya, 2018).

According to experts, the recovery period can last from 1 to 3 years (Dontsova, 2015).

Since modern machine-building enterprises have a high level of cooperation in production, their ability to overcome the crisis is directly related to the work of related enterprises to provide the necessary semi-finished products and components.

An important element of their activities is their regular production diversification, which can solve the problem of the fullest use of production capacities, as well as the employment of staff during the recovery period.

Debatable is the question of deepening specialization or using production diversification. Various researchers try to justify these methods from different angles. However, it is practically impossible to get an unambiguous answer to this question, since it depends on the development of the market conditions in new conditions and the accumulated experience in the production of the company's products (Khotinskaya, 2018).

The planned and implemented innovative projects of enterprises can be largely suspended or ranked according to the terms of development due to the limited or lack of funding.

The primary tasks of enterprises in the current conditions, requiring an integrated approach and increased business activity, should be considered: ensuring expedient planned work in the formation of the product range; consistent increase in the efficiency of the resources used and the enterprise as a whole; rational promotion of innovative projects outlined by the strategic plan; implementation of a competent marketing policy within a certain budget; maximum retention of staff; consistent advancement of the previously outlined social policy.

Conclusion

In the modern economy, business activity of enterprises is understood as the ability of an enterprise to achieve planned economic growth and development with the widespread use of the entire range of extensive and intensive methods to improve the efficiency of its activities.

In a detailed study of economic growth, the following areas for enterprises are often identified:

- time, which determines the dynamics of the most important indicators in time for the studied period of time, taking into account the rate of their change.
- industry, which determines the importance of an enterprise in the industry and the output of industry products;
- social, providing social guarantees to the employees of the enterprise when the macroeconomic conditions change (level of employment, crisis, inflation, etc.);
- innovative, in which a policy of improving the quality of products, their competitiveness, regular updating of technologies, means of labor, etc. is implemented.

When studying the business activity of enterprises, it is advisable to consider:

1. Planned growth and improvement of the material and technical base of production (fixed and circulating assets, staff).
2. Balance and consistent increase in the financial results of the enterprise.
3. Improving the efficiency of using all types of resources of the enterprise and its work as a whole, taking into account the use of extensive and intensive development factors.

4. Pursuing a policy of deepening specialization and diversification of production.
5. Growth of the innovative potential of the enterprise in all areas of activity (goods, technologies, means of production and communications, marketing, etc.).
6. Effective management of human resources based on advanced training, modern means of labor motivation, taking into account its effectiveness.
7. Conducting an effective financial policy to ensure liquidity, solvency and financial stability of the enterprise.
8. Improving the efficiency of enterprise cost management.
9. Ensuring competent and effective promotion of goods in the markets of relevant products.
10. Growth of the business reputation of the company and positioning in the industry environment based on competitive advantages.

The market stability of an enterprise is determined by its ability to fairly quickly restructure to changes in market needs and market conditions, building up and demonstrating its competitive advantages in the industry environment.

Market stability is manifested in the following indicators:

1. Maintaining industry specialization and consistently increasing market share for main products.
2. Dynamics of growth in the share of goods with a high level of competitiveness, confirmed by various awards and diplomas at industry exhibitions.
3. High level of self-financing of the enterprise development, i.e. the self-financing ratio exceeds 70%, while determining high development opportunities at the expense of its own funds and has investment attractiveness.
4. Active participation in national, regional, sectoral projects in promising areas of development of the country's economy on a competitive basis, etc.

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Public procurement in the healthcare sectors of Russia and EEUU

Marina V. Shmeleva *

ABSTRACT

The aim of the study is to analyze public procurement issues in the field of healthcare. Dialectical, logical, and comparative methods have been used. The author has studied the best practices of such procurement and conducted a comparative legal analysis of Russian and the US public procurement systems. The following results have been achieved: it has been found that public procurement in the healthcare sector is considered more complex than that in other sectors of the economy since there are more barriers and travails. This is because through healthcare public procurement the state purchases medical equipment and medications for state and municipal healthcare facilities. The author concludes that one of the main problems in the regulation of healthcare public procurement is that budget holders' supply agreements for medical equipment, medications, and medical products are often competition-free. Covering the efficiency of public procurement in Russia, the author highlights the main violations typical of the system at all levels (from regional authorities to municipal institutions). There are also some practical recommendations to improve Russian public procurement legislation.

KEYWORDS: Russian Federation; USA; health services; innovation behaviors; budgets.

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Contratación pública en los sectores sanitarios de Rusia y EEUU

RESUMEN

El objetivo del estudio es analizar cuestiones de contratación pública en el ámbito de la asistencia sanitaria. Se han utilizado métodos dialécticos, lógicos y comparativos. El autor ha estudiado las mejores prácticas de dicha contratación y ha realizado un análisis jurídico comparativo de los sistemas de contratación pública ruso y estadounidense. Se han logrado los siguientes resultados: se ha comprobado que la contratación pública en el sector sanitario se considera más compleja que la de otros sectores de la economía ya que existen más barreras y tribulaciones. Esto se debe a que a través de la contratación pública de atención médica, el Estado compra equipos médicos y medicamentos para los centros de salud estatales y municipales. El autor concluye que uno de los principales problemas en la regulación de la contratación pública de atención médica es que los acuerdos de suministro de equipos médicos, medicamentos y productos médicos de los titulares del presupuesto a menudo están libres de competencia. Al cubrir la eficiencia de la contratación pública en Rusia, el autor destaca las principales violaciones típicas del sistema a todos los niveles (desde las autoridades regionales hasta las instituciones municipales). También hay algunas recomendaciones prácticas para mejorar la legislación rusa en materia de contratación pública.

PALABRAS CLAVE: Federación de Rusia; Estados Unidos; servicios de salud; comportamientos de innovación; presupuestos.

Introduction

Medical services are a social good. That is why effective healthcare public procurement tools are extremely important. In the OECD countries, the public sector provides about three-quarters of the total health system funds. In a number of countries, for example, in Denmark, the UK, and Sweden, up to 80% of budgets at all levels are spent on health (OECD, 2013).

The main source of healthcare financing in any country is budget funds. Since each country bears the high cost of healthcare, the state is interested in making it more efficient through the procurement of high-quality goods, works and services.

Such violations as miscalculation of the agreement price, its incorrect justification, or the lack of its justification are numerous and costly for the state. As a rule, the vast majority

of the violations are associated with the purchase of high-tech medical equipment, modern medications for severe and rare diseases as well as foreign-sourced medical products.

The purpose of this study is to assess the efficiency of Russian healthcare public procurement and produce proposals for improving corresponding legislation. The results of the study provide valuable information for the state policy developers and implementers of national strategic plans in the healthcare system.

1. Research Methods

The study is based on general scientific methods. The comparative legal method has been used to analyze and compare the characteristics of procurement legislation in Russia and the US. Specific scientific methods have also been applied, e.g. the method of analysis has been used for collecting and summarizing the data from Russian and foreign studies together with the methods of deduction and classification.

2. Results and Discussion

Currently, the health systems of most countries of the world are facing daunting challenges even if their priority objective remains the same. The objective is to ensure an effective and sustainable healthcare system in the context of current and projected demographic changes and the needs of the population. The quality and efficiency of medical care and high standards of medical services have always been crucial. Of course, the quality and efficiency of medical care depends on medical equipment. Consequently, the equipment should be procured in a timely manner. This is a long-standing economic and procedural problem in many healthcare systems, which is evidenced by many reports on public procurement as well as scientific works of Russian and foreign researchers.

In recent decades, the health systems of many countries have solved many complicated problems. However, the process of demographic aging of the population requires the proper development of legal rules to maintain the healthcare system. It is also necessary to develop effective tools for public procurement. Today, population aging is leading to a decreased portion of working-age people per pensioner. Trends in health indicators among older people are mixed. Severe disabilities have been cut down in some countries but expanded in others. Mild disabilities and chronic morbidities are gradually increasing.

A decline in the number of able-bodied population will result in a shortage of financial inflows to healthcare systems. An aging population is more susceptible to numerous chronic diseases. Consequently, people will need more medical care. The need to procure high-quality medical equipment triggers strong pressures on the state budget.

In the future, the share of public health spending in GDP is expected to grow. This is also confirmed by the population aging forecasts by 2060. The main factors inducing this avalanche are the following: the demand for high-quality medical services, rising expectations, and steady technological progress.

In Russia, while procurement is being conducted, there are often violations on the part of the health management authorities. At the municipal level, healthcare procurement legislation is regularly violated by public authorities (health departments, ministries, or administrations). At the regional level, potential violators are the local authorities that manage and conduct procurement procedures.

Public inspections often reveal omissions on the part of healthcare duty holders. The omissions are expressed in the lack of control over the execution of agreements, improper registering of agreements, and escaping penalties for non-execution or improper execution of agreements.

At the level of the ultimate beneficiaries, i.e. public (state-owned) and municipal (state-owned) healthcare facilities, the range of procurement legislation violations is much wider. The scope of purchases made by those customers is very extensive: from the repair of medical facilities to the purchase of food for them.

The level of competition lags far behind most countries of the world, even though recently there have been many positive changes in the Russian healthcare public procurement legislation. In Russia, the low efficiency of public procurement stems from many factors, including the abuse of the lowest price criterion while conducting procurement, arrangements for public procurement without any preliminary study of how effective this procurement would be, etc. Nonetheless, public procurement procedures in the Russian healthcare system can get better and more efficient through the use of advanced diagnostic tests and treatment methods.

Up to the present, medical facility managers are likely to make agreements on terms, which are different from the ones specified in the procurement documents and approved by

the customer. There are also violations of the legislation related to the protocols on the results of the procurement procedures.

This is only a small sample of violations detected in the field of public procurement of medical services, medications, and equipment. Unfortunately, the current Russian legislation does not make it possible (as it has been planned by the legislators) to fully eliminate public and municipal agreements with suppliers, contractors, or implementers affiliated to customers. Thus, the Russian legislators failed to bring new, competitive and transparent relationships into public procurement.

At the same time, violations in the way medical equipment, medical products and medications are supplied have had true negative impact. For example, by extending the delivery time, suppliers unintentionally accelerate a patient's disease progression and provoke geographical, class and racial discrimination in the field of healthcare. Ensuring the supply of high-quality medical products is crucial to address the disparities in the spread of diseases and the related outcomes.

The main goal of each state, conducting procurement for healthcare facilities, is to purchase medical equipment and medications. But at the same time, the state solves other problems, e.g. supporting the development of competition and innovation, helping domestic manufacturers, etc. The regulatory function of the state in the field of public procurement is increasing not only in Russia, but also in the countries where private medical services are very well developed (Improving Public Procurement, 2012). Thus, when the directors of medical facilities conduct procurement, they face a bunch of tasks, including ensuring the quality of purchased medications, treatment tools, and equipment. They also get involved in developing competition, stimulating small and medium-sized businesses, and implementing the imports phase-out policy (Sirotkina and Skrebtsova, 2013).

Many Russian and foreign authors are engaged in research on the efficiency of public procurement. Their main goal is to study the determinants of public procurement and to find ways to make procurement procedures more efficient. As a rule, the contents of the studies is often contradictory. However, these works are rather valuable because they analyze and compare all the ways to solve emerging problems. Most studies analyze such factors as corruption, competitiveness, and transaction costs that affect the efficiency of public procurement (Huculová, 2018; Baldi and Vannoni, 2017; Ochrana and Maaytová, 2012).

“In the US, patients depend on medical supplies and prescription drugs, which are mainly produced by international companies located in Southeast Asia and Europe. With each US hospital sourcing these products alone, hospital procurement officers are running into a bewildering array of middlemen, international procurement rules, import quotas, and exorbitant freight charges. The quality of public procurement supplies is also a concern, as hospitals face unverified brokers and counterfeit goods. Moreover, as the crisis transitions into a chronic concern, the finances of hospitals, particularly those that serve the safety net, are now at risk. For some hospitals and communities, the purchasing of potentially needed supplies at exorbitant “crisis” prices can become an existential threat. Hospitals require many medical products including PPE and prescription drugs on a regular basis. Most hospitals maintain a procurement officer or department to manage their inventory and order when needed. They do this themselves or through their parent institution. While hospitals can source products themselves through wholesalers, most contract with group purchasing organizations (GPOs), such as Premier Inc. GPOs aggregate demand across many hospitals, buy supplies in bulk, and in many cases obtain better prices for products than individual hospitals can by themselves. In exchange, hospitals pay membership fees to GPOs. GPO memberships are rarely exclusive arrangements, and it is common for a hospital to be a member of multiple GPOs. GPO contracts feature characteristics that make them challenging partners for hospitals when there is a surge in demand or shortage in supply. First, larger purchasers of medical products, including regional/national hospitals, tend to receive preference over smaller hospitals in traditional GPO arrangements. This can lead to disparities in access across hospitals, even in the same city or country. Second, most GPO contracts do not contain “failure to supply” arrangements that would hold them accountable for failing to supply products that they are unable to procure and that hospitals require. This leaves hospitals to source needed products on their own.

Third, there are no product price guarantees in a typical GPO contract. This means that manufacturers of these products can and do charge prices above the contracted amount and what may seem reasonable when there is a surge in demand or in the prices of base products and ingredients. While US states have price gouging laws, cross-border federal laws fall under the umbrella of trade and tariffs and don't prohibit price gouging. Fourth,

GPO contracts do not guarantee the quality of products that they procure for hospitals. For some products, minimum quality standards set by regulators serve as a backstop. For example, the Food and Drug Administration (FDA) regulates the quality of most prescription drugs and maintains a database of approved PPE manufacturers as a resource to hospitals. However, many products procured by GPOs are not regulated by federal agencies, which incentivizes suppliers to maintain very low-quality standards or even cheat. There is also no public information about the quality of products sold by manufacturers. GPOs and wholesalers have no legal or contractual obligation to provide this information to their members” (Devaiah et al., 2020).

In our opinion, an important element of healthcare public procurement is innovation-oriented public procurement (IOPP). Among other tools, it is considered extremely effective, since it allows the state to act as a leading buyer, stimulating the innovative development of domestic companies and achieving social goals.

Innovative public procurement can be defined as the purchase by a medical facility of equipment and medications, which do not yet exist but can be produced by the supplier within a reasonable period. The equipment and medications are to be manufactured on the basis of additional or new research as well as science and technology.

In addition, innovative public procurement contributes to the development of innovations in many ways, e.g. through the use of new methods of treatment that are more effective and painless.

Innovative public procurement is being actively debated all over the world. Though this issue has been studied a lot in Europe, there are very few research papers on this issue in the US. Moreover, American public procurement primarily embraces innovations in the sphere of national defense and security. Most of the strategic procurement in the US is aimed at achieving social goals, e.g. environmental protection, energy conservation, and assistance to socially vulnerable groups.

Thus, the US government encourages the procurement and the development of innovative solutions to meet various social needs. However, a direct reference to the purchase of advanced technologies through federal procurement was found only in one US Executive Order No. 13834 of 17 May 2018. In this Executive Order, “the Congress has enacted a wide range of statutory requirements related to energy and environmental performance of

executive departments and agencies (agencies), including with respect to facilities, vehicles, and overall operations. It is the policy of the United States that agencies shall meet such statutory requirements in a manner that increases efficiency, optimizes performance, eliminates unnecessary use of resources, and protects the environment. In implementing this policy, each agency shall prioritize actions that reduce waste, cut costs, enhance the resilience of Federal infrastructure and operations, and enable more effective accomplishment of its mission” (Presidential Document by the Executive Office of the President, 2018).

Public procurement can be classified in different ways according to what is procured, for whom, and why.

On the first classification level, there is general and strategic procurement. Any public procurement implemented to meet the buying agency’s need for finished products refers to general public procurement. Procurement is considered strategic when the demand for certain technologies, products, or services is spurred in order to boost a certain market.

The next basis for classification is the forms of innovative public procurement. They depend on the level of promoted innovations. Development procurement refers to the acquisition of technologies that must be developed almost from scratch. Adaptive procurement refers to the acquisition of innovations, which are necessary to refine some specific technology when the basic technology already exists (Edquist, Hommen and Tsipouri, 2000).

Another classification of public procurement is based on the end-user of acquired goods, services, and works. Direct public procurement takes place when the final consumer of the things purchased is the Government itself. Cooperative public procurement is defined as joint purchasing, i.e. state-owned companies buy something jointly with private buyers. Afterward, both public and private parties use the purchased innovations. Catalytic public procurement happens when a public agency initiates a purchase, but afterward, the innovation is used exclusively by a private person.

On top of it, three main roles of innovative public procurement have been identified. The creation of a market occurs if there is no market for a procured technology. Market escalation is triggered when there is a stable market for the technology, but it requires further development to attain commercial success. Market consolidation helps to standardize the

criteria or technical specifications for the technology to be used in the public sector. This entails similar changes in the private sector.

Moreover, serious risks are provoked by restrictions related to public procurement of high-tech medical devices, for example, ultrasound machines. It should be noted that Russia has legislative restrictions for foreign suppliers on the delivery of medical devices and equipment. That is why not all the devices are equally good since in most cases only foreign equipment provides for quick and efficient diagnostics.

We believe it is really good that there are no such restrictions on foreign medications.

The reform of the Russian public procurement system has become an urgent issue in recent decades. It is also essential to realize that investing in innovations is an expensive and risky gamble. An emphasis on minimizing costs and risks in the procurement legislation may impede innovations. Similarly, the tightening of financial management can increase an administrative burden, which would keep the most innovative organizations away from participating in procurement.

The Russian procurement legislation is characterized by a pronounced antimonopoly orientation. Russian procurement procedures seem to be tailored only to one criterion, i.e. the low price. The rules that ban any limitations on the number of participants in procurement apply to almost all purchases in medical facilities, but special attention is paid to the procurement of medications under the Federal Law on the Contract System. Thus, in accordance with Article 33 (1) (6) of the Law, the procurement documents must reveal international unlicensed names of medical drugs. If the procured medications do not have such names, the documents must specify the chemical names and the grouping names of the medications. There are exceptions to this rule, i.e. there are cases where the legislation allows the procurement of medications under their trade names.

First, the procured medicinal product must be on the list of medications approved by the Government of the Russian Federation. The procedure for forming the list is defined by the Government Decree No. 1086 “On approval of the rules for forming the list of medications procured under their trade names and on amendments to the Regulation on the Government Commission on Public Health Protection” of 28 November 2013.

Second, the procurement of medications must be conducted through a request for proposals under Article 83 (2) (7) of the Law on the Contract System. The Article covers the

procurement of medications that are necessary for prescribing to a patient if there is a corresponding medical need determined by a decision of the medical commission.

Third, the Law restricts the amount of procured medications. It must not exceed the amount of medications needed by the patient during the treatment period.

Fourth, under Article 93 of the Law on the Contract System, the medication must be procured from a single source (supplier, implementer, or contractor).

The current Russian legislation requires customers to undertake marketing research to determine the availability of goods, services, or works, which could meet the customer's requirements, and procure them if necessary. For procurement of goods, services, and works, acquisition procedures and contract terms are simplified. This entails the simplification of procurement documentation and shortening the time for contract performance.

The Russian market for the supply of medications and medical equipment features strong consolidation in the healthcare sector. The public procurement market has become a specialized niche with a limited number of companies and a special range of goods, e.g. cancer drugs, insulin, antibiotics, etc. (Sokolov et al., 2013).

In the field of healthcare, Russian legislators provide for special rules aimed at boosting competition in the market of public procurement of pharmaceuticals. For example, Article 33 (1) (6) of the Law on the Contract System says that medications with the various international unlicensed names or in the absence of such names with chemical and grouping names cannot be a subject of one contract (one lot) provided that the initial (maximum) price of the contract (lot price) exceeds the limit value established by the Government of the Russian Federation.

Russia is taking measures to regulate the market of vital and essential medications due to the social significance of such medical products. Under Article 60 of the Federal Law "On the Circulation of Medicines" of 12 April 2010, the list of vital and essential medications is approved annually by an Order of the Government of the Russian Federation. The Law requires the state registration of the manufacturers' maximum ex-works prices for the medicinal products included in the list of vital and essential medications. By the same Law, executive authorities of the Russian Federation constituent entities are entitled to determine maximum wholesale and maximum retail mark-ups for vital and essential medications.

The Russian legislation on procurement for state needs prescribes rules for the purchase of medical products from the list of vital and essential medications. Under Article 31 (10) of the Federal Law on the Contract System, at the procurement of medications, which are included in the list of vital and essential ones, dismissal of the procurement participant from participation in determination of suppliers or refusal to conclude the contract with the winner of determination of suppliers is allowed at any time prior to conclusion of the contract if the customer finds out that the maximum sale price of medications offered by such procurement participant is not registered, or the price offered by such procurement participant exceeds maximum sale price (the procurement participant refuses to make it lower).

The medication must be described through converted measurements and registered in the Russian Federation. To convert the measurements, the customer has a right to use any applications and information, including those on the Internet.

According to the definition in Article 4 of the Federal Law “On the Circulation of Medicines”, a reference medical product is a medical product which is registered in the Russian Federation for the first time, whose quality, efficacy and safety are proved based on the results of preclinical trials. A generic medical product is a medical product, which has the same qualitative composition and quantitative composition of active substances in the same pharmaceutical form as a reference medical product, but appeared on the market later.

The problem of equivalence of generic medical products is relevant all over the world because the world market is full of medications from different manufacturers. In Russia, this issue is particularly urgent, since the pharmaceutical market is saturated with a large number of medications, and even taking into account the fact that the global consumption of generics is constantly growing (Yagudina, Arinina, and Kondratieva, 2013). Russia occupies one of the leading places with a 77% share of generics on the market. For example, in the United States, the share of generics is 12%, in Japan – 30%, in Germany – 35%, in France – about 50% (Presidium Meeting of the Government of the Russian Federation on the development of competition in the markets of air transportation and medicines, 2013). Moreover, several hundred medications from various manufacturers have been registered as having the same active substances.

The manufacturer of the reference medical product invests funds at all the stages of drug development, i.e. from the search for the active substance to the study of the most effective combinations with auxiliary substances, which eventually becomes a medication. Studies confirm the effectiveness and safety of the developed drug in specific pathologies. Pharmaceutical companies receive patent protection for it for a long period (up to 20 years or more), which allows them to compensate for the enormous costs of developing an innovative medication and promoting it on the market, paying for many years of work of highly paid specialists, clinical research and, of course, to earn income. Manufacturers change the composition, use less refined raw materials and auxiliary substances. The medication gets brought to the market often without having a single clinical study confirming its effectiveness and safety (Sirotkina and Skrebtsova, 2021).

The Russian Federal Antimonopoly Service considers that the drug form, the international unlicensed name, and its dosage are decisive for the buyer.

Thus, according to the Letter of the Federal Antimonopoly Service dated August 30, 2011, in accordance with Article 61 of the Law on the Circulation of Medicines, similar medicines are medicines with the same names, the same drug forms and the same dosages. The Federal Antimonopoly Service of Russia believes that similar medicines should be referred to as interchangeable medicines in the context of the Law on Protection of Competition. However, this approach contradicts the understanding of the therapeutic equivalence of medications.

However, there are exceptions. When there are differences in the amount and bioavailability of the active substance contained in the instructions for use, the drug form, the route, and other inconsistencies that the customer considers important for one reason or another. Such medications will not be considered interchangeable even within the framework of one international unlicensed name. This is evidenced by a number of Federal Antimonopoly Service regulations and court decisions.

After analyzing the explanations of the International Pharmaceutical Federation (FIP) and the International Federation of Pharmaceutical Manufacturers and Associations (IFPMA), it can be concluded that they focus on controlling therapy in the interests of patients, which means promoting adherence to a particular treatment. The aforementioned organizations draw attention to the fact that therapeutic equivalence must be proved for

each medication of each specific manufacturer, taking into account the fact that the generics containing the same active pharmaceutical substance are not therapeutically equivalent. Therefore, they are not interchangeable. This evidence should be based on scientifically sound data. A specific decision on the replacement of the medication should be based on medical specifics but can be based on the information provided in the relevant manual.

According to the Decree of the Russian Government No. 1380 in the description of the object of purchase, you must not specify:

- 1) The drug form (packaging), for example, a vial or a blister;
- 2) The requirements for the pharmacodynamics and/or the pharmacokinetics of the medication, for example, the start time, the manifestation of the maximum effect, and the duration of the medical product effect;
- 3) Other characteristics of medications contained in the instructions for the use of medicinal products that reveal their manufacturer.

Thus, the driving force should be the cooperation between suppliers and customers. Customers and suppliers will benefit from cooperation by identifying the best commercial practices and determining the need for their implementation.

Now, contracts, which are based on the results of procurement procedures, assume that customers fix their requirements for the purchased product, service, or work in the terms of reference. They determine in advance what they want. Consequently, there is a very limited opportunity for contractors to provide their own ideas. Therefore, it is necessary to introduce an innovative type of contract, which could be concluded at the early stages of product development.

Price is always an important factor in public procurement, but it cannot be decisive in innovative procurement. The search for the best value should become an essential factor when purchasing high-tech products. "Cost realism" should also be used to determine whether the overall concept makes sense to the customer.

The main results of the study include the following:

- 1) Proposals have been developed to improve the tools for healthcare public procurement;
- 2) The analysis of regulations on public procurement in Russia and the US has been carried out.

Conclusions

The public procurement system reform has become an urgent issue in recent decades. The study reflected the best practices in the sphere of public procurement, comparing them to the habitual practices of the Russian government.

The analysis of typical violations of procurement legislation in the field of healthcare shows that the requirements for mandatory and timely publication of information about the planned procurement, information about concluded and executed agreement, and the maintenance of procurement registers are not very well observed. Violations also happen when determining the procurement method. Illegal actions are often made by the procurement committees when determining the procurement winners. The committees are able to illegally prohibit a potential candidate from participation in procurement and reject his/her application. During inspections, cases of illegal requirements, being included by customers in the procurement documents, including those that establish administrative barriers and restrict competition, have been revealed.

As a result of the conducted research, we have found that in recent years, the concerns of limited budgetary financing and the problems of the public procurement system efficiency in the healthcare sector have become obvious. In this regard, it is important to build a more effective system of healthcare public procurement. As stated in some WHO reports, almost a fifth of health spending does not contribute to improving people's health and/or the contribution is not enough.

Reforming the public procurement system in the healthcare sector requires much time. In particular, it is necessary to more precisely regulate the procedure for conducting procurement in health care systems, aiming at spending less budget funds. At the same time hospitals are equipped with high-quality and modern medical equipment and medications. The solution to the problem is to conduct two-stage procurement procedures, where at the first stage the customer only places the task that he needs to be done, and suppliers would offer their own solutions. At the second stage, the procurement procedure should take place directly with the consideration and evaluation of applications. This can be a two-stage competition or a two-stage request for proposals.

There are also other serious problems in the healthcare system, such as the provision of fictitious bank guarantees, illegal changes introduced by the parties into the terms of

agreements as well as expanding the range of goods supplied, resulting in an increase in the contract price. There are still cases of improper performance by contractors (suppliers) of obligations stipulated in agreements in the absence of proper control by customers as well as their failure to take measures to impose penalties and terminate improper agreements.

We propose the following legislative changes that would help make the public procurement process in the healthcare sector more efficient:

1) To abandon the low price main criterion. In such procurement priority should be given to those goods, works, and services that meet the interests of therapeutic treatment of patients;

2) To conduct and stimulate procurement of innovative and high-tech goods, works and services;

3) To include the concept of “therapeutic equivalence of medications” in the legislation;

4) To create an information and analytical system for monitoring and controlling public procurement of medications that would meet modern requirements;

5) To provide for a special procurement procedure in the legislation to fight emergency threats like COVID 19.

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Evaluación de la ecoeficiencia en la municipalidad distrital José Crespo y Castillo, Perú

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RESUMEN

El objetivo de esta investigación fue evaluar la ecoeficiencia de la municipalidad distrital José Crespo y Castillo de Perú; para ello se elaboró una línea base y la formulación e implementación de indicadores para el plan de ecoeficiencia. La estandarización de los datos se realizó mediante la aplicación de máximos y mínimos. La ponderación de indicadores se estableció mediante el método Delphi y la validación de instrumentos fue por expertos. La elaboración del biograma se realizó en función a los índices de ecoeficiencia. Se obtuvieron resultados mayores a lo esperado en la etapa de planificación. También se conoció el estado en el que se encuentra la municipalidad distrital José Crespo y Castillo por medio del biograma, el cual resultó no ecoeficiente e inestable.

PALABRAS CLAVE: equilibrio ecológico; presupuesto del Estado; gasto público; administración.

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Evaluation of eco-efficiency in the district municipality of José Crespo y Castillo, Peru

ABSTRACT

The objective of this research was to evaluate the eco-efficiency of the district municipality José Crespo y Castillo de Perú; for this, a baseline was drawn up and indicators were formulated and implemented for the eco-efficiency plan. The standardization of the data was carried out by applying maximums and minimums. The weighting of indicators was established using the Delphi method and the instruments were validated by experts. The development of the biogram was carried out based on the eco-efficiency indices. Higher than expected results were obtained in the planning stage. The state in which the district municipality José Crespo y Castillo is located was also known through the biogram, which was not eco-efficient and unstable.

KEYWORDS: Ecological balance; State budget; public expenditure; administration

Introducción

La ecoeficiencia fue implantada por el Consejo Empresarial Mundial para el Desarrollo (con sus siglas en inglés WBCSD) en 1992, con el fin de generar bienes y servicios utilizando menos materia prima, y de esta forma generar menos residuos sólidos y emisión de gases (Sánchez, 2011). A nivel de Latinoamérica, las estrategias de ecoeficiencia han sido escasas; existen empresas transnacionales como el Banco Interamericano de Desarrollo (BID), que invierten para la aplicación de estas estrategias, lo que involucra contar con recurso financiero y apoyo material para la adquisición de tecnologías limpias y una gestión ambiental adecuada (Merlo y Cuesta, 2018).

En el Perú, los primeros avances en ecoeficiencia se dieron mediante la promulgación de la Ley N° 29289 “Ley de Presupuesto del sector público para el año fiscal 2009”, donde se indicaba que se deben tomar acciones ecoeficientes en los recursos de energía, agua, papel y combustibles. Después apareció el Decreto Supremo N°009-2009-MINAM [Ministerio del Ambiente], donde se menciona la adopción obligatoria de medidas de ecoeficiencia en las entidades del sector público, así como también las empresas que brindan servicios al Estado (Decreto Supremo N°009-2009-MINAM, 2009).

Sin embargo, las instituciones públicas -en su gran mayoría- aún no implementan lo dispuesto el D.S. N° 009 – 2009- MINAM, siendo una de ellas la municipalidad distrital José Crespo y Castillo, que no cuenta con estudios ni medidas en ecoeficiencia (Marrou y García, 2017; Municipalidad Provincial de El Dorado, 2016).

La ecoeficiencia ayuda a reducir costos de producción o servicios, lo que coadyuva en la competitividad, satisfacción de los clientes y eleva la calidad de vida de la población, minimizando los impactos ambientales; consecuentemente, la institución u organización es más rentable, responsable y sustentable (Advíncula et al., 2014).

Además, la ecoeficiencia es una herramienta que permite evaluar el funcionamiento ambiental de diferentes empresas, así como la generación de oportunidades de mejora ambiental (Rincón y Wellens, 2011), y es importante para la aplicación de instrumentos de gestión para el reciclaje y sistemas de eliminación de residuos (Sanguinetti et al., 2019; Marín y Ferrer, 2020).

En base a lo mencionado, el objetivo general de esta investigación fue evaluar la ecoeficiencia en la municipalidad distrital José Crespo y Castillo. En consecuencia, se trazaron los siguientes objetivos específicos: a) determinar los índices de ecoeficiencia; b) proponer un plan de medidas ecoeficientes para la municipalidad distrital José Crespo y Castillo.

1. Materiales y métodos

1.1. Ubicación

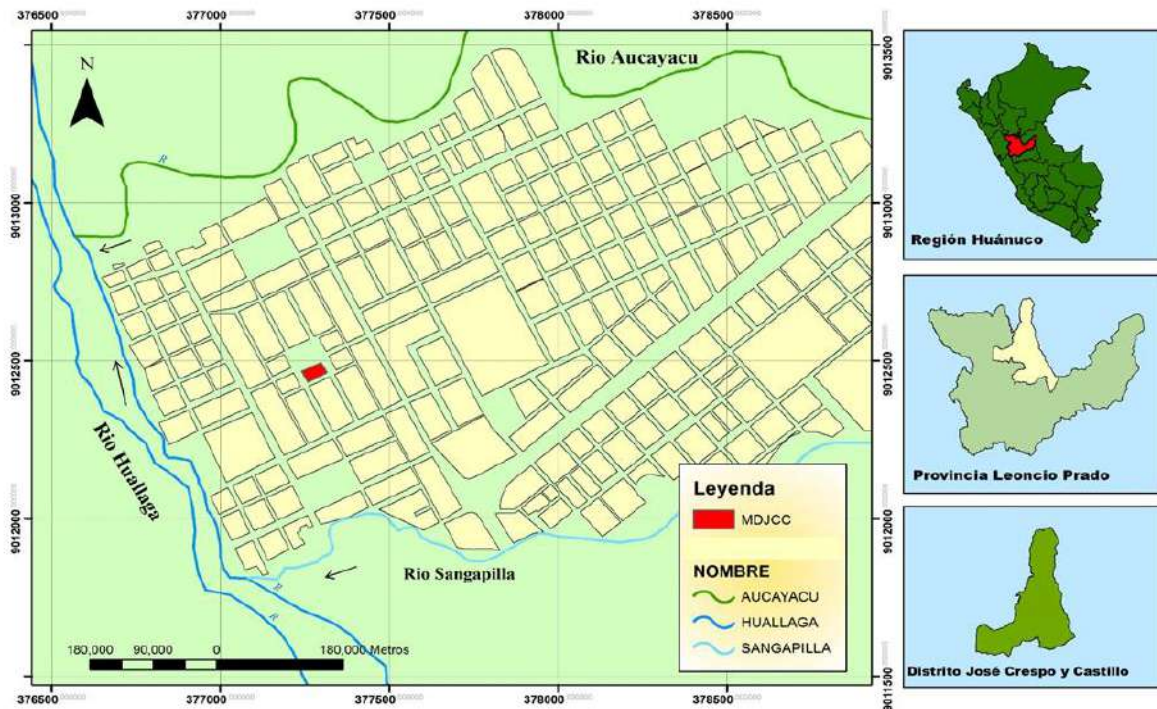
La investigación se desarrolló en la municipalidad distrital José Crespo y Castillo – Aucayacu, provincia de Leoncio Prado, región Huánuco, Perú (Figura 1).

1.2. Metodología

Para la determinación de la línea base se recopiló información correspondiente a un año, desde septiembre del 2015 hasta agosto del 2016. Se tuvo una población de 126 administrativos y se tomó como muestra a 95 para la aplicación de la encuesta. Rigiéndose por las fórmulas respectivas, se promedió el total de meses de la línea base dividida por el promedio de número de colaboradores de ese periodo. Se realizó el registro de indicadores de energía eléctrica, consumo de agua, los cuales fueron obtenidos por medio de las boletas de

consumo reportadas por las entidades como ELECTROCENTRO S.A y SEDA Huánuco S.A.; el resto de indicadores, como el consumo de combustibles, consumo de útiles de oficina, se obtuvieron a partir de la información brindada por las áreas de tesorería y logística de la municipalidad.

Figura 1. Mapa de ubicación de la municipalidad distrital José Crespo y Castillo



Estandarización de indicadores: Una vez seleccionados los indicadores, se definió su relación positiva o negativa con la eficiencia, para la cual se recurrió al método de máximos y mínimos (Di Pasquale y Balsa, 2017).

Niveles máximos y mínimos: Se calcularon los valores máximos y mínimos de cada indicador mediante la fórmula (1) de mínimos y fórmula (2) de máximos, respectivamente:

$$f(X)=(X-m)/(M-m) \tag{1}$$

$$f(X)=(X-M)/(m -M) \tag{2}$$

Dónde:

M = Es el nivel máximo en el periodo

m = Es el nivel mínimo en el periodo

X = valor correspondiente del indicador para unidad de análisis determinada en el período.

Mediante la utilización de estas fórmulas se obtuvieron índices individuales para el indicador, los cuales fluctuarán entre 0 y 1. Donde el valor 0 representa la peor situación del sistema y el valor 1 representa una relación positiva.

Ponderación de indicadores: Para obtener la ponderación de los indicadores de ecoeficiencia, se recurrió al método Delphi, para lo cual se realizaron dos consultas: la primera buscó conocer el grado de influencia de cada indicador a la ecoeficiencia; y la segunda buscó la convergencia de resultados con la finalidad de disminuir la dispersión, precisando la mediana para confirmar sus respuestas (Looor-Carvajal et al., 2020).

Se conformó un panel de expertos de 15 profesionales de diferentes instituciones, con conocimiento en ecoeficiencia, quienes dieron su opinión independiente a la importancia de cada indicador. Para la ponderación de los indicadores de ecoeficiencia se emplearon frecuencias absolutas y relativas acumuladas, con la fórmula (3).

$$fr_i = f_i/n \quad (3)$$

Dónde:

f_i = Número de veces de la muestra

n = Número total de observaciones

La suma de frecuencias relativas tiende a 1. Para interpretar las frecuencias relativas se multiplicó por 100 y se leyó en porcentaje (Levin y Rubin, 2004). Una vez determinados los factores de ponderación (pesos) se procedió a agregar todas las variables o sub indicadores en un indicador sintético. Habiendo estandarizado los indicadores, se ponderaron de acuerdo al nivel de importancia estipulado por el método de Delphi (fórmula 4).

$$SPE = \sum_{i=1}^n M_i \times P_i \quad (4)$$

Dónde:

M_i = Calidad ambiental del indicador (0 a 1)

P_i = Ponderación del indicador

1.3. Elaboración del biograma

Se utilizaron los resultados obtenidos en el cálculo del índice de ecoeficiencia (subíndices de todos los indicadores); estos se agregaron para obtener el índice integrado,

fórmula (5) del Índice de Ecoeficiencia, teniendo en cuenta las modificaciones planteadas por Zambrano (2014) y Casado (2014). La agregación consiste en sumar los índices de los indicadores de ecoeficiencia para cada unidad de análisis.

$$IE = \sum_{i=1}^n M_1 \times P_1 + M_2 \times P_2 + \dots \quad (5)$$

En el biograma se utilizaron cinco colores para caracterizar fácilmente el estado de desarrollo sostenible de la unidad de análisis (Figura 4).

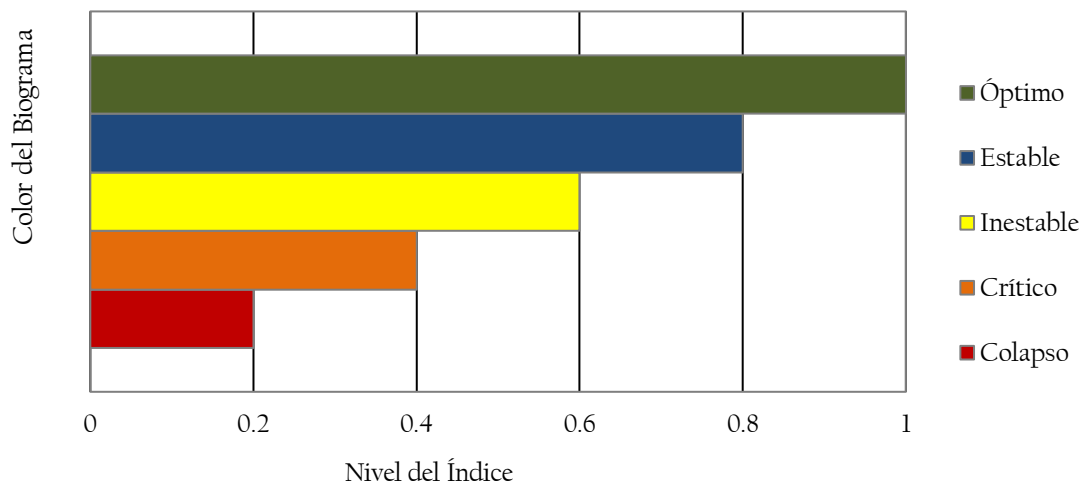


Figura 4. Biograma. Metodología para estimar el nivel de desarrollo sostenible de los territorios rurales (Sepúlveda, 2008).

1.4. Implementación del plan de medidas de ecoeficiencia

Para la etapa de implementación se contemplaron los planes de medidas de ecoeficiencia que fueron viables para cada indicador desarrollado en el diagnóstico, teniendo en cuenta la priorización de ellos.

Las oportunidades de mejora: Se describieron aquellas prácticas que son poco o nada ecoeficientes y que han sido identificadas dentro de la municipalidad.

Medidas ecoeficientes a implementar: Se describieron aquellas prácticas, mantenimiento o mejora tecnológica que deben realizarse dentro de la municipalidad, con la finalidad de cumplir con lo dispuesto en el D.S N° 009-2009-MINAM y su modificatoria D.S N° 011-2010-MINAM-Medidas de Ecoeficiencia para el Sector Público (MINAM, 2010).

Inversión en la medida ecoeficiente implementada: Se consideró el monto económico al cual asciende la implementación de las buenas prácticas, el mantenimiento o mejora tecnológica, expresado en soles.

Monitoreo del programa de ecoeficiencia: El monitoreo de los indicadores de desempeño se llevó a cabo según los criterios establecidos en la fase preparatoria de la implementación y el impacto de las medidas; se evaluó comparando los valores de los indicadores obtenidos a través del monitoreo, con los valores de referencia (indicadores medidos antes de la implementación de las medidas de ecoeficiencia).

Después de haber realizado la línea base de ecoeficiencia, se plantearon capacitaciones ambientales para las áreas administrativas en temas relacionadas a buenas prácticas ambientales y ecoeficiencia, de tal manera que los colaboradores tengan conocimientos, se motiven y adquieran compromiso con su municipalidad. Previamente se aplicó una evaluación de entrada y al culminar dicha capacitación se tomó una evaluación de salida, con la finalidad de ver si hubo un incremento en cuanto al conocimiento de datos.

Determinación de la efectividad de costos de las medidas ecoeficientes implementadas en la municipalidad distrital José Crespo y Castillo: Para la determinación de la relación costo/efectividad se tuvo en consideración la inversión realizada por la institución en los programas implementados; estos programas incluyen medidas ecoeficientes que fueron prioritarias.

1.5. Relación costo - efectividad

Es el indicador de decisión que muestra los resultados obtenidos por cada programa implementado (efectividad) y la inversión realizada por la institución en dicho programa (costo), que se obtuvo mediante la fórmula (6) de relación costo efectividad de las medidas ecoeficientes implementadas.

$$RCE = \frac{\text{Resultados obtenidos por medida implementada(\%)}}{\text{Costo de implementacion de la medida ecoeficiente(soles)}} \quad (6)$$

Dónde:

RCE = Relación costo/efectividad de la medida implementada

2. Resultados

2.1. Determinación de la línea base

En el Cuadro 1 se muestran los indicadores de desempeño para cada indicador determinado en la línea base.

Cuadro 1. Indicadores de desempeño de la línea base

Indicador	Sub indicador	Código	Unidad	Índice de desempeño
Consumo de energía eléctrica	Energía eléctrica	IDE	kWh/colaborador	50,14
Consumo de combustibles	Diésel	IDC	Gal/vehículo	330,24
	Gasolina 90			22,85
Consumo de agua	Agua	IDA	m3/colaborador	4,60
Consumo de útiles de oficina	Papel Bond	IDU	kg/colaborador	2,54
	Otros papeles y sobres			0,11
	Cartuchos y Tóneres			Unidad/colaborador
Generación de residuos sólidos	Papeles	IDRS	kg/colaborador	1,29
	Cartones			
	Plásticos			
	Vidrios			
	Tóneres			
	Metales			
	Orgánicos			
Otros				
Prácticas contrarias a la ecoeficiencia	Energía eléctrica	IPL	%	59,018
	Combustible			
	Agua			
	Útiles de oficina			
	Residuos sólidos			

2.2. Índice de ecoeficiencia en la municipalidad distrital José Crespo y Castillo

Código	Indicadores	Sub indicador	Sub índice	FP	SP	Total etapa	Índice
IDE	Consumo de energía eléctrica		0,36	0,18	0,07	0,07	
IDC	Consumo de combustibles	Diésel	0,40	0,17	0,06	0,07	
		Gasolina 90		0,17	0,07		
IDA	Consumo de agua		0,65	0,18	0,11	0,11	
IDU	Consumo de útiles de oficina	Papel bond	0,46	0,15	0,04	0,07	
		Otros papeles y sobres		0,15	0,08		
		Cartuchos y tóners		0,15	0,09		
IDRS	Generación de residuos sólidos	Papeles	0,53	0,17	0,13	0,09	0,49
		Cartones		0,17	0,13		
		Plásticos		0,17	0,05		
		Vidrios		0,17	0,16		
		Tóners		0,17	0,12		
		Metales		0,17	0,00		
		Orgánicos		0,17	0,11		
		Otros		0,17	0,00		
IDPL	Prácticas contrarias a la ecoeficiencia	Energía eléctrica	0,41	0,16	0,06	0,07	
		Combustible		0,16	0,08		
		Agua		0,16	0,05		
		Útiles de oficina		0,16	0,10		
		Residuos Sólidos		0,16	0,04		

Tabla 2. Cálculo del índice de ecoeficiencia

FP=Factor de ponderación; SP= Subíndice ponderado

El índice de ecoeficiencia fue de 0,49, lo que permite clasificar a la municipalidad distrital José Crespo y Castillo como no eficiente y encontrándose en niveles inestables en el uso de sus recursos (Tabla 2).

2.3. Estado del sistema de la municipalidad distrital José Crespo y Castillo

Los resultados arrojaron que el índice fue de 0,49, valor que se encontró en el intervalo 0,4 – 0,6, que corresponde a un sistema inestable, de color amarillo (Sepúlveda, 2008).

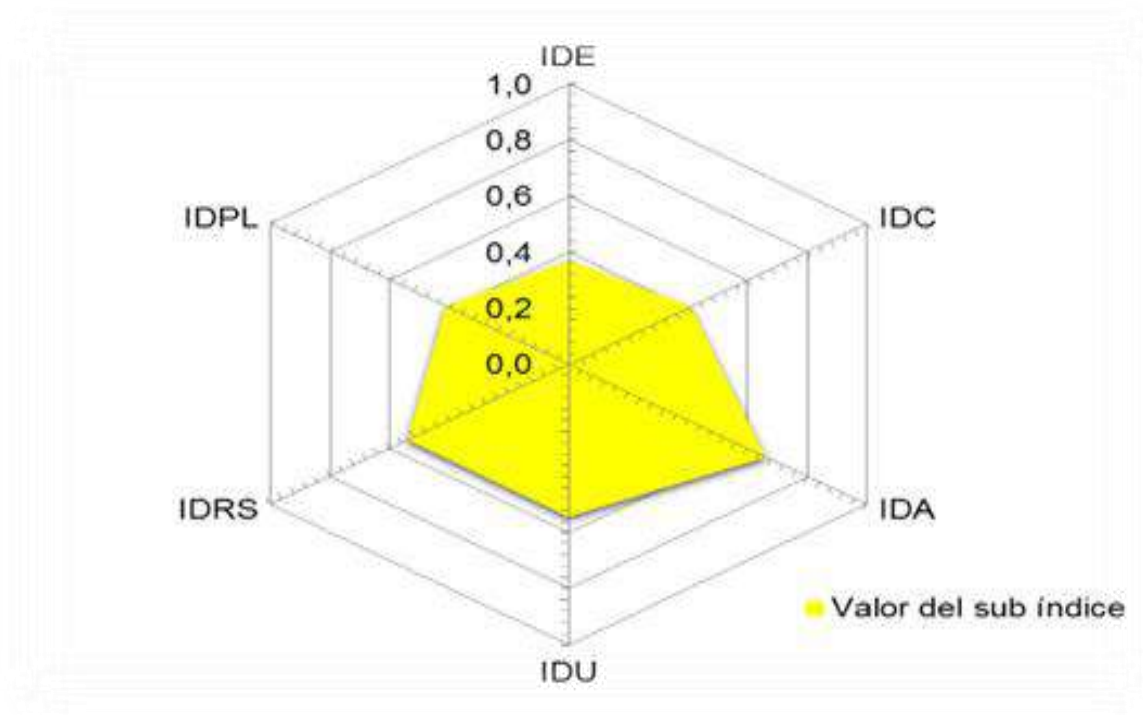


Figura 2. Biograma construido con valores de los subíndices

2.4. Plan de medidas de ecoeficiencia en la municipalidad distrital José Crespo y Castillo

En el Cuadro 3 se muestra la medida ecoeficiente propuesta y los costos de inversión por la municipalidad. Se encontró que la asignación económica a estas medidas (buenas prácticas y mantenimiento) fue de cero soles; esto se debe a que los gastos fueron asumidos por los investigadores.

Cuadro 3. Plan de medidas de ecoeficiencia

N°	Medida de ecoeficiencia implementada	Priorización	Inversión (S/)	Avance
Energía eléctrica				
1	Apagar los equipos electrónicos cuando no se tenga prevista su inmediata utilización			
2	Programar pantallas de las computadoras en modo de ahorro de energía, que permita apagar automáticamente el monitor sin perder información y al movimiento del mouse se vuelva a activar.	Alta	0	Alta
3	Usar el aire acondicionado con las ventanas cerradas.			
4	Charlas al personal sobre eficiencia energética.			
Combustible				
5	Estabilización en el consumo de gasolina de 90 y diésel			
6	Programar mantenimientos y supervisiones preventivas.	Alta	0	Alta
Consumo de agua				
7	Reducción del consumo de agua			
8	Charlas al personal sobre uso y ahorro del agua	Alta	0	Alta
Útiles de oficina				
9	Charlas informativas sobre el uso racional de útiles de oficina.			
10	Asignar a cada trabajador una cantidad máxima de impresiones y fotocopias.			
10	Racionalización de útiles de oficinas a las diferentes áreas			
11	Reutilizar las hojas impresas por una cara y que no tienen valor, como hojas de borrador.	Alta	0	Alta
12	Instruir al personal en revisar los documentos en forma virtual con el uso de opción control de cambios.			
13	Utilizar el modo "borrador" en la impresión de los documentos de trabajo que sea indispensable imprimir.			

Generación de residuos sólidos

14	Difundir los alcances del programa de segregación y elaborar charlas informativas.			
15	Sensibilizar a los colaboradores en temas de manejo de residuos sólidos.	Alta	0	Alta
16	Capacitación de todo el personal en temas de ecoeficiencia y manejo de residuos sólidos.			
17	Gestión de residuos con propósitos de venta			

2.5. Resultados de la implementación de las actividades de educación ambiental para los colaboradores de la municipalidad distrital José Crespo y Castillo

Los resultados (figura 3) indicaron un incremento de las notas en la prueba de salida representada por la línea amarilla, donde en su mayoría fueron aprobatorias, en comparación a la prueba de entrada donde las notas fueron desaprobatorias, representadas por la línea roja. La cantidad de asistentes a la capacitación fue de 29 colaboradores municipales, en su mayoría personal nombrado de la institución.

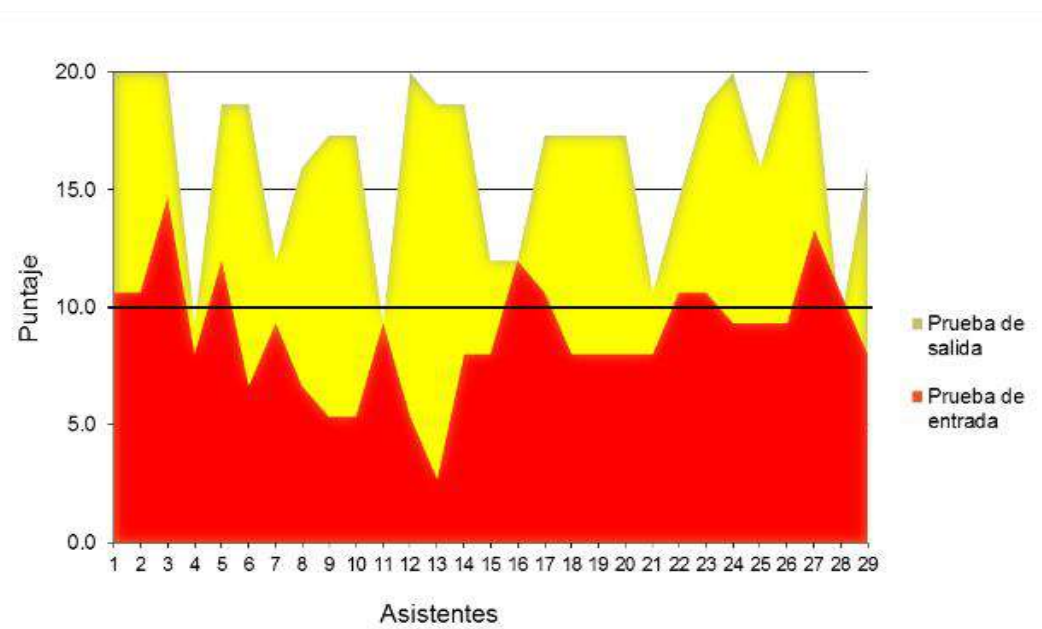
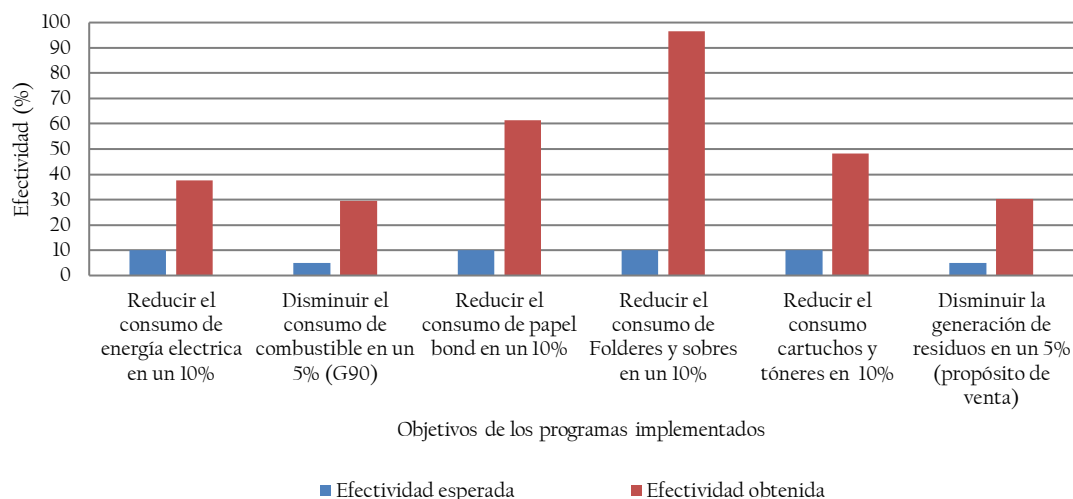


Figura 3. Resultados de la prueba de entrada y salida

En la figura 4 se presentan los objetivos de los costos implementados, así como la efectividad obtenida después de 5 meses de haberse implementado el plan de ecoeficiencia.

Figura 4. Efectividad de los programas implementados



La Figura 5 muestra que la implementación del plan de ecoeficiencia generó ahorros superiores a los planteados en la etapa de formulación del plan de ecoeficiencia.

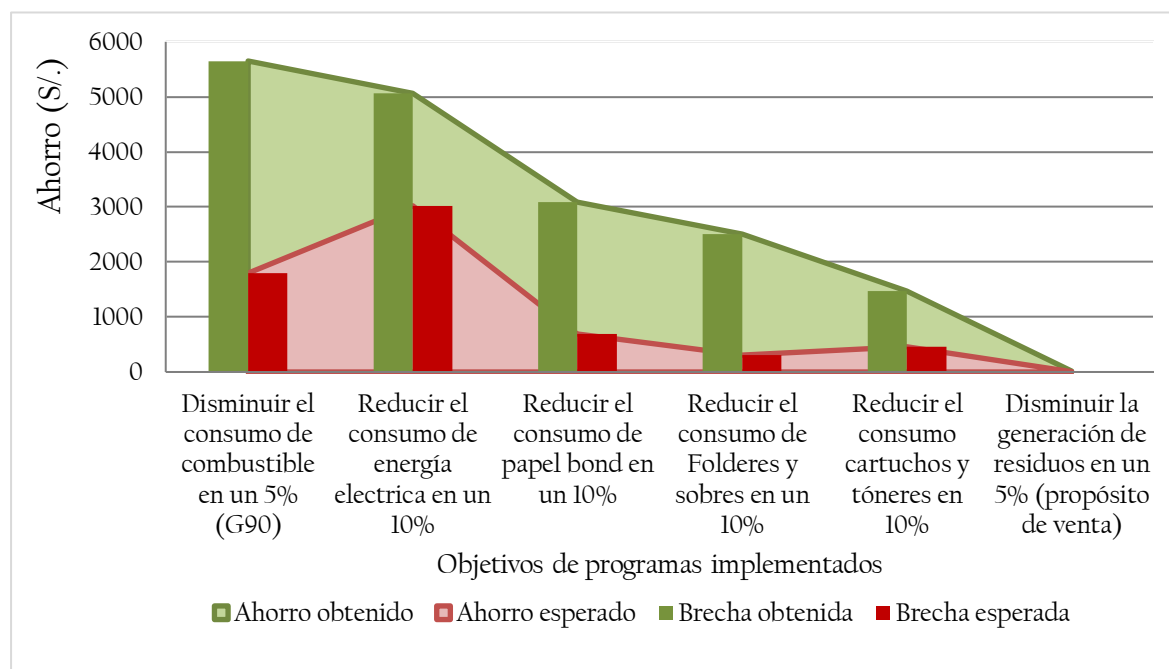


Figura 5. Ahorros generados por el plan de ecoeficiencia, 2015 – 2016

3. Discusión

El desempeño del consumo de energía eléctrica fue de 50,14 kWh/colaborador, el cual es muy inferior a lo reportado por el Ministerio del Ambiente (MINAM, 2016) en su informe anual de instituciones ecoeficientes de 1039,56 kWh/colaborador. El plan de ecoeficiencia de la municipalidad provincial de Leoncio Prado reportó para este indicador un costo promedio de S/ 10 438,40 mensuales (Municipalidad Provincial de Leoncio Prado [MPLP], 2017), en comparación con lo obtenido en la línea base para la municipalidad distrital de José Crespo y Castillo, que pagó por este servicio un monto promedio de S/ 4 762,90. La emisión de CO₂ equivalente, estuvo de manera indirecta con el consumo de energía eléctrica; este reporte nos permite conocer cuánto de este gas de efecto invernadero se emite a la atmósfera (una de las políticas de calidad ambiental que busca el Ministerio del Ambiente es reducir la contaminación ambiental según lo estipulado en el Decreto Supremo N° 009- 2009 – MINAM). Lo que se busca con la obtención de este dato es generar políticas educativas dentro de la institución para así fomentar conocimientos y actitudes en temas de consumo responsable de energía.

El indicador de desempeño de agua (4,60 m³/colaborador) es inferior a lo presentado en el informe de instituciones públicas ecoeficientes, cuyo valor es 34,43 m³ por colaborador (MINAM, 2016). La municipalidad distrital José Crespo y Castillo paga por el servicio de agua potable la suma promedio por mes de S/ 535,25, a diferencia de la Municipalidad Provincial de Leoncio Prado cuya suma por pago de este servicio es de S/ 2 904,25 mensualmente. Cabe señalar que la cantidad de personal en la municipalidad de José Crespo y Castillo es menor, pues solo cuenta con 95 colaboradores a diferencia de Leoncio Prado que cuenta con 349 colaboradores (MPLP, 2017). Los resultados obtenidos para el indicador de desempeño en el consumo de útiles de oficina, muestran que la municipalidad distrital José Crespo y Castillo mensualmente gasta alrededor de 52,27 millares de papel bond, 19,33 tintas de impresión y tóneres, a diferencia de la provincia cuyos valores para el consumo de útiles de escritorio son 58 millares de papel bond, 12 tintas para impresora y 34 tóneres, detallados en su plan de ecoeficiencia para el año 2016. En este sentido, es importante el desarrollo de planes e indicadores de consumo en las entidades (Heras-Saizarbitoria et al., 2020).

Los indicadores que necesitaron priorización fueron los de combustible, útiles de escritorio y generación de residuos sólidos, los cuales obtuvieron un mayor porcentaje en sus respuestas negativas, a diferencia del indicador consumo de agua que dentro del conjunto de indicadores planteados se encontró estable, siendo la priorización en temas de buenas prácticas de consumo de agua complementarias o de carácter informativo. El valor del índice, luego de la ponderación, resultó igual a 0,49; este valor es inferior al obtenido por Casado (2014) (0,51), pero permaneciendo en el mismo intervalo clasificado como un estado inestable, según Sepúlveda (2008). El ahorro de agua en las instituciones es de suma importancia y debe ser una prioridad hacia la integración del ciclo de vida (Lam et al., 2017).

Las oportunidades de mejora guardan relación con el manejo de recursos por parte de la institución; la elaboración y ejecución del plan de ecoeficiencia incrementará la competitividad de la institución y se reducirá los impactos al ambiente (MINAM, 2016). Estas oportunidades forman parte del proceso de la mejora continua, generando estrategias dentro de las instituciones con la finalidad de cumplir actividades ecoeficientes (Fagnani & Guimarães, 2017).

El reemplazo de equipos energéticos dentro de la institución, también considerada como medida ecológica, fue propuesto en el marco del cumplimiento del Decreto Supremo N° 004-2016-EM, que establece el cambio de equipos eléctricos por aquellos con un menor consumo. La municipalidad distrital José Crespo y Castillo cuenta en su mayoría con equipos energéticos ahorradores que se encuentran en óptimas condiciones. Las actividades de educación ambiental fueron implementadas con la finalidad de que los colaboradores alcancen una concepción del medio ambiente y del desarrollo sostenible (Márquez et al., 2021).

Los mayores valores en la relación costo – efectividad se encontraron en el programa de reducción del consumo de útiles de oficina. Todos los programas implementados tuvieron la misma inversión (S/500,00); el ahorro generado en 5 meses desde la implementación del plan fue de S/17 795,17 logrados con los programas implementados, siendo el programa de reducción en el consumo de útiles de escritorio el que presentó un mayor ahorro, menor tiempo en el retorno de la inversión y una mayor relación costo – efectividad.

Conclusiones

La línea base de ecoeficiencia para la municipalidad distrital José Crespo y Castillo permitió la elaboración del índice de ecoeficiencia con un valor de 0,49, determinándose que la municipalidad de José Crespo y Castillo no es ecoeficiente. Así mismo, el biograma para la representación gráfica del índice de ecoeficiencia indicó que es un sistema inestable. Con la capacitación ambiental a los colaboradores, se logró disminuir el consumo de recursos lográndose ahorrar S/ 17 795,14. La relación costo – efectividad demuestra que la implementación de un plan de medidas de ecoeficiencia no solo brinda una disminución en el consumo de recursos, sino también influye de manera directa el disminuir costos directos y convertirlos en ahorro.

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Presupuesto participativo por resultados y la toma de decisiones en municipalidades de Chiclayo

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RESUMEN

El presente estudio tuvo como propósito establecer el nivel de relación existente entre presupuesto participativo por resultados y toma de decisiones en la asignación y ejecución de proyectos de las municipalidades de la provincia de Chiclayo, 2019. La investigación fue descriptiva correlacional. La muestra estuvo conformada por los pobladores de cuatro municipalidades distritales más significativas de la provincia de Chiclayo: Chiclayo, La Victoria, José Leonardo Ortiz y Pimentel. La técnica empleada para la recolección de la información fue la encuesta; y el instrumento, el cuestionario para la evaluación del presupuesto participativo y toma de decisiones. Se realizó un análisis descriptivo y un análisis inferencial, para probar la hipótesis de investigación, mediante la técnica estadística de correlación de Pearson. Los resultados encontrados indican que existe una correlación entre el presupuesto participativo y toma de decisiones. En conclusión, la toma de decisiones que se realice para la ejecución de las obras será eficiente, una vez que el presupuesto participativo es concebido y aplicado como un instrumento de política y de gestión eficiente, mediante el cual las autoridades regionales y locales, y las organizaciones de la población debidamente representadas, definen un conjunto de acciones debidamente planificadas, con la finalidad de orientar los recursos de dicho presupuesto.

PALABRAS CLAVE: Presupuesto de Estado; participación social; proyectos de desarrollo; gestión.

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Participatory budgeting for results and decision-making in Chiclayo municipalities

ABSTRACT

The purpose of this study was to establish the level of relationship between participatory budgeting by results and decision-making in the assignment and execution of projects of the municipalities of the province of Chiclayo, 2019. The research was descriptive and correlational. The sample was made up of the residents of four most significant district municipalities in the province of Chiclayo: Chiclayo, La Victoria, José Leonardo Ortiz and Pimentel. The technique used to collect the information was the survey; and the instrument, the questionnaire for the evaluation of the participatory budget and decision-making. Descriptive analysis and inferential analysis were carried out to test the research hypothesis, using Pearson's statistical correlation technique. The results found indicate that there is a correlation between participatory budgeting and decision making. In conclusion, the decision-making that is carried out for the execution of the works will be efficient, once the participatory budget is conceived and applied as an instrument of efficient policy and management, through which the regional and local authorities, and the Duly represented population organizations define a set of duly planned actions, in order to direct the resources of said budget.

KEYWORDS: state budget; social participation; development projects; management.

Introducción

El presupuesto público es una herramienta importante para que el Estado cumpla su función esencial de dotar de servicios a la población, a través de la administración pública. En Perú, a partir de la dación de la Ley marco de presupuesto participativo N° 28056 (2003), se implementan mecanismos para una asignación con características de ser equitativa, racional, eficiente y transparente, que permitan robustecer las relaciones entre el Estado y la Sociedad Civil, otorgando facultades a los que dirigen las organizaciones de tal forma que intervengan directamente en priorizar la inversión pública (Quispe et al, 2021), y participen en mecanismos de control y fiscalización, supervisando que se cumplan con los compromisos asumidos, alentar que se rindan cuentas claras, promoviendo el fortalecimiento de capacidades.

Durante los últimos años, en varios países latinoamericanos se vienen implementando cambios medulares en los modelos de gestión, los cuales permiten orientar de mejor manera

el desempeño de la administración pública, teniendo como fundamento los resultados; también el fortalecimiento de sistemas que permitan desarrollar acciones de seguimiento y evaluación, mejorando la calidad del gasto público, el mejor desenvolvimiento de las instituciones y el impacto de las políticas públicas (Córdova, 2000).

En la actualidad se privilegia la administración que permita comprometer a los ciudadanos para obtener excelentes resultados en la rendición de cuentas, en contraposición al mero control en la aplicación de normativas y procedimientos.

En México, Arellano (2011) refiere que, a causa de una improductiva interferencia política, uso y abuso de excesiva normatividad, nulo o casi nulo apoyo por la innovación y la poca capacidad para adaptación a los cambios, los gestores públicos han visto debilitado su trabajo. Debido a la ausencia de instrumentos sustanciales como indicadores que midan un real desempeño, evaluaciones de procesos y procedimientos, fondos concursables, programas de mejoramiento de gestión y balances, se ha convenido proponer integrar todos ellos en el proceso presupuestario (Guzmán, 2014).

En Perú, las iniciativas de gestión por resultados son muy incipientes, dispersas y con poca o nula coordinación entre las organizaciones que tienen que ver con la administración pública; ello pone en riesgo desarrollar acciones que apoyen la consistencia y coherencia necesaria de la gestión. Los Convenios de Gestión de la PCM, de Administración por Resultados del MEF, de Gestión del FONAFE y los Acuerdos de Gestión en el sector salud, se han convertido en iniciativas como instrumentos de gestión; pero, lamentablemente carecen de la articulación y coordinación que permitan la planificación y evaluación de la gestión pública. El contexto organizacional de la administración pública en el Perú, desfavorece la orientación en la gestión hacia resultados; así, entre otros elementos, se evidencia precariedad en las áreas de: planificación, evaluación de la gestión pública y rendición de cuentas públicas (Kontz, 2014).

Asimismo, se observa que tanto en las actividades de programación como en las de ejecución, existen serios desajustes acorde con la realidad; hay un evidente divorcio de los objetivos estratégicos de los planes de desarrollo concertados por el Estado y la Sociedad Civil; en la población, las deficiencias son más sentidas por la ausencia de resultados palpables. Si bien el Ministerio de Economía y Finanzas, considera un aspecto importante la cobertura lograda, también reconoce que hay muchos limitantes que han dado paso al

incumplimiento en la ejecución de obras de gran envergadura a nivel nacional; a lo cual se debe agregar el incumplimiento de los acuerdos de funcionarios del estado, la ausencia de compromiso político y la nula priorización de la inversión.

Distintas investigaciones y análisis realizados dan cuenta que el presupuesto, tal como se desarrolla en la actualidad, tiene una tarea pendiente: lograr consolidarse como un adecuado instrumento en la gestión, que permita promover provisión importante de los bienes de orden público, para el logro de resultados que beneficien a la comunidad. Al respecto, existen limitaciones, entre estas: la débil articulación entre el planeamiento y el presupuesto; la normatividad abundante que genera rigidez en la gestión; el marcado énfasis en la gestión financiera; compromisos laborales que generan muchos problemas en las asignaciones de las partidas presupuestarias; deficiencia en la evaluación del desempeño que determine si se logran o no los objetivos previstos; toma de decisiones que no se sustentan en evaluaciones significativas (Secretaría de Gestión Pública. Presidencia del Consejo de Ministros del Perú, 2021). Los diferentes instrumentos se encuentran desarticulados al no contar con instancias de coordinación sistemática; es por ello que aspectos como evaluación y planificación, siempre aparecen en niveles muy por debajo de los promedios regionales.

En Perú, las municipalidades distritales -como órganos de gobierno local- se rigen por presupuestos participativos que se brindan de manera anual. Sin embargo, al momento de invertir, los gobiernos locales priorizan el cuánto se destina en actividades y proyectos que se van a ejecutar, pero no se enfocan en la inversión de actividades que beneficien a poblaciones específicas, como por ejemplo las vulnerables. Los recursos, por tanto, no son utilizados de manera racional.

Así mismo, el Ministerio de Economía y Finanzas, sin considerar criterios importantes de evaluación sobre los resultados que beneficien a la población, solamente asigna recursos presupuestales para el desarrollo de programas sociales, como por ejemplo: el programa del vaso de leche, comedores del PRONAA, Programa de Alimentos Nutricionales, sin que se generen los resultados esperados.

Diversas investigaciones concluyen que la participación de los ciudadanos en la conducción de sus comunidades, por ende, de su bienestar, se ha convertido un componente determinante para las administraciones públicas de los países (Del Giorgio & Girotto, 2020) En Chile se ha verificado que el éxito de las diversas políticas públicas tiene que ver con la

inclusión de los ciudadanos en la gestión gubernamental (Pinochet, 2017). En Colombia, Quintero (2013) concluye que el conocimiento previo para implementar el presupuesto participativo evita las dificultades técnicas y complejas para su ejecución. La generación de estudios sobre participación, destaca los efectos positivos de los llamados casos paradigmáticos y la duda de replicación en casos emblemáticos no resueltos en Porto Alegre y Belo Horizonte (Vallejos, 2014).

En el marco del empoderamiento del ciudadano para supervisar, vigilar y verificar las acciones de la gestión pública, la Contraloría General de la República peruana promueve con mayor dinámica su participación (Meza, 2018). Así también, Bringas (2014) encontró que el presupuesto participativo influye de manera directa en la eficiencia y eficacia del manejo de los recursos públicos municipales, ya que su aplicación debe efectuarse en el marco de un diagnóstico que facilite la evaluación de la problemática de cada sector, apoyando de esta manera a priorizar las necesidades de la población, permitiendo identificar adecuadamente la cantidad y el uso apropiado de los recursos necesarios para obtener los resultados, de tal manera que se cumplan los objetivos planeados. Anampa (2018) asiente que el proceso participativo presupuestal ha contribuido para que las comunidades tengan una cultura participativa, ejerciendo acciones que aportan al impulso de la gobernabilidad.

El presupuesto participativo es un mecanismo que asigna de manera equitativa, racional, eficiente, eficaz y transparente los recursos públicos, que fortalece las relaciones Estado – Sociedad civil (Ley 28056, 2003). El presupuesto participativo es considerado por Ruiz, (2016) como “un mecanismo que se promueve para que la comunidad participe de manera directa en la toma de decisiones, y así involucrarla en la gestión del desarrollo de su comunidad, contribuyendo, además con fortalecer su cultura democrática, partiendo de una relación basada en la transparencia entre los actores comprometidos en el proceso”. Barbarán y Rioja (2019), sostienen que “es una técnica abierta hacia determinados sectores de la administración pública o de la población beneficiaria, estableciéndose acuerdos en cuanto a la aplicación de los recursos y plazos establecidos”. Es un mecanismo de participación social que permite, desde los habitantes de una comunidad hasta una nación, a organizarse con un presupuesto propio que permita conocer los ingresos y los gastos, decidiendo sobre dicho presupuesto, convirtiéndose en ente de evaluación y control. También se define como un

sistema de formulación del presupuesto público, como un acto democrático de administrar las urbes, como proceso político que le da poder de decisión al ciudadano.

En el Perú, la Ley Marco de Presupuesto Participativo N° 28056 (2003) establece los principios rectores del presupuesto participativo, a saber: participación, transparencia, igualdad, tolerancia, eficacia y eficiencia, equidad, competitividad, respeto a los acuerdos; también define las instancias de participación, las fases del proceso participativo, la oficialización de los compromisos y los mecanismos de vigilancia participativa. La misma ley de presupuesto participativo resalta la importancia de capacitar a los agentes que participan de las instancias del presupuesto participativo.

Cohaila (2009) afirma que es importante poder identificar a los principales actores del presupuesto participativo y determinar la función que les compete a cada uno: consejo de coordinación regional, local, municipal; los representantes de la sociedad civil y de las entidades del gobierno nacional; el equipo técnico que participa con voz, pero no con voto.

El tomar decisiones en la administración equivale principalmente a la resolución de inconvenientes en el mando empresarial. Los diagnósticos de problemas, las búsquedas y las evaluaciones de alternativas y la elección final de una decisión, constituyen las etapas básicas en el proceso de toma de decisiones y resolución de problemas. La toma de decisiones es considerada la elección que se hace entre varias alternativas (León, citado por Gutiérrez, 2014), la identificación y resolución de problemas que se presentan en todas las organizaciones (Le Moigne, citado por Gutiérrez 2014).

Las decisiones no son iguales, ni producen las mismas consecuencias, ni tampoco su adopción es de idéntica relevancia; por ello, Rodríguez, (2017) afirma que existen distintos tipos de decisiones. Para su clasificación destacaremos las más representativas: decisiones estratégicas dadas por los altos directivos; tácticas o de pilotaje tomadas por directivos intermedios; y operativas adoptadas por ejecutivos de nivel más inferior.

En este sentido, el presente artículo aborda el estudio del siguiente problema: ¿De qué manera el Presupuesto Participativo por Resultados se relaciona en la toma de decisiones de asignación y ejecución de proyectos de las municipalidades distritales de la provincia de Chiclayo, 2019? Se pretende, en cuanto a objetivo general: establecer el nivel de relación existente entre presupuesto participativo por resultados y toma de decisiones en la asignación y ejecución de proyectos de las municipalidades de la provincia de Chiclayo, 2019.

Este objetivo contiene tres objetivos específicos: Identificar las características emergentes que tiene la toma de decisiones en la asignación y ejecución de los recursos públicos a través de proyectos de las municipalidades; identificar los factores influyentes en la relación entre presupuesto participativo por resultados y toma de decisiones; y determinar la existencia de una relación significativa entre presupuesto participativo por resultados y la toma de decisiones de la asignación y ejecución de proyectos.

1. Material y método

La investigación fue de tipo descriptivo correlacional, y diseño no experimental. La población estuvo constituida por los pobladores (representantes y población de los diferentes grupos sociales territoriales, organizaciones de la sociedad civil) de las municipalidades distritales de la Provincia de Chiclayo, la cual posee 20 distritos. Para la selección de los distritos, se aplicó el muestreo no probabilístico intencional, seleccionándose cuatro municipalidades distritales, las más representativas de la Provincia de Chiclayo, que son: Chiclayo, La Victoria, José Leonardo Ortiz y Pimentel. Para seleccionar el total de la muestra en los cuatro distritos, se aplicó el muestreo probabilístico estratificado, y para la obtención de la muestra por cada distrito, se empleó el muestreo aleatorio simple (MAS), quedando conformada cada muestra por distrito de la siguiente manera: Chiclayo: 305 pobladores; José Leonardo Ortiz: 183 pobladores; La Victoria: 84 pobladores; Pimentel: 30 pobladores; haciendo un total de 602 pobladores.

La encuesta fue la técnica empleada para la recolección de datos para ambas variables. El instrumento fue el cuestionario. El cuestionario de la variable presupuesto participativo, estuvo constituida por 18 preguntas; y el cuestionario toma de decisiones, 12 preguntas. Las preguntas para ambos cuestionarios, fueron de tipo cerrada, con respuesta (alternativa) en escala Likert, con 5 categorías: muy en desacuerdo = MD; en desacuerdo = ED; ni de acuerdo, ni en desacuerdo=NAND; de acuerdo = DA; muy de acuerdo = MA. Los cuestionarios fueron validados por juicio de expertos en el tema de estudio, teniendo en cuenta el marco teórico, y la operacionalización de las variables (dimensiones e indicadores).

Para el análisis de datos se empleó el software Excel y SPSS. Se realizó un análisis descriptivo, consistente en la elaboración de tablas y gráficos de distribución de frecuencias de doble entrada (tablas de contingencia) y estadísticas de tendencia central y de dispersión. El análisis inferencial se realizó mediante la prueba de Correlación de Pearson, la cual evalúa

el grado de relación o interdependencia entre variables cuantitativas. Esta prueba se realizó para probar la hipótesis de investigación.

2. Resultados

2.1. Análisis descriptivo del presupuesto participativo

Con la finalidad de realizar un análisis descriptivo de la variable presupuesto participativo, se presenta un conjunto de tablas y gráficos de distribución de frecuencias de doble entrada (tablas de contingencia), por cada dimensión de esta variable: dimensión financiera, participativa, normativa y jurídica legal, y territorial. Cada tabla y gráfico (figura) clasifica a los pobladores, según municipalidad distrital y nivel de opinión (escala de Lickert).

2.1.1. Dimensión financiera

Tabla 1. *Distribución adecuada de los recursos en su localidad.*

Escala	Chiclayo	José Leonardo Ortiz	La Victoria	Pimentel	Total
Muy en desacuerdo	0 0,0%	11 1,8%	2 0,3%	0 0,0%	13 2,2%
En desacuerdo	139 23,1%	70 11,6%	21 3,5%	11 1,8%	241 40,0%
Ni de acuerdo, ni en desacuerdo	22 3,7%	55 9,1%	32 5,3%	1 0,2%	110 18,3%
De acuerdo	144 23,9%	44 7,3%	28 4,7%	18 3,0%	234 38,9%
Muy de acuerdo	0 0,0%	3 0,5%	1 0,2%	0 0,0%	4 0,7%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de presupuesto participativo.

Con respecto a que qué tan de acuerdo están con los recursos asignados en el Presupuesto Participativo (tabla 1), se observa que un 40,0% de los contribuyentes de los cuatro distritos afirman estar en desacuerdo con tal asignación, mientras un 38,9% afirman estar de acuerdo.

2.1.2. Dimensión participativa

Tabla 2. *Pertinencia adecuada de la participación ciudadana en el Presupuesto Participativo.*

Escala	Chiclayo	José Leonardo Ortiz	La Victoria	Pimentel	Total
Muy en desacuerdo	8 1,3%	6 1,0%	0 0,0%	0 0,0%	14 2,3%
En desacuerdo	69 11,5%	10 1,7%	4 0,7%	2 0,3%	85 14,1%
Ni de acuerdo, ni en desacuerdo	66 11,0%	32 5,3%	3 0,5%	0 0,0%	101 16,8%
De acuerdo	162 26,9%	122 20,3%	71 11,8%	28 4,7%	383 63,6%
Muy de acuerdo	0 0,0%	13 2,2%	6 1,0%	0 0,0%	19 3,2%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de presupuesto participativo.

En cuanto a si se considera pertinente la participación ciudadana en el Presupuesto Participativo (tabla 2), un 63,6 % del total de contribuyentes afirma estar de acuerdo con que exista una participación por parte de la ciudadanía; en cambio un 14,1% afirma estar en desacuerdo con dicha actividad.

2.1.3. Dimensión normativa y jurídica legal

Tabla 3. *El proceso de formalización y legalización del Presupuesto Participativo en la localidad cumple con la normativa legal establecida.*

Escala	Chiclayo	José Leonardo Ortiz	La Victoria	Pimentel	Total
Muy en desacuerdo	6 1,0%	34 5,6%	6 1,0%	0 0,0%	46 7,6%
En desacuerdo	77 12,8%	59 9,8%	54 9,0%	29 4,8%	219 36,4%
Ni de acuerdo, ni en desacuerdo	49 8,1%	61 10,1%	18 3,0%	1 0,2%	129 21,4%
De acuerdo	173 28,7%	25 4,2%	6 1,0%	0 0,0%	204 33,9%
Muy de acuerdo	0 0,0%	4 0,7%	0 0,0%	0 0,0%	4 0,7%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de presupuesto participativo.

En lo referido a si el proceso de formalización y legalización del Presupuesto Participativo en la localidad cumple con la normativa legal establecida (tabla 3), un 36,4% del total de contribuyentes encuestados afirmaron estar en desacuerdo, un 21,4% no estuvieron de acuerdo, ni en desacuerdo; en cambio un 33,9% afirmaron estar de acuerdo con dicho proceso.

2.1.4. Dimensión territorial

Tabla 4. Existencia de descentralización en la asignación del Presupuesto Participativo

Escala	Chiclayo	José Leonardo Ortiz	La Victoria	Pimentel	Total
Muy en desacuerdo	0 0,0%	14 2,3%	3 0,5%	0 0,0%	17 2,8%
En desacuerdo	214 35,5%	40 6,6%	43 7,1%	24 4,0%	321 53,3%
Ni de acuerdo, ni en desacuerdo	74 12,3%	103 17,1%	23 3,8%	6 1,0%	206 34,2%
De acuerdo	14 2,3%	26 4,3%	15 2,5%	0 0,0%	55 9,1%
Muy de acuerdo	3 0,5%	0 0,0%	0 0,0%	0 0,0%	3 0,5%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de presupuesto participativo.

En lo que se refiere al proceso de descentralización en la asignación del Presupuesto Participativo (tabla 4), un 53,3% del total de encuestados afirmaron encontrarse en desacuerdo con este proceso, en cambio un 9,1% afirmaron estar de acuerdo. Cabe señalar que un 34,2% de los encuestados no estuvieron de acuerdo, ni en desacuerdo con dicho proceso.

2.2. Análisis descriptivo de toma de decisiones

Para realizar el análisis descriptivo de la variable toma de decisiones, al igual que el análisis de la variable presupuesto participativo, se elaboraron tablas y gráficos de distribución de frecuencias de doble entrada.

Tabla 5. Forma como participa la ciudadana en la toma de decisiones del presupuesto participativo.

Escala	José				Total
	Chiclayo	Leonardo Ortiz	La Victoria	Pimentel	
Muy en desacuerdo	57 9,5%	26 4,3%	10 1,7%	12 2,0%	105 17,4%
En desacuerdo	107 17,8%	77 12,8%	46 7,6%	12 2,0%	242 40,2%
Ni de acuerdo, ni en desacuerdo	71 11,8%	29 4,8%	20 3,3%	2 0,3%	122 20,3%
De acuerdo	55 9,1%	41 6,8%	8 1,3%	2 0,3%	106 17,6%
Muy de acuerdo	15 2,5%	10 1,7%	0 0,0%	2 0,3%	27 4,5%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de toma de decisiones.

Con respecto a la forma de participación ciudadana en la toma de decisiones (tabla 5), se observa que un 40,2% de los encuestados en los 4 distritos, afirman estar en desacuerdo con dicha participación; un 17,4% afirma estar muy en desacuerdo. En cambio, un 17,6% y 4,5% opina respectivamente, estar de acuerdo y muy de acuerdo.

Tabla 6. El alcalde y los funcionarios de la municipalidad, toman decisiones teniendo en cuenta la consulta de los agentes participantes.

Escala	José				Total
	Chiclayo	Leonardo Ortiz	La Victoria	Pimentel	
Muy en desacuerdo	32 5,3%	51 8,5%	12 2,0%	12 2,0%	107 17,8%
En desacuerdo	171 28,4%	93 15,4%	57 9,5%	13 2,2%	334 55,5%
Ni de acuerdo, ni en desacuerdo	53 8,8%	21 3,5%	8 1,3%	0 0,0%	82 13,6%
De acuerdo	37 6,1%	15 2,5%	5 0,8%	4 0,7%	61 10,1%
Muy de acuerdo	12 2,0%	3 0,5%	2 0,3%	1 0,2%	18 3,0%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de toma de decisiones.

En la tabla 6 se observa la consulta a los encuestados, para conocer si consideran que el alcalde y los funcionarios de la municipalidad toman decisiones teniendo en cuenta la consulta de los agentes participantes: un 55,5% de los encuestados afirmaron estar en desacuerdo, y un 17,8% muy en desacuerdo con dicha actividad. En cambio, un 10,1% y un 3,0% opinaron respectivamente, estar de acuerdo y muy de acuerdo.

Tabla 7. *El presupuesto participativo es base para una buena toma de decisiones municipales.*

Escala	José				Total
	Chiclayo	Leonardo Ortiz	La Victoria	Pimentel	
Muy en desacuerdo	56 9,3%	44 7,3%	15 2,5%	11 1,8%	126 20,9%
En desacuerdo	172 28,6%	111 18,4%	64 10,6%	16 2,7%	363 60,3%
Ni de acuerdo, ni en desacuerdo	43 7,1%	14 2,3%	4 0,7%	2 0,3%	63 10,5%
De acuerdo	29 4,8%	10 1,7%	1 0,2%	1 0,2%	41 6,8%
Muy de acuerdo	5 0,8%	4 0,7%	0 0,0%	0 0,0%	9 1,5%
Total	305 50,7%	183 30,4%	84 14,0%	30 5,0%	602 100,0%

Fuente: Base de datos del cuestionario de toma de decisiones.

En lo que respecta a si se considera que el presupuesto participativo es base para una buena toma de decisiones municipales, se observa en la tabla 7 que del total de encuestados, un 60,3% y un 20,9% de los encuestados afirmaron, respectivamente, estar en desacuerdo y muy en desacuerdo con esta manera de tomar decisiones.

2.3. Presentación de estadísticas descriptivas

Este análisis corresponde también al análisis descriptivo de las variables en estudio, y tiene como finalidad describir a través de diferentes indicadores estadísticos (medidas estadísticas de tendencia central y dispersión) las variables presupuesto participativo y toma de decisiones.

Tabla 8. Estadísticas descriptivas de la evaluación del presupuesto participativo y toma de decisiones. Distritos de Chiclayo, José Leonardo Ortiz, La Victoria y Pimentel, 2019.

Estadísticas		Presupuesto participativo	Toma de decisiones
N	Válido	602	602
	Perdidos	0	0
Media		51,17	35,47
Mediana		51,00	36,00
Moda		49	34
Desviación estándar		5,316	2,847
Mínimo		30	26
Máximo		69	45

Fuente: Base de datos de los cuestionarios de presupuesto participativo y toma de decisiones.

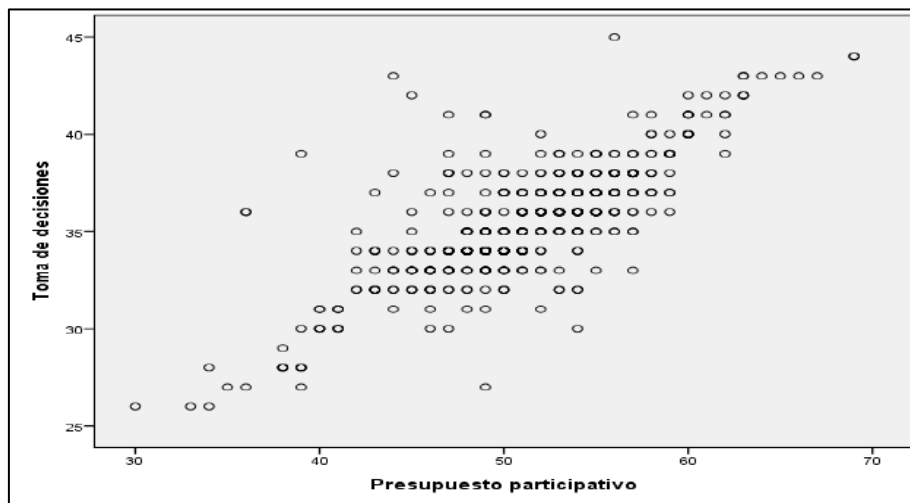
En la tabla 8 se aprecian las estadísticas descriptivas (medidas) de tendencia central y dispersión, en la que se observa en cuanto al presupuesto participativo que el puntaje mínimo y máximo en la evaluación de esta variable, por parte de los encuestados, fue 30 y 69 puntos; siendo el puntaje promedio 51,17 puntos. El valor de la mediana nos indica que el 50% de los encuestados, calificaron al presupuesto participativo en menos de 51,00 puntos. La moda, nos indica que el puntaje más frecuente en la evaluación del presupuesto participativo fue 49 puntos. La medida de dispersión, desviación estándar, nos indica que los puntajes en la evaluación del presupuesto participativo se desvían en 5,316 puntos del puntaje promedio.

En lo referente a toma de decisiones, el puntaje mínimo y máximo, en la evaluación de esta variable, fue 26 y 45 puntos, siendo el puntaje promedio 35,47. El valor de la mediana, nos indica que el 50% de los encuestados calificaron a la toma de decisiones en menos de 36,00. El valor modal, nos indica que el puntaje más frecuente en la evaluación de la toma de toma de decisiones fue 34. La desviación estándar muestra que los puntajes en la evaluación de la toma de decisiones se desvían en 2,847 de su puntaje promedio.

2.4. Análisis de correlación

Este procedimiento estadístico se realizó con el propósito de responder a la pregunta de investigación y demostrar la hipótesis de estudio. En primer lugar, se elaboró el diagrama de dispersión con la finalidad de observar el comportamiento de los datos (puntos) y verificar el tipo de relación que existe entre las variables. También, se presenta la prueba de hipótesis para la correlación, mediante la técnica estadística de Pearson.

Figura 1. Diagrama de dispersión



El diagrama de dispersión (nube de puntos, Figura 1), permite observar que a medida que aumentan los puntajes en la evaluación del presupuesto participativo, los puntajes de toma de decisiones también aumentan; evidenciando una correlación significativa positiva.

2.5. Prueba de hipótesis para la correlación

Esta prueba se realizó con la finalidad de probar la hipótesis de investigación: *Existe una relación significativa entre presupuesto participativo por resultados y la toma de decisiones en la asignación y ejecución de proyectos.*

Procedimiento:

1. Planteamiento de hipótesis estadísticas:
 $H_0: \rho = 0$ (No existe asociación significativa entre presupuesto participativo y toma de decisiones)
 $H_1: \rho \neq 0$ (Existe asociación significativa entre presupuesto participativo y toma de decisiones)
2. Nivel de significancia: $\alpha = 0,05$
3. Regla de decisión: Si $p\text{-valor} \geq \alpha \rightarrow$ Se acepta H_0
Si $p\text{-valor} < \alpha \rightarrow$ Se H_0 se rechaza

Tabla 9. Prueba de correlación de Pearson.

Variables		Presupuesto participativo	Toma de decisiones
Presupuesto participativo	Correlación de Pearson	1	,783**
	Sig. (bilateral)		,000
	N	602	602
Toma de decisiones	Correlación de Pearson	,783**	1
	Sig. (bilateral)	,000	
	N	602	602

F**. Correlación significativa en el nivel 0,01 (bilateral).

En la tabla 9 se presenta el análisis de correlación entre el presupuesto participativo y toma de decisiones, en la que se observa que el p-valor (Sig. (Bilateral)) = 0,000 es menor al nivel de significación ($\alpha = 0,05$); por lo tanto, de acuerdo a la regla de decisión, se rechaza la hipótesis nula (H_0) y se concluye que existe correlación significativa fuerte y directa ($r = 0,783^{**}$) entre presupuesto participativo y toma de decisiones.

3. Discusión

El propósito del estudio consistió en determinar de qué manera el presupuesto participativo por resultados se relaciona con la toma de decisiones en las municipalidades de la provincia de Chiclayo, 2019. Para el logro de dicho objetivo, se realizó un estudio descriptivo para analizar la gestión del presupuesto participativo y la toma de decisiones por los funcionarios municipales y la población involucrada. De igual manera, se realizó un estudio inferencial consistente en determinar el nivel de relación entre las variables en estudio, a través de la prueba de correlación de Pearson.

El análisis descriptivo del presupuesto participativo evidenció deficiencias en el proceso de planificación y gestión, en lo que respecta a la dimensión financiera, participativa, normativa y jurídica legal, así como la territorial. Estudios realizados en la Municipalidad de Independencia, corroboran estos resultados, encontrándose que la gestión del presupuesto por resultado estaba en un nivel regular con 75.5% (Córdova, 2020); igualmente en la Municipalidad Distrital de Querecotillo, donde la gestión del presupuesto participativo fue calificada como regular (55%) (Reyes, 2020). La falta de conocimiento y manejo de los diferentes procesos de gestión de los actores del proceso del presupuesto participativo, dificulta el logro de los objetivos o metas propuestas en los proyectos. En el caso de la

participación civil, la problemática se presenta por la falta de una adecuada organización y priorización de intereses en función de resultados del colectivo, teniendo en cuenta los objetivos del Plan de Desarrollo Concertado (Bravo, 2019).

En el transcurso de la investigación, se identificaron las dificultades para realizar una buena gestión del presupuesto participativo: la baja eficiencia en la asignación y ejecución de los recursos públicos, de acuerdo a las prioridades que se consideran en el plan de desarrollo concertado. La falta de participación de los representantes de la organización civil, no fortalece la relación entre la Municipalidad y las instituciones civiles; no se establecen formas democráticas en los procesos de gestión a desarrollar, para cumplir con los objetivos estratégicos del plan de desarrollo concertado. Esta nula o escasa participación ciudadana representa un factor determinante para las administraciones públicas, dado que la participación de los ciudadanos en la gestión gubernamental asegura el éxito de las diversas políticas públicas. Sin embargo, se ha evidenciado en los últimos años la poca participación ciudadana en la gestión pública local del país (Pinochet, 2017). Las políticas nacionales de Presupuesto Participativo no han tenido un éxito generalizado, que promueva la participación ciudadana a nivel local, la transparencia fiscal, ni gobiernos municipales eficientes (Goldfrank, 2016). Un informe sobre Cultura Cívica en la Ciudad de México en 2017, refleja que un 64% de los participantes manifestó desconocer para qué sirven los mecanismos de participación ciudadana (Comités Ciudadanos y Consejos de los Pueblos) (Larrosa y Bermúdez, 2019).

En lo que se refiere al análisis descriptivo de la toma de decisiones, los resultados revelan dificultades relacionadas con la falta de involucramiento y participación ciudadana, falta de criterios: técnicos, políticos y legales; lo que acarrea tomar decisiones bajo riesgo en la ejecución de las obras públicas. La falta de participación ciudadana no permite una adecuada formulación del Presupuesto Participativo, lo que origina una deficiente toma de decisiones en todos los procesos y procedimientos que se desarrollan en la planificación y ejecución de los proyectos. Esta situación problemática se corrobora con lo encontrado en el nivel de toma de decisiones en la municipalidad de Sullana, Piura, donde el grupo de estudio calificó la evaluación de toma de decisiones como medio (50%); situación diferente se presentó en la Municipalidad Provincial de Requena, donde el proceso de toma de decisiones se viene desarrollando de manera adecuada, ya que los directivos poseen las suficientes

competencias, controlando y analizando de manera regular las decisiones tomadas (Amias y Amasifuen, 2020).

Uno de los grandes factores asociados a una gestión eficiente, es la participación ciudadana relacionada con involucramiento en las diferentes acciones a desarrollar en el presupuesto participativo. Al ser consultada la población de los distritos muestreados, se pudo encontrar que un 63,6% de la muestra afirmó estar de acuerdo con la participación ciudadana en el presupuesto participativo. Para el caso de la transparencia de la conformación del Consejo Participativo, un 66,8% de la población afirmó estar en desacuerdo como se realiza; otro aspecto importante de los resultados encontrados es la falta de participación de las mujeres, donde un 72,3% de los ciudadanos encuestados afirmaron que estaban de acuerdo con dicha participación. Estos resultados se relacionan con el propósito de la Contraloría General de la República, institución que asume la participación ciudadana como mecanismo de vigilancia y denuncia, a fin de que se tomen decisiones de índole correctivos (Meza, 2018).

La participación ciudadana es el factor fundamental en una adecuada gestión del presupuesto participativo y la toma de decisiones. Los estudios realizados evidencian este aspecto, como lo realizado en México, donde se resalta el ejemplo de los presupuestos públicos participativos como elementos que contribuyen en la consolidación y mejora de la calidad de la democracia, pero cuyo impacto (tal y como lo revelan los ejercicios de Presupuesto Participativo en la Ciudad de México) es aún incipiente (Valverde, Gutiérrez, y García, 2013). La participación ciudadana se ha vuelto un factor determinante para las administraciones públicas, pues asegura el éxito de las diversas políticas públicas. Sin embargo, se ha evidenciado en los últimos años la poca participación ciudadana en la gestión pública local del país (Pinochet, 2017).

El análisis correlacional evidenció la existencia de un nivel de asociación positivo significativo entre las variables presupuesto participativo y toma de decisiones, con un coeficiente de correlación de 0,783**. De igual manera, la prueba de hipótesis para la correlación lineal simple, confirmó que existe asociación significativa entre las variables consideradas en el estudio, ya que la significación bilateral (0,000) resultó ser menor al nivel de significación 0,05. Estos resultados se corroboran con otro estudio, donde se demostró que el coeficiente de relación de Pearson indica una relación significativa fuerte entre la

variable independiente y dependiente, lo que demuestra que el diseño de un plan estratégico socializado va a contribuir a una mejor toma de decisiones (Castañeda, 2021).

Otros estudios realizados confirman la relación entre las variables de estudio de esta investigación. En la Municipalidad de Independencia, los resultados inferenciales indican que existe relación positiva considerable entre presupuesto participativo y gestión por resultado, lo cual se demuestra con la significancia bilateral o valor equivalente a $0.00 < 0.05$ y el coeficiente de correlación de Spearman de 0.681 (Córdova, 2020). El estudio realizado en la Municipalidad de Querotillo, corrobora lo encontrado en el presente estudio, pues se demostró la existencia de una relación altamente significativa entre la participación ciudadana y la gestión del presupuesto participativo de la municipalidad, con un coeficiente de correlación de Pearson de 0,799, entre variables (Reyes, 2020). De la misma manera, el estudio realizado por Carbajal, determinó que existen evidencias suficientes para afirmar que el presupuesto participativo tiene relación positiva considerable ($Rho = ,730$) y significativa (p valor = 0.000 menor que 0.05) con la ejecución de obras en la provincia de Huaraz, 2018 (Carbajal, 2018).

Conclusiones

Se determinó que la toma de decisiones que se realice para la ejecución de las obras será eficiente, siempre y cuando el presupuesto participativo sea concebido y aplicado como un instrumento de política y de gestión eficiente, mediante el cual las autoridades locales y regionales, y la población debidamente organizada y representada, definan un conjunto de acciones debidamente planificadas, con el propósito de orientar los recursos de dicho presupuesto.

El análisis del aspecto financiero del presupuesto participativo, relacionado con la asignación y distribución de los recursos, el porcentaje del presupuesto municipal, la rendición de cuentas y la recaudación fiscal, evidenció que este proceso presenta grandes deficiencias en su ejecución en Chiclayo.

En lo que respecta a la participación ciudadana, se encontró deficiencias en el nivel participativo e involucramiento de las diferentes instituciones y conglomerados de la población (juntas y comités vecinales, clubes de madres, sindicatos, asociaciones de pueblos, jóvenes), en el proceso de planificación y gestión del presupuesto participativo.

Un aspecto importante del presupuesto participativo es el que está relacionado con la dimensión territorial, ya que se presentan dificultades en la priorización de asignación del presupuesto para las zonas rurales, así como la forma de descentralización en la asignación de los recursos económicos para los sectores más empobrecidos de la población y zonas vulnerables.

El proceso de toma de decisiones de las diferentes administraciones municipales, relacionado con el presupuesto participativo, presenta deficiencias, ya que no tiene en cuenta la participación ciudadana, las prioridades de inversión de las obras públicas; no se tiene en cuenta la planificación, ejecución y evaluación presupuestal; así como tampoco la prioridad de las obras públicas.

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Social and civil aspects of intellectual property regulation in Ukraine

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ABSTRACT

The purpose of the research. They are considered relevant issues of the administrative and legal situation of subjects of special competence in relation to public administration in the field of intellectual property. *Main content.* A circle of specific subjects in the public administration system is determined. It identifies the role of subjects of special competence in the performance of the tasks of public administration in the field of intellectual property. The classification of subjects of special competence in the public administration is presented. *Methodology:* Analysis of documentary sources; the basis is the dialectical method of knowledge of the facts of social reality, on which the comparative formal and legal approaches are largely based. *Conclusions.* Conclusions are drawn on the place of subjects of special competence in relation to public administration in the field of intellectual property. Proposals are made on the need to improve existing legislation in Ukraine on intellectual property.

KEY WORDS: Civil law; copyright; intellectual property; private law.

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Aspectos social y civil de la regulación de propiedad intelectual en Ucrania

RESUMEN

El propósito de la investigación. Se consideran cuestiones relevantes de la situación administrativa y jurídica de los sujetos de especial competencia en relación con la administración pública en el campo de la propiedad intelectual. *Contenido principal.* Se determina un círculo de materias específicas en el sistema de la administración pública. Se identifica el papel de los sujetos de especial competencia en el cumplimiento de las tareas de la administración pública en el ámbito de la propiedad intelectual. Se presenta la clasificación de materias de especial competencia en la administración pública. *Metodología:* Análisis de fuentes documentales; la base es el método dialéctico de conocimiento de los hechos de la realidad social, en el que se basan en gran medida los enfoques legales formales y legales comparados. *Conclusiones.* Se extraen conclusiones sobre el lugar de los sujetos de especial competencia en relación con la administración pública en el campo de la propiedad intelectual. Se formulan propuestas sobre la necesidad de mejorar la legislación vigente en Ucrania en materia de propiedad intelectual.

PALABRAS CLAVE: Derecho civil; derechos de autor; propiedad intelectual; Derecho privado.

Introduction

Issues of determination of the administrative and legal status remain today relevant in relation to a number of unresolved theoretical and practical issues in this sphere. And despite the intensity and a wide range of research devoted to various aspects of these problems, many issues in this field are still controversial. Meanwhile, the strength of the foundation for the innovative development model, its modernization, increase of competitiveness in the world socio-economic system depend on the resolution of the problem of creating an effective system of subjects of public administration in the field of intellectual property in Ukraine, with a clear definition of their administrative-legal status. And on this, in turn, - the prospects of creating jobs in new industries that are the face of the world economy of the XXI century - a knowledge-based economy.

A special place in the system of subjects of public administration in the sphere of intellectual property is occupied by state authorities with special powers in this field. Therefore, execution of mostly the same function of public administration is laid upon

subjects of special (functional) competence, which includes authorities performing executive, supervisory, regulatory, and registration-authorization functions. These authorities provide for the implementation of state policy in a certain sphere, conduct management on issues of common interest to all or many sectors of the economy. Subjects of special competence in relation to public administration in the field of intellectual property should include those who, along with the performance of their main functions, also take part in public administration in the specified field. This group of subjects, depending on the peculiarities of their administrative-legal status, is divided into law-enforcement, regulatory, and judicial agencies.

1. Literature review

The judicial branch is endowed with its own powers on public administration in the field of intellectual property, and as a result of its reformation, there were principal changes (Petrenko etc, 2015). The fact is that over the last years, the idea of deepening the specialization of courts in intellectual property disputes was actively discussed in Ukraine, and in this regard two main points of view were formed: to create a separate specialized court (Koval, 2016). The State Judicial Administration, in agreement with the Supreme Council of Justice, by its order determined the number of judges in a new court - twenty-one posts. According to domestic experts, the very formation of a separate abovementioned court will contribute to solving the problem of delimitation of the jurisdiction of courts in the consideration of cases on issues of intellectual property and, accordingly, will ensure the application of the same and correct judicial practice in resolving relevant disputes. Also, the creation of this court will be aimed at building an effective intellectual property rights protection system taking into account international standards and, in addition, will improve the investment attractiveness of our state (Leheza etc, 2020).

Until recently, around ninety specialized courts were operating in the world. This trend is related, first of all, to the development of public relations in the field of intellectual property, as well as the entry of countries in which such courts exist, to the World Trade Organization (WTO) (although accession to it and the accession to the Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS) do not oblige countries to set up relevant specialized courts, and many states make such decisions on their own initiative). The names of specialized courts on intellectual property are different in different countries

of the world. For example, in Germany, this court is called the Federal Patent Court, while in Japan - the Intellectual Property High Court. However, the title is not the only aspect that distinguishes specialized courts in this area. First of all, it is about jurisdictional differences. Thus, intellectual property courts in Austria, the United Kingdom, Ireland, and Switzerland are based on the use of standards of the civil process, while there is a combination of standards of administrative and civil processes in Germany, and only administrative in Sweden (Kolesnikova etc, 2016).

The norms regarding the jurisdiction of the High Intellectual Property Court contain the newly revised Commercial Procedure Code of Ukraine (hereinafter referred to as the CPC of Ukraine). In accordance with paragraph 2 of Art. 20 of the CPC of Ukraine, the newly formed court will consider the case at first instance: in disputes concerning the rights to an invention, utility model, industrial design, trademark (mark for goods and services), commercial name, and other intellectual property rights, including the right of prior use; in disputes concerning registration, record of intellectual property rights, invalidation, extension of validity, previous cessation of patents, certificates, other acts that certify or on the basis of which such rights arise, or violate such rights or related legitimate interests; recognition of a trademark as well-known; in disputes concerning the authors' rights and related rights, including disputes over collective management of proprietary rights of the author and related rights; in disputes regarding the conclusion, modification, termination, and execution of an agreement on the disposal of intellectual property rights, commercial concessions; in disputes arising out of relations associated with the protection against unfair competition in relation to: the misuse of marks or goods of another manufacturer; copying the appearance of the product; collection, disclosure, and use of commercial secrets; appeal against decisions of the Antimonopoly Committee of Ukraine on issues specified by this item (Zaitseva, 2015).

Also, the High Intellectual Property Court will include the Appeals Chamber on Intellectual Property, which, according to paragraph 3 of Art. 25 of the CPC of Ukraine will review the decisions made by this court on appeal. Consequently, consideration of cases on intellectual property issues will be carried out in accordance with the rules of commercial court proceedings. At the same time, this will happen with certain peculiarities, in particular: the parties to the relevant disputes will be not only business entities (legal entities and

individual entrepreneurs) but also ordinary individuals; state authorities and local self-government bodies will also take part in disputes concerning the invalidation of acts of such bodies that violate intellectual property rights; collective consideration of cases is being introduced (Vatsyk, 2017).

2. Materials and Method

Research of materials and methods based on the analysis of documentary sources and regulatory legal acts of foreign countries. The dialectical method of cognizing the social reality facts is the basis on which the formal legal and rather-legal approaches are largely based. The formal-dogmatic method contributed to the development of the authors' explanation of the current state, problems, problems and practical role of legal technologies for the further development and improvement of intellectual property. The formal-legal method made it possible to suggest directions and types of use of legal technologies as perspectives of intellectual property.

3. Results and discussion

3.1. Administrative-legal status of regulatory authorities - subjects of public administration in the field of intellectual property

The main difference between the subjects of public administration that are a part of the group of regulatory actors from law enforcement bodies is that their defining function is the control function, which, as noted above, already belongs to secondary law enforcement functions. At the same time, the law-enforcement nature of the control function is connected primarily with the fact that the regulatory bodies, acting as an integral part of the state apparatus, act in the name of and on behalf of the state and exercise control over the observance of legality in one or another field of state activity. An essential feature of the activities of the controlling bodies and, in particular, those bodies operating in the field of public administration in the sphere of intellectual property is the fact that the scope of control activity and authority of the latter extends to objects regardless of their departmental subordination. That is, regardless of who owns, uses, or disposes of intellectual property rights, it can become subject to control by the controlling authority. Their number is quite significant, and the following can be attributed to the list of controlling agencies that carry out public administration in the field of intellectual property: the Antimonopoly Committee

of Ukraine, the State Fiscal Service of Ukraine (hereinafter - SFSU), the State Service of Ukraine for Food Safety and Consumer Protection (hereinafter - SSUFSCP), Ukrainian Institute for Plant Variety Examination, State Service of Ukraine for Geodesy, Cartography and Cadastre (hereinafter - SSUGCC), Ministry of Health of Ukraine, Ministry of Culture of Ukraine, Ukrainian State Film Agency, Ministry of Ecology and Natural Resources of Ukraine, as well as State Property Fund of Ukraine (hereinafter - SPFU).

In particular, the Antimonopoly Committee of Ukraine has a significant influence on the activities of economic entities. Acting as a central executive body with a special status, it protects the interests of business entities from unfair competition related to the unlawful use of intellectual property objects in relation to the misuse of commercial designations, the unlawful use of goods by another manufacturer, and copying the appearance of the product. The Antimonopoly Committee of Ukraine exercises state control over the compliance with legislation on protection against unfair competition. In accordance with the Law of Ukraine «On Protection Against Unfair Competition», unfair competition is a way of violating the right of intellectual property, which is any action in a competition that is contrary to trade and other honest practices in economic activity (Official site of the Verkhovna Rada of Ukraine, 1996). The actions that are recognized as unfair competition and violate the right of intellectual property are: unlawful use of the business reputation of the business entity (use of the name, commercial (corporate) name, trademark (mark for goods and services), promotional materials, the registration of packaging of goods and periodicals, other marks without the permission (consent) of an entity that has previously started using them or similar marks in economic activities that led or may result in confusion with the activity of this entity), creation of obstacles to business entities in the process of competition (introduction into economic circulation under its mark of goods of another manufacturer by changing or removing the marks of the manufacturer without the permission of the authorized person, reproducing the appearance of the product of another entity and introducing it into economic circulation without a single indication of the manufacturer of a copy that may lead to confusion with the activity of another entity), and the achievement of unlawful competitive advantages and improper collection, disclosure, and use of commercial secrets.

Measures on public administration in the field of intellectual property in the process

of foreign economic activity and prevention of movement across the customs border of Ukraine of counterfeit is used by the State Fiscal Service of Ukraine (SFSU) - an authority that implements state tax policy, state policy in the field of state customs affairs, state policy on administering a unified contribution for compulsory state social insurance, state policy in the field of combating offenses in the application of tax, customs legislation, as well as legislation on issues of payment of unified contribution. In the machinery of the SFSU, the aforementioned function is assigned to the Office for Organisation of Customs Control and Registration of the Customs Department, which includes the Division for the Protection of Intellectual Property Rights and Export Control. The SFSU, in accordance with its functions, ensures the keeping of the customs register of intellectual property, which, based on statements of owners of property rights to intellectual property, includes already more than 1.5 thousand objects. According to the European Union, 25 million products are falsified annually. With the development of technologies, counterfeits are being improved, therefore, the issue arises about setting up continuous training of customs officers, improving control facilities, and creating special units at the customs border to counteract counterfeit goods.

Countering offenses in the field of intellectual property is also a part of the functions of the State Fiscal Service of Ukraine (SFSU). In accordance with the Resolution of the Cabinet of Ministers of Ukraine on May 21, 2014, N° 432, the main tasks of the SFSU include the adoption of measures to protect intellectual property rights in the process of foreign economic activity, preventing the movement of counterfeit goods through the customs border of Ukraine (Official site of the Cabinet of Ministers of Ukraine, 2014). In particular, for import into the customs territory of Ukraine or export outside this territory of goods intended for industrial or other business activities, with violation of the intellectual property rights protected by law (Part 1 of Article 476 of the Customs Code of Ukraine), as well as in case of import into the customs territory of Ukraine or the export of counterfeit goods from this territory.

The list of grounds for suspending the customs clearance of goods, in respect of which the right-holder has not been filed an application to promote the protection of his/her property rights to the intellectual property, on the initiative of the body of incomes and fees, the Cabinet of Ministers of Ukraine, included: submission to the customs authority or to the State Customs Service of a statement of a person who, according to the law, owns property

rights to an object of intellectual property rights not included in the customs register of objects of intellectual property rights or a person acting on his/her behalf within the limits of the given powers; received information on violation of intellectual property rights from law enforcement and controlling agencies, customs authorities of Ukraine and other countries, international organizations, whose competence includes protection of intellectual property rights; declaring a product with a trademark that is different from the trademark available in the customs register only by some elements and is similar to it in such a way that they can be confused (Official site of the Cabinet of Ministers of Ukraine, 2012). Thus, the activities of the SFSU in the area of countering the violation of intellectual property rights are aimed primarily at preventing the said offenses in the foreign economic activity of our country and stopping the movement of goods that were manufactured in violation of intellectual property rights through the customs border. In case of detection of violations of intellectual property rights in other spheres, the SFSU submits relevant materials to the law enforcement agencies as appropriate.

The next subject of public administration in the field of intellectual property of a special competence is the State Service of Ukraine for Food Safety and Consumer Protection (hereinafter - SSUFSCP), which is the central executive body whose activities are directed and coordinated by the Cabinet of Ministers of Ukraine through the Minister of Agrarian Policy and Food and which implements state policy, including in the field of protection of plant variety rights through the implementation of state supervision (control) in this area. The SSUFSCP, in accordance with the tasks entrusted to it, generalizes the practice of applying legislation on matters within its competence, develops proposals for the improvement of legislative instruments, acts of the President of Ukraine, the Cabinet of Ministers of Ukraine, laws and regulations of ministries and, in the prescribed manner, submits them to the Minister, who ensures the formation of state policy in the relevant field. In particular, in the field of plant variety rights protection, the SSUFSCP organizes and conducts state supervision (control) of: compliance with the requirements of the legislation on the protection of rights to plant varieties in the field of production, use, storage, sale, and reproduction of planting material of plant varieties; preservation of plant varieties, registration of licensing agreements for their use and payment of royalties; conducting primary seed growing by owners of proprietary rights of intellectual property and supporters

of plant varieties; acquisition of rights to plant varieties and their registration; import of planting material (seeds) of unregistered plant varieties in Ukraine; the observance of the personal non-property right of authorship to the variety, the property right of the holder of the variety, the right of prior use and the right to renew the rights to a variety, the right to spread the variety in Ukraine, the rights of the author of the variety in the event of the owner's refusal from the property right to the variety, the order of removal from Ukraine of the planting material (seeds) of plant varieties containing an object of intellectual property, requirements of an agreement between the employer and the author of the variety for the payment of fair remuneration (Official site of the Cabinet of Ministers of Ukraine, 2015).

Effective public administration in the field of the protection of plant variety rights is impossible without the availability of appropriate examination facilities (due to the fact that crop production (along with animal husbandry) is traditionally considered as a leading branch of agriculture since the products of this industry form the basis for ensuring food security of the state), a leading role among which is played by the Ukrainian Institute for Plant Variety Examination, established in June 2002 through the reorganization of the State Centre for Certification, Identification, and Quality of Plant Varieties of the State Commission for Testing and Protection of Plant Varieties of the Ministry of Agrarian Policy and Food of Ukraine. The Institute is the basic research institution of the state system of protection of rights to plant varieties, which priority research areas are the implementation of projects in the field of protection of rights to plant varieties and conduct of state scientific and technical expertise of plant varieties as objects of intellectual property.

Separate powers regarding the public administration in the field of intellectual property are entrusted to the State Service of Ukraine for Geodesy, Cartography and Cadastre (SSUGCC), which, in accordance with the tasks entrusted to it: coordinates the activities related to the establishment, standardization, accounting, registration, use, and preservation of geographical names; organizes an appropriate examination of geographical names; provides for the creation and maintenance of the State Register of Geographical Names, controls the use and preservation of geographical names; defines stable geographic features on the territory of Ukraine; carries out in the established manner the definition of the boundaries of geographical areas, which are associated with special properties, certain qualities, and other characteristics of goods, and provides relevant conclusions (Official site

of the Cabinet of Ministers of Ukraine, 2017).

Among the wide range of tasks entrusted to the Ministry of Health of Ukraine, it carries out the formation of state policy in the field of protection of intellectual property and access to medicines (Official site of the Cabinet of Ministers of Ukraine, 2015). This ministry is also a specially authorized body for the definition and control of special properties, certain qualities, and other characteristics of goods in relation to food, food raw materials, and mineral waters.

As the subject of public administration in the field of intellectual property of special competence, the Ministry of Culture of Ukraine (MCU) is responsible for the formation of state policy in the field of cinematography, culture, and arts, cultural heritage protection, export, import, and return of cultural property, state language policy, restoration and preservation of national memory, and also a specially authorized body for the determination and control of special properties, certain qualities, and other characteristics of products of folk artistic crafts. Although until recently, economic growth has been associated with technological and innovative development in technical fields (industrial society), with Ukraine's choice of the transition to the information society (post-industrial society), the sphere of culture goes to a qualitatively new level of development and communications. The provision of cultural services is increasingly turning into a «cultural industry» in which various goods and services are created and distributed. Culture encourages creativity and innovation. In this context, the important task of the Ministry of Culture should be the activation and strengthening of unique local traditions and customs, encouraging the process of revival and development of traditional Ukrainian folk crafts.

The Ministry of Culture exercises separate powers regarding public administration in the sphere of intellectual property through the Ukrainian State Film Agency subordinate to it. This body issues national certificates for the right to distribute and display films and, in carrying out this activity, takes measures to protect intellectual property rights, implement copyright and related rights.

The State Property Fund of Ukraine (SPFU), the central executive body with a special status, implements state policy in the field of privatization, lease, use, and alienation of state property, and the management of state-owned property (Official site of the Cabinet of Ministers of Ukraine, 2011). In the field of appraisal of property rights to objects of

intellectual property right, the SPFU organizes training of appraisers, in particular, approves requirements to heads of entities of appraisal activity and appraisers, approves the composition and procedure of the examination committee for the training of appraisers in the direction «Estimation of integral property complexes of shares, securities, property rights and non-property assets, including assessment of rights to intellectual property objects), organizes their work, approves training programs and examinations.

Ministry of Ecology and Natural Resources of Ukraine, acting as the subject of public administration in the field of intellectual property of a special competence, is the main body in the system of central executive authorities in the formation and implementation of state policy in the field of environmental protection, environmental and, within its competence, biological, genetic, and radiation safety, waste management, including radioactive, pesticides, and agrochemicals (Leheza etc, 2021).

The Concept of the High Intellectual Property Court, however, contains a number of problematic issues. The first is the territorial remoteness of the High Intellectual Property Court since it will be located exclusively in the city of Kyiv, which naturally will cause the problem of access to this court by the majority of ordinary citizens of Ukraine. Secondly, there is a lack of ex parte proceedings in the CPC of Ukraine. In particular, the issue of the procedural mechanism of recognition of a trademark as well-known, which in any circumstances cannot be actionable, is not solved. The third problem is the problem of the professionalism of future judges - the Specialized Intellectual Property Court should unite people with both experience in this area and the corresponding special education (special knowledge). However, the legislator has for some reason decided that persons who may not have either the first one or the other can work in the High Specialized Court. This applies, first of all, to judges who have only a requirement for three years' service as a judge. In this case, such experience in the field of intellectual property or consideration of other disputes does not matter. And finally, fourthly, the negative aspect seems to be the lack of a specialist (advisor) in the court process, who has special knowledge of the practice of applying intellectual property law, as the new version of the CPC of Ukraine makes participation of a specialist in the process limited only by court assistance in the use of technical means. In this regard, according to a part of the scientists, it is expedient to introduce such a specialist, who could be involved in court in order to assist in establishing the actual circumstances of the

case, providing oral advice or explanations (Zakharenko, 2014).

3.2. Administrative-legal status of law enforcement authorities - subjects of public administration in the field of intellectual property

Law enforcement authorities, which should include only those specifically created by the state to carry out any main law enforcement function under a clearly established law procedure, are endowed with important powers regarding public administration in the field of intellectual property. It is precisely this line of activity for the law enforcement authority to be the principal (main or priority) activity. Thus, based on the above, the system of law enforcement authorities of Ukraine may have the following form: Security Service of Ukraine, prosecution authorities, internal affairs bodies of Ukraine, State Fiscal Service of Ukraine, Department of State Guard of Ukraine, State Penitentiary Service of Ukraine, National Guard of Ukraine, and state border guard authorities. The analysis of the statutory enactments, which secure the legal status of these state law enforcement institutions, namely their tasks, functions, and powers, testifies that some of them (the Security Service of Ukraine, the bodies of the Prosecutor's Office of Ukraine, the bodies of internal affairs of Ukraine) are subjects of public administration in the sphere of intellectual property. The most important difference between their activities in relation to public administration in the field of intellectual property from the activities of other actors operating in this area is that it is associated not only with the organization of the protection of rights to intellectual property objects but with its active form – security (Leheza etc, 2018).

In accordance with the Law of Ukraine «On the Security Service of Ukraine) (Official site of the Verkhovna Rada of Ukraine. 1992), the security service participates in the development and implementation of measures to ensure the protection of state secrets (in particular, regarding secret inventions and utility models as objects of intellectual property, since in accordance with the Law of Ukraine «On Protection of Rights to Inventions and Utility Models) a secret invention or a secret utility model are objects containing information classified as state secrets), assistance in preserving commercial secrets (in the manner prescribed by the law of the SSU, assists enterprises, institutions, organizations, and entrepreneurs in preserving their commercial secrets, the disclosure of which may harm the vital interests of Ukraine, is responsible for the state policy on holographic protection of goods and documents, and carries out state control and coordination of activities in this

area). In addition, while analysing the powers of the SSU, we also note that, although the counteraction to the intellectual property offenses does not fall within its direct competence, the SSU must provide assistance through available forces and means, including technical, to the National Police bodies, other law enforcement agencies in the fight against offenses, including violations in the field of intellectual property.

Important functions of the subject of public administration in the field of intellectual property are carried out by the of Public Prosecutor General's Office of Ukraine. According to Art. 1 of the Law of Ukraine «On Prosecutor's Office), the prosecutor's office, in the manner prescribed by this law, exercises the functions established by the Constitution of Ukraine in order to protect the rights and freedoms of man, the general interests of society and the state. In addition, Art. 2 of the Law of Ukraine «On Prosecutor's Office) establishes its main functions: maintenance of a state prosecution in court; representation of the interests of a citizen or state in court in cases specified by law; supervision over the observance of laws by the bodies conducting operative search activity, inquiry, pre-trial investigation; supervising the observance of laws during the execution of judicial decisions in criminal cases, as well as in the application of other coercive measures related to the restriction of personal freedom of citizens. Due to the fact that the illegal reproduction, replication, and distribution, including through the implementation of import-export operations, intellectual property objects violate, as a rule, the rights and legitimate interests of citizens, in accordance with Art. 23 of the above-mentioned law, the representation by the prosecutor of the interests of a citizen or a state in court is to carry out procedural and other actions aimed at protecting the interests of a citizen or a state. A significant role in stopping the illicit circulation of goods containing objects of intellectual property is played by the interaction between the departments of the customs service and the prosecutor's office of Ukraine.

DEPNPU was formed according to the order of the National Police of Ukraine. Among the functions of the DEPNPU, the use of anti-crime measures in state authorities, property rights, intellectual property, related to counterfeiting, and also the provision of compensation for losses caused by these crimes, are separately identified. Similar tasks and functions are assigned to all the administrations (departments) of the DEPNPU at the local level. Thus, counteraction to crimes in the field of intellectual property is one of the main functions of the DEPNPU but this does not affect the structure and specialization of its employees since the

current structure of the DEPNU does not provide for separate departments for combating crimes in the field of intellectual property, which usually significantly reduces the effectiveness of activities in this area. In practice, operational cases concerning crimes in the field of intellectual property are transferred for the development to one of the employees of departments of economic protection at the local level, however, as specialists note, there are few such cases for today.

Another division of the National Police of Ukraine, which directly deals with counteracting crimes against intellectual property, is the DCNPU. It was created in accordance with the order of the National Police of Ukraine. The DCNPU includes the Office for the Prevention of Crimes in the Sphere of Intellectual Property and Economic Activities (OPCSIPEA), which is managed by the Deputy Head of the DCNPU - the head of the OPCSIPEA. The OPCSIPEA's structure includes three departments: counteraction to crimes in the sphere of electronic commerce, counteraction to crimes in the sphere of circulation of illegal content and telecommunications, and counteraction to crimes in the sphere of payment systems. Accordingly, the counteraction to crimes against intellectual property related to the use of computer technologies is a priority task of the DCNPU. Information reports, presented on the official site of the DCNPU, confirm the effectiveness of the measures applied in the field of counteraction to crimes against intellectual property. Thus, according to the report of the DCNPU as of April 30, 2016, the detection of the clandestine manufacture of counterfeit copies of household chemicals, trademarks as Ariel, Tide, Head & Shoulders, Fairy, and Vanish was revealed in Lutsk. And the investigative police unit in the Rivne region opened a criminal proceeding under Art. 229 of the Criminal Code of Ukraine, within the framework of which there were established persons involved in the organization of the said criminal offense, the workers who were engaged in the packaging of counterfeit, as well as customers, who subsequently realized this counterfeit to citizens (Cyber police exposed in Lutsk underground production of household chemicals brands "Ariel", "Tide", "Head & Shoulders", "Fairy" and "Vanish": report of the Cyberpolice Department of the National Police of Ukraine, 2016). Of course, the creation of a special department in the structure of the National Police of Ukraine to counteract crimes against intellectual property on the Internet should be considered positive and very relevant, however, it should also be noted that the activities of these units are more related to the

stoppage of crimes in the specified area since the specifics of the latter is such that they are most often manifested by the consequences. Public coverage of the positive experience of countering cybercrimes related to the violation of intellectual property rights certainly has a certain preventive effect on persons who are prone to commit crimes in the field of intellectual property, but at the same time, in our opinion, the staff of the DCNPU should conduct purposeful development and carry out measures for the prevention of cybercrime against intellectual property, committed with the help of computer technologies.

The Ministry regularly conducts such operational and preventive measures as the operation «Intelligence», operation «Pirates», etc., on the development of intellectual property market subjects, during which one of the priority areas of work is defined as counteraction to the sales and the manufacture of counterfeit products using signs for goods and services of well-known Ukrainian and foreign manufacturers, as well as the fight against Internet piracy (Vyazmikin, 2016).

Conclusions

The system of subjects of public administration in the field of intellectual property is based on the generally acknowledged theory of state administration of their division into bodies of general, sectoral, and special competence. The basis of this classification is the scope and nature of competences in relation to objects of intellectual property, subjects of intellectual property rights, and functions of their public administration. Subjects whose competence includes the exercise of all functions related to public administration in the field of intellectual property in one or another volume, regardless of the type of the object of intellectual property and the subjects of their use, are bodies of general competence. They, along with sectoral and special actors, solve other issues of socio-economic development of the state.

The bodies of special competence ensure implementation of the state policy in one or several spheres by providing administrative services, state supervision (control), a generalization of the practice of application of legislation, development of proposals for the improvement of legislative acts. Executive authorities and their officials, as well as in a number of cases other entities, which are endowed with state powers that allow the latter to exercise regulatory influence on social relations, as well as the participants in these relations

with the aim of organizing the lawful possession, use, and disposal of intellectual property rights, should be considered as subjects of special competence regarding public administration in the field of intellectual property. And the determination of their administrative and legal status will allow creating a reliable system of legal protection of the results of the intellectual creative activity.

Consequently, today the formation and start of work of the High Intellectual Property Court contain many unresolved issues of both procedural and organizational nature, which deepens the already complex task of the functioning of such a judicial branch in the judicial system of Ukraine.

Thus, public administration activities in the field of intellectual property are one of the functions of the SSU, the Prosecutor's Office, and the bodies of internal affairs within their competence as defined by law. That is, law enforcement agencies of Ukraine act as one of the subjects of public administration in the field of intellectual property. The necessity of attracting the latter to the mechanism of public administration of the mentioned sphere is explained by the widespread occurrence of cases of illegal, even criminal, violation of intellectual property rights, which requires the presence of a power mechanism for the prevention and stoppage of such violations.

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Gender differences in solo entrepreneurship in modern countries

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ABSTRACT

Aim of the study is to evaluate the indicators describing the level of solo entrepreneurship among women and men who are beginning entrepreneurs in different countries. Empirical data provided in the Global Entrepreneurship Monitoring Project for fifty-nine countries were used as initial information in calculations. Economic and mathematical modeling was based on development of density functions normal distribution. In the study, three indicators describing solo entrepreneurship in 59 countries were evaluated: share of solo entrepreneurs-women in the total number of women who participate in the creation of their own businesses in different countries; share of solo entrepreneurs-men in total number of men who participate in creation of their own businesses in different countries; ratio of the above-mentioned shares of solo entrepreneurs of women and men. Average values and ranges of changes in considered indicators were determined, which are typical for most countries. In addition, national economies that are characterized by high and low values of each of the three indicators were identified. The study showed that there is a gender gap in the values of indicators in most countries. It is proved that share of women involved in solo entrepreneurship in most countries is higher than that of men.

KEYWORDS: Entrepreneurs; women; men; gender roles; self employed; business management; mathematical models.

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Diferencias de género en el emprendimiento individual en los países modernos

RESUMEN

El objetivo del estudio es evaluar los indicadores que caracterizan el nivel de emprendimiento individual entre mujeres y hombres que son emprendedores en ciernes en diferentes países. Los cálculos se basaron en datos empíricos presentados en el marco del Proyecto Mundial de Vigilancia de la Empresa para cincuenta y nueve países. El modelado económico-matemático se basó en el desarrollo de funciones de densidad de distribución normal. En el estudio se evaluaron tres indicadores que caracterizaban a las empresas por cuenta propia en 59 países: la proporción de mujeres empresarias por cuenta propia en el número total de mujeres que participan en la creación de empresas por cuenta propia en diferentes países; la proporción de hombres empresarios por cuenta propia en el número total de hombres que participan en la creación de empresas por cuenta propia en diferentes países; y la proporción de mujeres y hombres empresarios por cuenta propia. Se determinaron los promedios y los rangos de variación de los indicadores examinados, que son comunes en la mayoría de los países. Además, se identificaron las economías nacionales que se caracterizan por valores altos y bajos de cada uno de los tres indicadores. El estudio reveló que en la mayoría de los países hay diferencias de género en los valores de los indicadores. Se ha demostrado que la proporción de mujeres que trabajan por cuenta propia es mayor en la mayoría de los países que en los hombres.

PALABRAS CLAVE: Emprendedores; mujeres; hombres; roles de género; trabajador por cuenta propia; gestión empresarial; modelos matemáticos.

Introduction

Entrepreneurship is considered in most national economies as the main direction of their development, providing not only an increase in the volume of production of goods and services, but also using innovation, increasing efficiency, creating the prerequisites for structural transformations, reducing the unemployment rate (Lee & Rodnguez-Pose, 2021; Schneck, 2020; Szerb et al., 2019). As you know, there are two main organizational and legal forms of entrepreneurial activity, namely solo entrepreneurs and legal entities. Our study focused on solo entrepreneurship, which has developed significantly in recent years (Mababu & Merino-Hijosa, 2015; Pinkovetskaia et al., 2020; Toivanen et al., 2015). Even in the context of the 2020-2021 pandemic, solo entrepreneurs in most industries continued their activities, often remotely.

Solo entrepreneurs not only earn money (Ruzzier & Konecnik Ruzzier, 2015), but also produce goods, provide services, that is, increase national wealth, and create jobs. It is important that this form of entrepreneurship reflects work preferences and creates an effective, work-life balance, ensuring the social well-being of entrepreneurs (Gottschalk & Niefert, 2013; Gudmunson et al., 2009). Often, solo entrepreneurship acts as a side business that supports a person working elsewhere.

Solo entrepreneurship provides flexibility, allowing the solo to work when and where it is most convenient, to work part-time, and to fill temporary employment gaps (Mababu, 2009). Solo entrepreneurs have a high degree of freedom and independence (Van Gelderen & Jansen, 2006). Solo entrepreneurship is characterized by low barriers to entry, it does not require significant initial capital, experience in managing firms with a large number of employees, and a number of other competence, that characterize firms (Vries et al., 2020).

Our article makes two main contributions to the existing knowledge about the level of development of solo entrepreneurship. First, the prevalence of solo entrepreneurs in modern countries is considered, that is, it is determined how often entrepreneurs conduct activities without the formation of legal entities. At the same time, the corresponding indicators are studied not for one, but for a large number of countries. The second contribution is related to the analysis of the gender aspects of solo entrepreneurship. That is, the study of the features of such activities of women and men. In addition, it is logical, in our opinion, to determine whether there are gender differences in the behavior of women and men involved in the process of creating their own businesses without the formation of legal entities. It should be noted that the study of the gender characteristics of solo entrepreneurship has not been given sufficient attention in scientific publications to date.

The purpose of the article is to evaluate the indicators describing the level of solo entrepreneurship in the total number of women and men who are beginning entrepreneurs in different countries. Our article responds to calls for a more in-depth study of the development of solo entrepreneurship, which according to a number of authors (Hipp et al., 2015; Holloway & Pimlott-Wilson, 2021; Bogenhold, 2019) is an insufficiently studied type of entrepreneurship. In addition, the article responds to calls for the study of the gender dimensions of solo entrepreneurship (Mababu & Merino-Hijosa, 2015).

In our research, we answer the following questions:

1. What is the share of women solo entrepreneurs in the total number of women who are involved in setting up their own businesses in different countries?
2. What is the share of men solo entrepreneurs in the total number of men who are involved in setting up their own businesses in different countries?
3. Was there a gender gap in the proportion of solo entrepreneurs of women and men who participate in the creation of their own businesses in different countries?

1. Literature review

The relevance of the study of solo entrepreneurship is emphasized in many scientific studies carried out in recent years. The following works are of the greatest interest among them.

As shown in the article (Boeri et al., 2020), the structure of entrepreneurship in most Organisation for Economic Co-operation and Development (OECD) countries has changed over the past 20 years, with the share of solo entrepreneurs increasing. They account for between 4 and 22 per cent of the economically active population in OECD countries. Similar conclusions about the growth of the share of entrepreneurs working without the formation of legal entities, on the example of the United States, are made in the works (Katz & Krueger, 2018; Abraham & Amaya, 2019). There were almost four million solo entrepreneurs in the UK by the end of 2019 (Giupponi & Xu, 2020). It should be noted that the share of solo entrepreneurs in the UK according to these authors increased from 11.5% to 14.1% in the period 2000-2017.

The study (Dvoulety et al., 2019) shows the positive role of solo entrepreneurship on the example of the Visegrad countries (Czech Republic, Hungary, Poland and Slovakia). It is proved that solo entrepreneurs who do not attract labor earn an average of 6.7% more than employees. The paper (Van Stel et al., 2020) examines the peculiarities of the activities of solo entrepreneurs with higher education and their reluctance to use employees. The article (Box & Segerlind, 2018) examines the creation of new businesses on the example of Sweden. The study (Koe, 2016) describes the activities of solo entrepreneurs in Malaysia. The article (Schummer et al., 2019) examines various options for entrepreneurs to set up their own businesses in Germany and concludes that many of them prefer to be solo entrepreneurs.

A number of studies (e.g., Fritsch & Wyrwich, 2014; Millan et al., 2012) highlight the differences between individual entrepreneurship in various countries. It should be noted, that solo entrepreneurship is carried out by citizens of different countries at their own request and in the presence of appropriate opportunities.

Gender characteristics of entrepreneurship in the United States are analyzed in the article (Yang et al., 2017). The gender differentiation of new businesses created in Germany is studied in the article (Gottschalk & Niefert, 2013). Using the example of the European Union countries, it was shown that there are gender differences between solo entrepreneurs (Cowling, 2000). Based on the analysis of data for the period 1997-2014 for 32 European countries, the article (Van Stel & Van der Zwan, 2020) suggests the predominance of highly educated women in solo entrepreneurship.

2. Methodology and design

The study used the results of surveys of entrepreneurs aged 18-64 years, conducted in 59 countries, during the implementation of the Global Entrepreneurship Monitoring Project (2019). The report on this project included information on two rounds of the survey of respondents: in 10 countries, entrepreneurs were interviewed in 2017, and in 49 countries - in 2018. In each of the countries, responses were received from at least two thousand respondents, including men and women. The total number of respondents in all countries exceeded 120,000 entrepreneurs. The countries in which the survey was conducted differed in terms of the level of income of the population. According to the World Bank classification, 32 countries had high incomes, 17 countries had average incomes, and 10 countries had low incomes. The geographical location of the countries is as follows: Europe - 22 countries, Asia - 17 countries, Latin America - 11 countries, Africa - 6 countries, North America - 2 countries and Australia. The countries where the survey of entrepreneurs was conducted included all the largest economies in the world, as well as other countries. During the surveys, entrepreneurs answered, in particular, the question of whether they are solo entrepreneurs. These surveys provided information on the proportion of solo entrepreneurs of women and men in the total number of relevant gender groups. The share of solo entrepreneurs was defined as the ratio of entrepreneurs who indicated during the survey that they did not create legal entities to the total number of entrepreneurs surveyed for each of the countries.

The study included five stages. At the first stage, the formation of empirical data sets describing the specific weights of women and men belonging to solo entrepreneurs in the total number involved in the creation of their own business was carried out. At the second stage, the formation of arrays of empirical data describing the ratio of the specified specific weights of women and men related to solo entrepreneurs was carried out. At the third stage, the distribution of the values of indicators characterizing the share of solo entrepreneurs of women and men in the total number involved in the creation of their own business by country was determined. At the fourth stage, the countries that are characterized by high and low levels of the considered indicators were identified. At the same time, both the territorial location of such countries and the average income of the population in them were taken into account. On the fifth stage was carried out comparative analysis of level development solo entrepreneurship in Russia and other countries.

Our study examined the evaluation of three indicators that characterize the gender aspects of early solo entrepreneurship in 59 countries:

- the share of solo entrepreneurs-women in the total number of women who participate in the creation of their own businesses in different countries;
- the share of solo men entrepreneurs in the total number of men who participate in the creation of their own businesses in different countries;
- the ratio of the above-mentioned shares of solo entrepreneurs of women and men.

Our study included testing the following three hypotheses:

- hypothesis 1 - the values of the three indicators under consideration have a significant differentiation between different countries;
- hypothesis 2 - the geographical location of countries does not significantly affect the values of each of the three indicators;
- hypothesis 3 - the level of income of the population in the countries under consideration does not significantly affect the values of each of the three indicators.

The estimation of the values of the three indicators under consideration was based on the economic and mathematical modeling of the initial empirical data. As models, we used the density functions of the normal distribution, the method of development of which for estimating the values of specific indicators was proposed by the author. Some aspects of the use of the technique are given in the author's works (for example, Pinkovetskaia et al.,

2021). Note that in the process of developing the functions, the initial empirical data were grouped according to the ranges of changes in the values of the indicators. These data groups can be geometrically represented as corresponding histograms. Data approximation using normal distribution functions was performed using generally accepted statistical methods. It is important to note that the average value of the considered indicators, as well as their standard deviations for the density functions of the normal distribution, were displayed in the formulas of the developed functions themselves. Therefore, having constructed a specific function, we get the specified parameters of the considered indicators without additional calculations.

The obtained functions allowed us to determine the average values of each of the three indicators for the countries under consideration, as well as the ranges of their variation that are typical for most countries. In addition, the study identified countries in which the indicators under consideration have values higher than the upper and lower than the lower limits of the ranges. The boundaries of the indicator ranges for 68% of the countries were determined based on the average values of the indicators and the corresponding standard deviations. The lower bound of the interval is equal to the difference between the mean and the standard deviation, and the upper bound is equal to their sum.

3. Results and discussion

In the course of the computational experiment, economic and mathematical modeling was carried out on the basis of empirical data. The models that describe the distribution of the three indicators across all 59 countries are shown below:

- the share of solo entrepreneurs of women in the total number of women who participate in the creation of their own businesses

$$y_1(x_1) = \frac{7.01}{0.19 \times \sqrt{2\pi}} \cdot e^{\frac{-(x_1-0.33)^2}{2 \times 0.19 \times 0.19}}; \quad (1)$$

- the share of solo men entrepreneurs in the total number of men who participate in the creation of their own businesses in different countries

$$y_2(x_2) = \frac{6.38}{0.15 \times \sqrt{2\pi}} \cdot e^{\frac{-(x_2-0.27)^2}{2 \times 0.15 \times 0.15}}; \quad (2)$$

- the ratio of the values of indicators for solo entrepreneurs to women and men

$$y_3(x_3) = \frac{21.53}{0.62 \times \sqrt{2\pi}} \cdot e^{-\frac{(x_3-1.38)^2}{2 \times 0.62 \times 0.62}} \quad (3)$$

The quality of functions (1)-(3) we tested using such criteria: the Kolmogorov-Smirnov, the Pearson and the Shapiro-Wilk. Calculated values of criteria are given in Table 1.

Table 1. Calculated values of criteria

Indicators	Criteria		
	The Kolmogorov-Smirnov test	The Pearson test	The Shapiro-Wilk test
The share of solo entrepreneurs of women in the total number of women who participate in the creation of their own businesses	0.05	1.54	0.98
The share of solo men entrepreneurs in the total number of men who participate in the creation of their own businesses in different countries	0.06	1.91	0.97
The ratio of the values of indicators for solo entrepreneurs to women and men	0.08	2.58	0.95

Source: The data in the table are based on the results of calculated functions.

Information given in column 2 of Table 1 showed that all calculated values are less than the critical value by the Kolmogorov-Smirnov test (0.174) at significant level equal 0.05. Data in column 3 are less than critical value of Pearson criterion (9.49). Data in column 4 exceed critical value 0.93 Shapiro-Wilk test with significant level of 0.01. Thus, the computational experiment showed that all nine developed functions have high quality.

The density functions of the normal distribution (1)-(3) make it possible to identify a number of significant patterns that characterize the levels of solo entrepreneurship among

women and men in the countries under consideration. The average values of the indicators are shown in column 2 of Table 2. Column 3 of the same table shows the intervals of change in the values of the indicators for most countries.

Table 2. Indicators that characterize the level of solo entrepreneurship for women and men

Indicators	Average values	Values typical for most countries
1	2	3
The share of solo entrepreneurs of women in the total number of women who participate in the creation of their own businesses	0.33	0.14-0.52
The share of solo men entrepreneurs in the total number of men who participate in the creation of their own businesses in different countries	0.27	0.12-0.42
The ratio of the values of indicators for solo entrepreneurs to women and men	1.38	0.76-2.00

Source: The author's calculations are based on functions (1)-(3).

The data shown in table 2 (column 2) show that, on average, in the countries under consideration, one third of new businesses were created in 2017-2018 by women who became solo entrepreneurs. At the same time, for most countries, the corresponding indicator was in the range from 0.14 to 0.52. Slightly lower was the share of solo men entrepreneurs in the total number of men who participate in the creation of their own businesses, which was 0.27.

In general, for men and women, the share of their participation in solo entrepreneurship was about 0.3 of the total number of the corresponding gender groups. Based on this, it can be assumed that about 70% of entrepreneurs chose legal entities as an organizational and legal form, that is, they were the owners of their own firms. Consequently, in modern national economies, entrepreneurs were more than twice as likely to create legal entities as those who were solo entrepreneurs.

In most countries, the proportion of women who are solo entrepreneurs is higher than that of men who are solo entrepreneurs. The opposite trend was observed in 11 countries, namely Poland, Peru, Australia, Puerto Rico, Luxembourg, Iran, the United States, Mexico, Switzerland, Thailand and Panama. In five countries - Estonia, the Republic of Korea, Latvia, Slovenia, and Brazil - the share of men and women solo entrepreneurs in the respective populations is approximately equal. Average value of the ratio of the shares of solo indicators in the creation of new businesses for women and for men reaches 1.38.

To test hypothesis 1 on the differentiation of indicators by country, an analysis of the extent of variation of each of the indicators presented in table 2 was carried out. For this we used standard deviations. Variation indices are as follows: for the first indicator - 58%, for the second indicator - 55%, for the third indicator - 45%. This analysis showed a significant differentiation of the values of each of the three indicators in the countries under consideration, that is, the hypothesis 1 was confirmed.

The next step was to identify the countries where the maximum and minimum values of each of the indicators were noted. Maximum values are those that exceed the upper limits of the ranges specified in column 3 of Table 2, and the minimum values are those that are less than the lower limits of the specified ranges. The results of this analysis are shown in table 3. Along with the lists of countries, this table also provides a division of the identified countries by their geographical location and income level.

Table 3 provides information on the geographical location of countries with high (column 2) and low (column 3) values for each of the three indicators evaluated in our study. The analysis of this information showed that there are no links between these values and the territorial location of the countries, as well as the level of income of the population in these countries. That is, both high and low values of indicators are observed in countries located in different parts of the world, as well as with different levels of income of the population. This allowed us to conclude that hypotheses 2 and 3 were confirmed.

It is of interest to study the data describing the values of the considered indicators in Russia:

- the value of the first indicator is 0.38, which is 15% higher than the average value for other countries;

Table 3. Countries with high and low indicator values

Indicators	High values of indicators	Low values of indicators
1	2	3
The share of solo entrepreneurs of women in the total number of women who participate in the creation of their own businesses	Guatemala, Argentina, Spain, Germany, Ecuador, the Netherlands, Sweden, Brazil. Located in Europe (four countries), Latin America (four countries). Income of the population: high (four countries), medium (four countries).	Colombia, China, Mexico, Qatar, Cyprus, Peru, Poland Republic of Korea. Located in Europe (two countries), Asia (three countries), Latin America (three countries). Income of the population: high (four countries), medium (four countries).
The share of solo men entrepreneurs in the total number of men who participate in the creation of their own businesses in different countries	Sweden, Estonia, Spain, Netherlands, Panama, Argentina, Ecuador, Brazil. Located in Europe (four countries), Latin America (four countries). The income of the population is high (five countries), medium (three countries).	China, Qatar, Cyprus, Egypt, Mexico, Bosnia and Herzegovina, India, Bulgaria, Malaysia. Located in Europe (three countries), Asia (four countries), Africa (one country). Income of the population: high (two countries), medium (five countries), low (two countries).
The ratio of the values of indicators for solo entrepreneurs to women and men	China, Germany, Bosnia and Herzegovina, Bulgaria Egypt, Qatar, Taiwan. Located in Europe (three countries), Asia (three countries), Africa (one country). Income of the population: high (three countries), medium (three countries), low (one country).	Colombia, Poland, Peru, Australia, Puerto Rico Luxembourg. Located in Europe (two countries), Australia (one country), Latin America (three countries). The income of the population is high (four countries), medium (two countries), low (two countries).

Source: Developed by the author on the basis of data from Table 2 and the Global Entrepreneurship Monitoring project.

- the value of the second indicator is 0.32, which is 18% higher than the average value for other countries;

- the value of the third indicator is 1.20, which is 13% lower than the average value for other countries.

The analysis showed that the level of solo entrepreneurship in Russia is higher than the average in other countries. In addition, the trend of women's greater propensity for solo entrepreneurship in comparison with men, which is typical for most countries, was confirmed in Russia.

Conclusion

The goal of the study, namely, to assess the indicators describing the level of solo entrepreneurship in the total number of women and men who are beginning entrepreneurs in different countries, was achieved. The conclusions of the study, which contain scientific novelty and originality, include:

1. An assessment of the indicators characterizing the share of men and women involved in solo entrepreneurship, respectively, in the total number of men and women starting their own new businesses in different countries was carried out.

2. The distribution of three indicators describing solo entrepreneurship in 59 countries was modeled.

3. It is shown that solo entrepreneurship has received significant development in most modern national economies

4. It is proved that entrepreneurs often create legal entities for conducting their business, than they are solo entrepreneurs.

5. It is proved that the share of women involved in solo entrepreneurship is higher in most countries compared to the same indicator for men.

6. It is shown that in most countries there are gender differences for each of the three indicators.

7. The average values of each of the three indicators under consideration are established, as well as the intervals of their change that are typical for most countries.

8. It shows that there are significant differences in the values of the three indicators considered by country.

9. Countries with high and low values of each of the three indicators are presented.

10. A comparison of the values of indicators for Russia and other countries was carried out.

The results obtained are of theoretical and practical significance for governments and entrepreneurs. The methodological approach to the assessment of gender differences in solo entrepreneurship presented in the article can be applied in further research. The new knowledge gained is of interest and can be used in the educational process at universities.

The study had limitations on empirical data due to the fact that only 59 countries were considered.

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La pesca artesanal en Ecuador: miradas desde el desarrollo sostenible y la globalización

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RESUMEN

En este artículo se presenta una visión integral del fenómeno socioprodutivo que significa la pesca artesanal en el Ecuador, con un seguimiento desde su concepción teórico-conceptual, hasta la manera en que se ha ido articulando a las demandas del enfoque de la sostenibilidad ambiental, así como su caracterización frente a la globalización. El enfoque metodológico utilizado para desarrollar esta investigación se corresponde con la visión cualitativa hermenéutica, sustentada en artículos de actualidad publicados en bases de datos especializadas. En la actualidad, hay pocas dudas acerca de la necesidad de transformación continua que requiere el sector pesquero artesanal, esos cambios son parte de la urgencia que existe para no ser arrojado por la dinámica de una economía globalizadora que, en su afán de allanar los obstáculos para el desarrollo (entendido en sus variables economicistas) puede atropellar los principios de la calidad ambiental que implica el “buen vivir”.

PALABRAS CLAVE: pesca costera; pesca artesanal; desarrollo sostenible; globalización, industria artesanal.

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Artisanal fishing in Ecuador: glances from a sustainable development and globalization

ABSTRACT

This article presents an integral vision of the socioproductive phenomenon symbolized by artisanal fishing in Ecuador, with a monitoring from its theoretical-conceptual understanding, to the way in which it has been articulated into the demands for environmental sustainability, as its characterization regarding globalization. The methodological approach used to develop this research corresponds to the qualitative hermeneutic vision, supported by recent articles published in specialized databases. Currently, there are few doubts regarding the need for constant transformation that is required by the artisanal fishing sector, as such changes are part of the existing urgency to avoid being buried by the dynamics of a globalized economy which, in its eagerness to overcome obstacles for development (understanding its economic variables) may trample on the environmental quality principles that “good living” implies.

KEYWORDS: seaside fishing; artisanal fishing; sustainable development; globalization; artisanal industry.

Introducción

Una de las preocupaciones con mayor recurrencia en el contexto latinoamericano y en el resto del mundo, tiene que ver con la seguridad alimentaria, sus perspectivas y sus garantías, a la luz de un proceso globalizador, cada vez más agresivo y depredador de la naturaleza. No se puede olvidar que esta última es, finalmente, esa fuente desde donde se producen o extraen los alimentos de la humanidad. Desde nuestra convicción intelectual, se impone entonces una profunda reflexión acerca de lo que se está haciendo en Latinoamérica, especialmente en países como Ecuador, para enfrentar esa preocupación y proponer una visión de futuro, en la que las nuevas generaciones, cuenten con un planeta en el cual se pueda desarrollar una vida plena.

Ese buen vivir, del que tanto se ha hablado y sobre el que se ha legislado con suficiencia en Ecuador, está asociado a la posibilidad de mantener la sostenibilidad y sustentabilidad de los recursos alimentarios con que cuenta la nación, entre ellos, aquellos que derivan de la actividad pesquera. Es esta actividad alimentaria una de las más antiguas, pero –también– una de las más

problemáticas para la aplicación de políticas públicas coherentes con las necesidades de la población ecuatoriana. A pesar de los esfuerzos jurídicos que se han hecho en este ámbito, no siempre es posible articular las acciones locales, regionales y nacionales para enfrentar las contradicciones del desarrollo globalizador que debe resolver el sector pesquero en el país.

Dicho esto, la intención de este artículo se inscribe en ese marco general de pensamiento, pero con un particular detenimiento en las características que muestra el área de la pesca artesanal en Ecuador, de cara al fortalecimiento de una visión humanista y sostenible del desarrollo, más allá de la radicalidad que han representado –desde sus planteamientos iniciales– las explotaciones industriales en las zonas de pesca artesanal del país. En este caso, el enfoque de la sostenibilidad, es subsidiario de la visión crítica, no como una mera postura de rebeldía intelectual, sino como parte de la necesidad de reconocer los efectos indeseados que, tanto en lo económico como en lo sociocultural, representa el modelo globalizador.

En ese orden de ideas, es comprensible que la subsistencia de los sectores primarios de la economía, particularmente los que están relacionados con la pesca, requieran una alianza con las estrategias actuales que impone el mercado. Pensar en la autarquía del sector, no solo sería ingenuo, sino un suicidio socioeconómico, pues la impronta de la globalización se encuentra por todos lados. Y es que, como afirma Coppelli (2018: 60), “desde hace ya algún tiempo, el término globalización está presente en todos los ámbitos, tanto académicos como extra-académicos. Cualquier situación que guarde relación con conexión, cercanía, traslado o movimiento, nos aproxima a su definición”.

Considerando este tipo de observaciones, la propuesta en este ejercicio de investigación es realizar una aproximación, desde la hermenéutica crítica a la discusión teórico-práctica, que se ha desarrollado alrededor del tema de la pesca artesanal en Ecuador, no como un registro documental anecdótico, sino como un esfuerzo de comprensión de la relación antagónica, pero necesaria entre estos sectores ligados a la cultura alimentaria de los pueblos, sus luchas por mantenerse en los límites que la misma naturaleza les impone (en convivencia armónica), y las exigencias de una economía que demanda productividad a gran escala y permanente conexión con los estándares internacionales del desarrollo.

1. Fundamentaciones teórico-prácticas de la pesca artesanal

Cuando se habla de pesca artesanal, independientemente del contexto geo-temporal, se hace alusión a esa actividad pesquera, con una perspectiva fundamentalmente de subsistencia, que ejecutan algunas personas sin mayor mecanización. La inversión que se realiza para llevar adelante la pesca de carácter artesanal tiende a ser pequeña, pues se utilizan equipos relativamente rudimentarios, muchas veces contruidos por los mismos pescadores, con materiales que ellos mismos se proveen. De acuerdo con Méndez (2020), quienes se dedican a la pesca artesanal tienen un radio de acción limitado por su capacidad de movilización, que no es mucha, pero –sobre todo– por sus costumbres, saberes, las características de las fuentes de agua y solo –en última instancia– por las demandas del mercado.

Una de las características más frecuentes de la pesca en esta escala, es la presencia del núcleo familiar en las labores de obtención y distribución del recurso pesquero, así como de la canalización de las actividades que la hacen posible. Es también una constante, en la ejecución de la pesca artesanal, encontrar actualmente modificaciones que son producto de la afectación que sobre el ambiente y las fuentes hídricas ha tenido la pesca industrializada. Esta situación es –justamente– una de las circunstancias que obliga a los trabajadores artesanales del sector a mantenerse alerta acerca de las prácticas depredadoras que realizan, quienes acostumbran esta actividad económica a gran escala, para prepararse ante esos efectos.

En cuanto al aspecto ambiental, ciertamente la pesquería artesanal se distingue por su respeto a la naturaleza y el cuidado sobre los equilibrios ecológicos. A decir de Solís y Díaz (2018), esta característica da cuenta de filiación que se genera entre los pescadores y los ecosistemas marinos, en las diferentes regiones donde se desarrolla la actividad. El mismo autor destaca que, la propia definición de esta actividad, es compleja, si no se advierte esa necesaria compatibilidad entre la extracción del recurso pesquero y la conservación de sus potencialidades, jugando un papel importante aquí las herramientas y técnicas utilizadas por los trabajadores que deben ser poco invasivas y respetuosas de la sostenibilidad de las fuentes hídricas.

La pesquería artesanal conjuga así una serie de dimensiones que la presentan como una actividad social, económica y cultural al mismo tiempo. Mirada desde la perspectiva social, es

una opción para muchas familias que habitan extensos territorios cercanos a las fuentes marinas y que ven en ella la posibilidad de obtener los recursos, tanto alimentarios como de ingresos monetarios para enfrentar la pobreza. De allí se desprenden sus rasgos económicos, siendo que, en los últimos años, ha sido uno de los sectores de mayor crecimiento, representando dentro del mundo de la pesca en general, un altísimo porcentaje y, contribuyendo, decisivamente, a la economía global (López & Espeso, 2020).

Desde el punto de vista cultural, “...la pesca en América Latina tiene antecedentes que se remontan a épocas prehispánicas, por lo que constituye una práctica económica con fuertes dimensiones culturales y sociales para los pueblos originarios que la desarrollaron” (Salazar, 2013, pág. 5). Por esto, hay que estar conscientes que, a pesar de la perdurabilidad en el tiempo de la actividad pesquera, en su versión artesanal, han sido muchos los cambios que ha sufrido y –con ellos– influido sobre las prácticas culturales de las que derivó. Ese impacto cultural se siente como parte de las dinámicas productivas que están enlazadas en las transformaciones que provoca el mercado de alimentos global.

En suma, la pesca artesanal, aunque mantiene ciertos rasgos distintivos propios de su origen antiguo, enfrenta a diario fuertes tensiones con los centros de producción de las políticas públicas que, en Latinoamérica –como en otras partes del mundo– tienden a favorecer la industrialización y la globalización de los procesos económicos. De hecho, el crecimiento de la pesca a esa escala industrial que se generó posterior a la Segunda Guerra Mundial, significó nuevos obstáculos para aquellos trabajadores de la pesquería, ubicados en el sector de mayor vulnerabilidad económica y social. El crecimiento de la demanda mundial impulsó la introducción de técnicas más especializadas que permitieran una mayor productividad, afectando directamente la pesca de subsistencia, artesanal o de pequeña escala, como también se le conoce.

2. La actividad pesquera artesanal en Ecuador: generalidades

La pesca artesanal en el territorio ecuatoriano es una de las actividades económicas y socioculturales de mayor arraigo en ciertas zonas del país. Sin embargo, según algunos autores, como León et al. (2017), en Ecuador, la pesca en general no es una de las actividades económicas

más florecientes. En realidad, podría considerarse un sector emergente que aún mantiene predominio de técnicas de carácter artesanal y –por ende– su industrialización se encuentra limitada. Estos rasgos derivan de la congruencia entre las convicciones que mantienen los pescadores, desde el punto de vista cultural, y sus incapacidades para hacer inversiones a gran escala, dadas las condiciones socioeconómicas en las que la mayoría de ellos vive, así como las limitaciones o regulaciones impuestas por el Estado.

Conceptualmente, la pesquería artesanal o a pequeña escala en el país, representa una opción de vida para las comunidades ecuatorianas, la mayoría de origen socioeconómico con mayor posibilidad de vulnerabilidad en su derecho a la alimentación, que optan por dedicarse a ese oficio como alternativa de subsistencia, en algunos casos, o como mecanismo de movilidad social. En su gran mayoría, estos pescadores utilizan pequeñas o medianas embarcaciones movilizadas manualmente o con motores de pocas dimensiones para sus actividades, además, usan materiales manuales para la captura del recurso pesquero.

No solo en el territorio ecuatoriano, sino en otras latitudes, la producción de la pesca artesanal suple una buena cantidad de los nutrientes que requieren las poblaciones de menores recursos, representando una verdadera alternativa, frente al costo de los alimentos de primera necesidad en la mayoría de los países de Latinoamérica. Incluso, la aparición de las flotas industriales para la pesca a gran escala, lo único que han logrado es el encarecimiento de un producto animal que, para los pueblos y las nacionalidades indígenas, siempre ha estado allí, como una contribución de la naturaleza, sin mayores condicionamientos que la preservación de los equilibrios ecológicos.

Las características naturales de este país refuerzan esa percepción de la posibilidad de la pesca como un verdadero premio de la madre tierra, pues, Ecuador cuenta con una gran extensión de aguas territoriales, que quintuplica su disponibilidad de superficie terrestre, presentando además, un auténtico santuario ecológico, como lo es las “Islas Galápagos” (Soriano, 2019). No extraña entonces, que un numeroso grupo de poblaciones ecuatorianas mantengan una trayectoria fuertemente ligada a la explotación pesquera, particularmente de corte artesanal, la cual –por cierto– es la encargada de suplir el consumo de pescado en el país, al tiempo que abastece algunas demandas específicas del sector exportador de productos pesqueros.

A pesar de tener esa importancia para la seguridad alimentaria del país, la pesca artesanal ha sido poco atendida desde las políticas públicas, al menos, en comparación con lo que ha sido el impulso dado a la acuicultura; es decir, la producción y comercialización de camarones. De hecho, esa atención privilegiada de la acuicultura, tiene un doble efecto sobre la actividad pesquera artesanal: por un lado les coloca en minusvalía institucional, al ser discriminados por el Estado y la inversión pública; y, por el otro, la forma intensiva en que se asentaron las industrias camaroneras, afectaron los ecosistemas y la existencia de las especies marinas, reduciendo la capacidad de trabajo productivo para los pescadores artesanales.

2.1. De las condiciones originarias y la evolución de la pesca artesanal en Ecuador

Las características naturales del Ecuador, lo hacen un país con una gran diversidad en cuanto a clima, suelo, vegetación y fauna, que le provee de muchas potencialidades cuando de desarrollar actividades productivas se trata (Hernández y Hurtado, 2020). La ganadería y la agricultura son parte fundamental de su estructura económica y a ello hay que sumarle la disponibilidad de más de 600 km de costa del Pacífico que es una fuente inagotable para la pesca, tanto industrial como artesanal, así como el turismo, que también adquiere dimensiones importantes por estas circunstancias que le da la naturaleza (Zurita, 2016).

En lo que respecta a la pesca artesanal, sus orígenes pueden rastrearse hasta las actividades de recolección manual de mariscos, realizada por los pueblos originarios hasta la inclusión de tecnologías primarias que permiten la incursión en algunas zonas de mar abierto (León et al., 2017). Su evolución se enlaza con el redimensionamiento que ha sufrido a nivel mundial el sector pesquero, el cual, "...es el sector alimentario con mayor dinamismo a nivel global, con una tasa de crecimiento anual promedio de 8.8%, desde mediados de la década de los 80" (Celaya & Almaraz, 2018).

Ese comportamiento económico implica a la pesquería artesanal y ha propiciado todo un movimiento de adecuación de sus actividades, tanto desde el punto de vista práctico, en la adopción de nuevas técnicas y estrategias pesqueras, hasta la asimilación de las exigencias de las políticas públicas que establecen regulaciones para impulsar la actividad, pero –también– para regular su desempeño. Es así como la importancia que adquiere el sector pesquero en Ecuador se

puede visualizar cuando, conjuntamente con la agricultura, se constituye en una de las actividades productivas de mayor crecimiento sostenido desde finales de la segunda década de este siglo.

Gracias a las bondades del clima tropical y templado que posee Ecuador, los pescadores se privilegien de tener una diversidad de riqueza marina donde destacan muchos peces que representan a Ecuador en varios mercados, como lo son: el Atún, Dorado o el Camarón. La diversidad de productos pesqueros y la pesca, al ser una actividad de origen ancestral permiten que la experiencia adquirida durante décadas ejemplifique a Ecuador como un país con actividad pesquera de alto potencial, lo que lo catapulta a ser un referente en los mercados mundiales de la Pesca.

Estas condiciones favorables, se fortalecen en la medida en que el consumo y comercialización del pescado se acrecienta, no solo entre la población ecuatoriana, sino a nivel mundial. La importancia de esto se redimensiona en un contexto en el que la alimentación sigue siendo uno de los derechos a preservar a nivel mundial; la pesca artesanal se erige como una de las principales alternativas para enfrentar las dificultades que persisten en ese ámbito. De hecho, en el caso ecuatoriano, las décadas que van desde 1990 hasta el 2020 han sido de crecimiento de la producción que –en líneas generales– ha alcanzado a proveer, aproximadamente unas 600 toneladas al mercado (Zurita, 2016).

Tomando en cuenta estas observaciones estadísticas, se puede decir que la pesquería artesanal se ha visto obligada a “caminar” a un ritmo más acelerado debido a las exigencias que le impone el proceso de globalización de la economía que, aunque no incorpore de facto a los pescadores o industrias de pequeña escala, se conectan a ellos en el entramado sociocomercial que implica la exportación de muchas especies de peces, cuya transacción se realiza en los puertos pesqueros artesanales del país. Siendo así, es imposible que los pobladores dedicados al oficio artesanal de la captura de peces, se desliguen completamente de las determinaciones que impone el mercado internacional y, en tanto, su evolución en el contexto local se encuentra ligado a las transformaciones que impone la globalización.

2.2. Del perfilamiento socioeconómico de la pesca artesanal en Ecuador

El perfil sociocultural que adquiere este sector que hemos venido analizando es producto, más que de una evolución armónica, de las contradicciones que provoca su fortalecimiento frente a las fuerzas dominantes del mercado internacional. Dentro del mismo territorio ecuatoriano, se libran debates y se enfrentan visiones en torno a las facilidades u obstáculos para el sector pesquero a pequeña escala. Las políticas públicas y las iniciativas de carácter jurídico, sin embargo, han representado un punto de apoyo importante para que los trabajadores en esta actividad económica se mantengan y puedan obtener de ella, más que la subsistencia, un nivel adecuado a los parámetros del modelo societal que promete la teoría del “buen vivir”.

Según Pazmiño (2017), quienes están dedicados a la pesca artesanal en Ecuador, mantienen un perfil socioeconómico verdaderamente complejo, debido a que su vulnerabilidad y pobreza, derivan de falencias estructurales que, a pesar de algunos esfuerzos realizados desde las políticas públicas en los últimos años, no se han podido revertir. Estos trabajadores mantienen una exclusividad con su actividad, de manera que –cualquier dificultad en ella– se refleja en sus condiciones socioeconómicas. Las familias están en su mayoría relacionadas en pleno con las acciones que demanda el trabajo y, en muchas ocasiones, los niños ni siquiera acuden a los centros educativos, sino que –desde muy temprana edad– se incorporan a la actividad pesquera.

Entre los rasgos distintivos que, el mismo Pazmiño (2017) destaca en su caracterización de la actualidad de la pesca artesanal, se pueden mencionar: a) la precariedad de infraestructura en que se encuentran las caletas artesanales donde los pescadores deben desembarcar sus productos; b) la incorporación, cada vez más numerosa de pescadores artesanales, ante la contracción de otras áreas de trabajo, lo que presiona sobre la disponibilidad del recurso pesquero y, por ende, el ingreso de las familias; c) la inestabilidad de los precios a que se paga el producto, especialmente a nivel de playa, que afecta también el ingreso por concepto de la actividad para las familias dedicadas a la pesquería artesanal y; d) las dificultades que se le presentan a las flotas artesanales para mantener y actualizar sus medios de captura y procesamiento de sus productos.

Todas estas características socioeconómicas de la pesquería artesanal, repercuten de forma negativa en su fortalecimiento como alternativa laboral para las familias que habitan la

región costera del país y las coloca en una posición difícil, desde el punto de vista del acceso a los bienes y servicios, pues, la mayoría solo cuenta con esta actividad para obtener sus medios de subsistencia. Sin embargo, también es necesario señalar que hay acciones que el Estado y los mismos pescadores artesanales organizados han realizado y continúan realizando para mantener vigente y rentable la pesquería artesanal.

2.2.1. En cuanto a comercialización del producto

Está claro que la pesca artesanal, tanto en Ecuador como en otras partes del mundo, no está pensada desde la perspectiva de una extensiva comercialización de sus productos, por tanto, lo que se busca es mantener un nivel de rentabilidad acorde con las necesidades de una familia promedio que requiere vivir dignamente. En esta dimensión de la actividad se pueden detectar una serie de elementos problemáticos que tienen que ver con la relación costo beneficio, generalmente desfavorable para los pescadores; la capacidad de gestión del pescador artesanal, que suele ser precaria; y el descuido institucional para fomentar y/o proteger los procesos de comercialización del pescado a pequeña escala. En general, en la figura 1, se presenta un resumen de los problemas económicos o comerciales que enfrenta la pesquería artesanal.

2.2.2. En cuanto a la tipología de la pesca artesanal y sus puertos

Así como se puede hablar de una clasificación de la pesca, entre industrial y artesanal, a lo interno de esta última, también es posible realizar una distinción: para Pazmiño et al (2017), es posible encontrar un tipo de pesca artesanal que se desarrolla en las Islas Galápagos y la pesca artesanal marítima del continente. A su vez, en la marítima continental se pueden distinguir tres tipos: de recolección, costera y oceánica. En todo caso, la tradición que tiene el país y la experiencia en el manejo de los recursos derivados de la pesquería, le permiten mantener una actividad que, en su esencia es respetuosa del equilibrio ambiental y los principios de sostenibilidad y sustentabilidad.

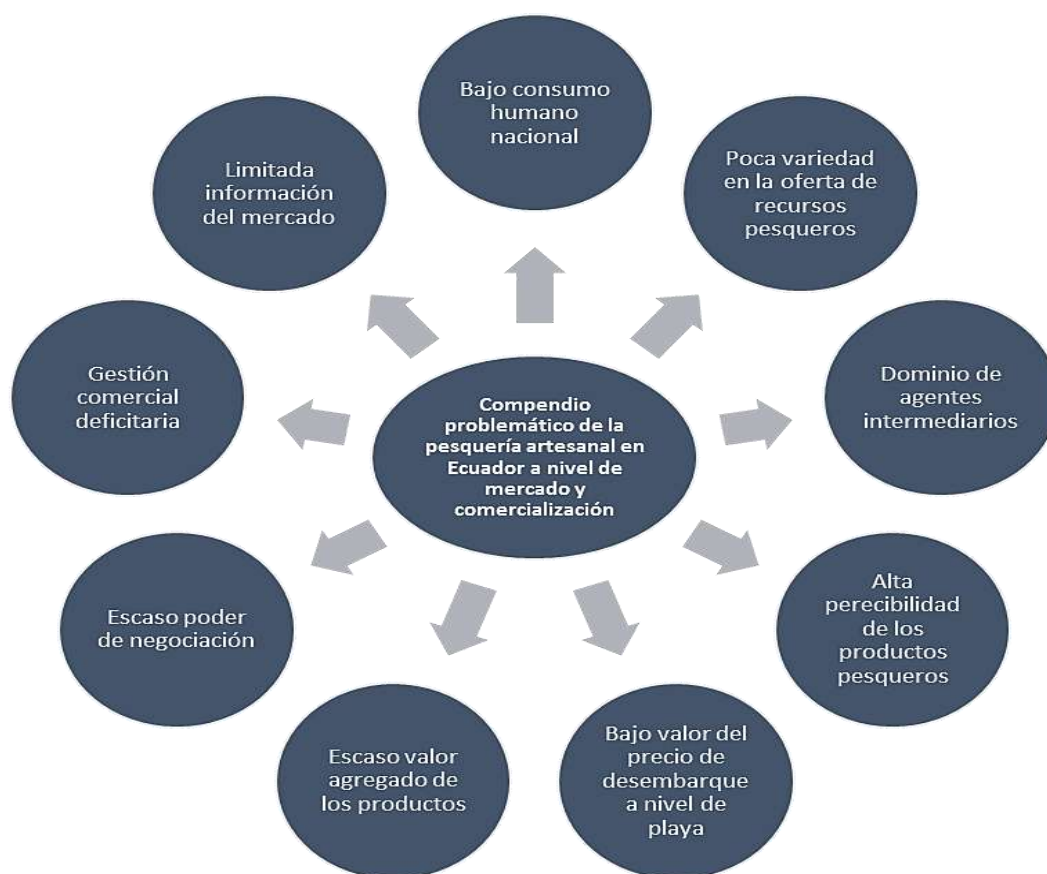


Figura 1. Perfil de mercado y comercialización de la pesca artesanal
Fuente: elaboración propia, basada en Pazmiño (2017).

En la expansión y fortalecimiento de la actividad de pesca artesanal es importante que se considere la existencia y mantenimiento de los puertos y caletas pesqueras que posee el país. “Actualmente los puertos pesqueros de mayor importancia a nivel artesanal, y que representan aproximadamente el 70 % del desembarque del país son: Esmeraldas, Manta, Puerto López, Anconcito, Santa Rosa y Puerto Bolívar” (Herrera et al., 2014: 3). Cada uno de estos puertos, no solo representan el centro neurálgico para la actividad de la pesca; en realidad, conforman el dispositivo socializador de la región, desde el que se dinamizan los procesos sociales, económicos y culturales de las poblaciones aledañas. En la figura 2, se sintetiza una caracterización de tres de los principales puertos para pesca artesanal:



Figura 2. Perfil de mercado y comercialización de la pesca artesanal
Fuente: elaboración propia

En general, la investigación realizada en torno a los aspectos conceptuales y los datos empíricos sobre el estado de la pesca artesanal en el Ecuador, considerando su perfil socioeconómico, nos reafirma la imagen de un sector compuesto por una gran diversidad de grupos humanos, nada homogéneos, incluso entre ellos mismos, pero con una larga tradición de trabajo y mística para desarrollar su labor. Igualmente, aunque no fue materia de esta indagatoria ha habido importantes avances en cuanto a las políticas públicas asociadas al robustecimiento y protección del sector, a pesar de los embates de una economía globalizadora que cada día exige más uniformidad y productividad, por lo que se contrapone a los principios originarios de la actividad artesanal, cualquiera sea el ámbito económico del que se trate.

En este orden de ideas, uno de los elementos constantemente vinculados a la actividad de la pesquería artesanal, tiene que ver con la afectación del ambiente o –más bien– su protección. Las prácticas de los pescadores a pequeña escala, tienden a ser respetuosas del equilibrio ambiental y suele tener el enfoque ecosistémico como orientador de sus actividades. En el cierre del texto del artículo, nos aproximaremos a esa relación siempre problemática entre

productividad y desarrollo sostenible, teniendo como referencia la pesca artesanal y las imposiciones factuales del proceso globalizador de la economía.

3. El desarrollo sostenible y la pesca artesanal en Ecuador

Los sistemas pesqueros en el mundo y, especialmente en Ecuador, forman parte de esas actividades económicas que, por sus características, se encuentran estrechamente vinculadas a la filosofía del desarrollo sostenible. Esta afinidad es comprensible, puesto que las manifestaciones que tiene en la actualidad el deterioro ambiental, promueven una nueva cosmovisión del mundo, para la cual, es central el tema de la humanización del desarrollo, basado en una nueva ética y una vinculación axiológica y no depredadora, entre el ser humano y la naturaleza, incluyendo –por supuesto– la explotación de los recursos pesqueros (Vázquez & Terazone, 2017).

Es así como, desde el punto de vista institucional, en el país hay un conjunto de organismos encargados de velar por el comportamiento del sector pesquero, de manera que sus actividades mantengan los estándares de resguardo ambiental, coherentes con el enfoque ecosistémico y, por ende, con la concepción de la sostenibilidad y sustentabilidad. Se entiende que los niveles expansivos de la demanda del producto pesquero, aunado al incremento del consumo en el mercado nacional, presionan insistentemente, por la utilización de técnicas de industrialización de la pesca que pueden terminar afectando gravemente las fuentes de este recurso y, en consideración a esa posibilidad, es que se constituye ese entramado institucional que planifica, administra y ejecuta la aplicación de las políticas públicas en esta área. Ese sistema institucional se muestra en el grafico 3.

En general, cada una de estas instituciones tiene sus objetivos, unos más específicos que otros, dependiendo el nivel del que se trate. En el caso que nos ocupa –que es el de pesca artesanal y sus relaciones con el enfoque de la sostenibilidad– la dependencia que la regula, como se ve en el organigrama, se encuentra en el plano más cercano a la realidad. Podría pensarse que por su propia esencia, la pesca de pequeña escala es respetuosa de los equilibrios ambientales. Sin embargo, es preciso que la presencia del Estado vele por este equilibrio, porque dada cuenta de las presiones de una globalización económica que está empujando cada vez más a la

intensificación de la producción, puede repercutir en prácticas de pesca con un mayor grado de depredación ecológica.

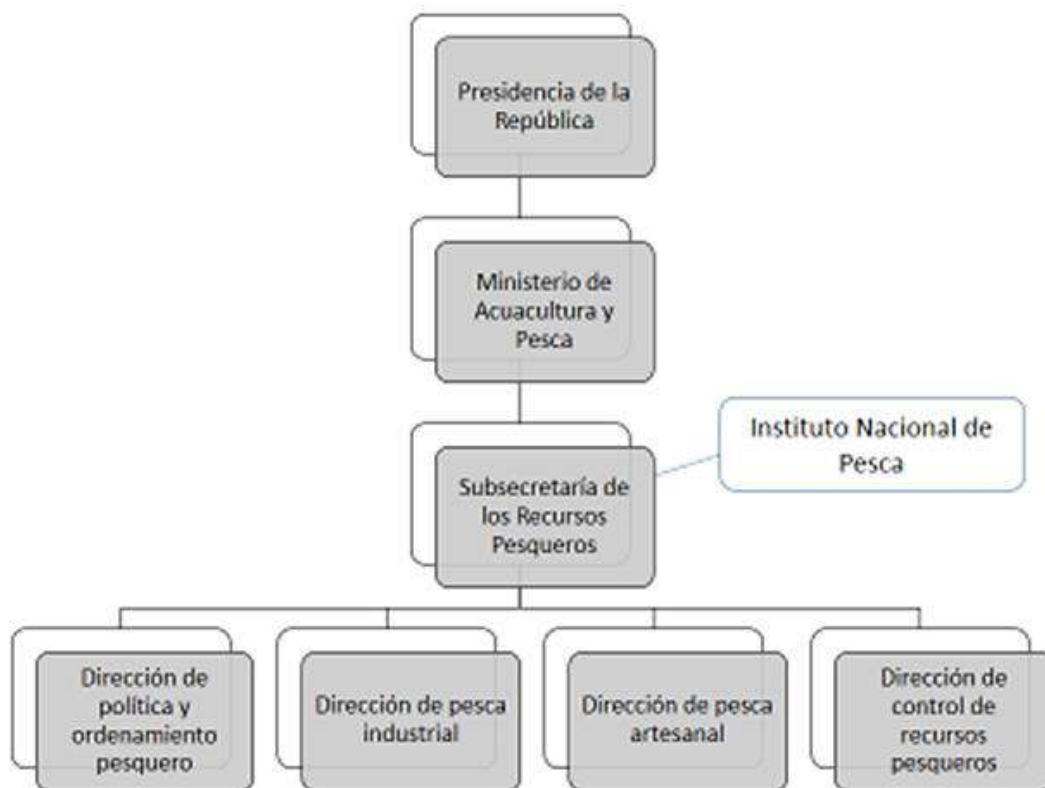


Figura 3. Los componentes institucionales del sector pesquero en el Ecuador
Fuente: Ministerio de Acuicultura y pesca (2020)

Igualmente, en el análisis de las condiciones portuarias en las que se comercializa la pesca artesanal, fue posible encontrar serias debilidades en cuanto a los mecanismos de deposición de los desechos pesqueros y los sistemas de alcantarillado de estos puertos. Estas circunstancias, activan las alarmas para que los pescadores artesanales, a partir de sus propias organizaciones cooperativas, puedan impulsar –bien sea desde sus propios recursos o a través de la presión sobre las instituciones– para que estas condiciones puedan combatirse y crear espacios portuarios con un mayor nivel de sanidad ambiental, coherentes con las perspectivas que impone el enfoque del desarrollo sostenible.

4. Epílogo de una relación: Sostenibilidad, pesca artesanal y perspectivas del desarrollo sostenible en Ecuador vistos desde la globalización

Aunque el subtítulo de este apartado parezca afirmar la existencia de “una sola globalización”, a estas alturas del debate sobre el tema, ha quedado entendido que este proceso es diverso y sus facetas van desde lo axiológico, pasando por lo cultural, lo político y –por supuesto– lo económico. Esa comprensión integral del fenómeno globalizador, es lo que se puede observar en las diferentes iniciativas estatales y culturales que se han activado en Ecuador, cuando se analiza la pesca artesanal en sus relaciones con el desarrollo sostenible. El Estado ecuatoriano ha diversificado la institucionalidad alrededor de la actividad pesquera, de forma que –en su versión artesanal– pueda estar protegida, pero no solo para permanecer como un sector subsidiario de la vida de los pescadores de este nivel, sino que se fortalezca como espacio cultural y potenciador del buen vivir.

Ese comportamiento estatal es congruente con la importancia que ha adquirido el producto pesquero a nivel mundial, en una sociedad globalizada que ha visto acrecentar la demanda y el consumo del pescado. En muchos países de Europa y Asia, por ejemplo, se puede observar la relevancia que se le da a la capacidad nutricional y alimentaria de este producto, debido a los problemas de obesidad o déficit nutricional que se presenta en algunas de estas latitudes (Pedroza, 2020). Dada esta situación impuesta por el proceso globalizador, algunos puertos pesqueros artesanales, se han visto en la obligación de incorporar modificaciones en cuanto al tratamiento, conservación y distribución del producto que permita la sostenibilidad de la actividad y –en esa medida– la rentabilidad para los trabajadores del sector.

Desde este punto de vista, en el caso ecuatoriano se puede afirmar que ha ocurrido un proceso pausado, pero continuo que mantiene la perspectiva positiva de la inclusión de la pesca artesanal en esa dinámica propia del mercado global, aunque sin perder su esencia, marcada por la cultura del pescador nacional y sus técnicas tradicionales. Sin embargo, obviar las exigencias que impone esa dinámica sería un error grave para la existencia de la actividad, porque ni los pescadores ni el Estado, pueden ignorar que la globalización implica mayores niveles de eficiencia y eficacia en la producción, que no siempre las actividades de captura artesanal pueden cubrir. De lo que se trata entonces, es de impulsar dispositivos culturales, pero también

educativos que coloquen a los pescadores al tanto de estas necesidades productivas actuales y de sus propias posibilidades para mantenerse en el sector.

4.1. La pesca artesanal frente al tema de la calidad ambiental y la sostenibilidad

La sostenibilidad contiene implicaciones ambientales que se reflejan en la necesidad de la pesca artesanal de mantener una relación “amistosa” con la naturaleza, de manera que, el hecho de realizarse a pequeña escala, no significa que sea inocua para el deterioro de los ecosistemas en los que interviene. En Ecuador, algunos puertos pesqueros artesanales no cuentan con la infraestructura necesaria para impedir que los residuos de la actividad pesquera, en su proceso de almacenamiento y distribución, una vez capturado el pez, sean eliminados completamente esos desechos, lo que puede provocar un incremento de la contaminación ambiental y déficit de sus condiciones de sostenibilidad. Incrementar la contaminación ambiental juega en contra, no solo de la sostenibilidad de los ecosistemas pesqueros, sino de la calidad y cantidad de producto que se pueda obtener de ellos.

Estas son las circunstancias que influyen en las regulaciones que, en el marco de sus competencias, el gobierno ha impuesto a la pesquería artesanal, en cuanto al “...manejo de desechos, usos de los recursos e incluso la sustitución de esquemas o modelos de producción” (Oñate, 2015). La Constitución Nacional de 2008, establece una serie de parámetros regulatorios para preservar los derechos de contar con un ambiente sano, en equilibrio y sostenibilidad ecológica. En su artículo 14, el texto constitucional reconoce esos derechos y declara el interés público para la conservación del ambiente, el cuidado del equilibrio de los ecosistemas y la preservación de la biodiversidad; principios todos estos, de obligatorio cumplimiento para quienes se dedican al sector pesquero, incluyendo, por supuesto, el artesanal (Asamblea Nacional Constituyente, 2008).

El cumplimiento de los preceptos ambientales, son –además– una manera de mantener la coherencia de la pesca artesanal con sus técnicas y procedimientos, lo que coloca a estas normas, en sintonía con la cultura que hay detrás de la actividad pesquera. Siendo así, el entramado jurídico que resguarda el desarrollo ecológico de la pesca, incentiva igualmente sus vínculos con el enfoque de la sostenibilidad, algo que le da ventaja frente a sus pares ubicados en el sector

industrial, donde la posibilidad de mantener el cumplimiento normativo, choca en muchos casos, con sus necesidades de expansión y cobertura de las demandas que hay sobre la importación del producto pesquero en el contexto internacional. A manera de síntesis en este apartado, la figura 4 presenta una ilustración de los elementos normativos que, en Ecuador, mantienen el marco regulador para la preservación de la calidad ambiental:



Figura 4. Marco normativo en Ecuador, relativo a la sostenibilidad ambiental

Fuente: Elaboración propia

4.2. Algunos cambios necesarios en la pesca artesanal de cara a su sostenibilidad y la globalización del mercado

La pesca artesanal en el Ecuador debe canalizar una serie de cambios en su operatividad, en la perspectiva de mantenerse en el sistema económico, con ciertos estándares de calidad y de sostenibilidad ambiental. Estos cambios incluyen, tanto el modo en que se asumen las relaciones con la naturaleza, como la cultura del trabajo, que debe articularse con la demanda internacional, muy relacionada con otras exigencias gastronómicas y productivas. Se entiende, de esta manera, que las necesidades de transformación son integrales, tanto en el contexto de la producción,

como en el terreno de la socialización cultural. Además, siendo la pesca una actividad del sector primario, de carácter extractivo, la preservación de su esencia, pasa –como ya se dijo anteriormente– por una re-educación de los pescadores para mantener su sincronía con la realidad de la globalización (Quezada & Álvarez, 2001).

El consumo que se abastece desde la pesca artesanal es tan importante como indiscutible. Solamente en el mercado interno de América Latina, ya para los inicios de este siglo, se estimaba que la mitad del producto llegaba desde ese tipo de pesca y, también, en el campo de la obtención de divisas, la producción artesanal del mercado pesquero empezó a ser importante en esa primera década, dada la globalización cada vez más extensa de la economía, lo que representa otro incentivo para que los pescadores involucrados con la actividad a pequeña escala, asumieran mayores retos, en cuanto a la utilización más eficiente de sus métodos de captura, sin que esto fuese a incrementar los efectos perniciosos sobre el ambiente natural.

El enfoque de la sostenibilidad ambiental en el contexto de la pesca artesanal y su relación con el mercado global, requiere además, mantener esquemas informativos que contribuyan para la construcción de una conciencia ecológica en los mismos consumidores, quienes deben presionar por la obtención de un producto, cuyo origen provenga de sistemas productivos respetuosos del medio ambiente, lo que nos habla de un modelo de relaciones de corresponsabilidad entre el Estado, los pescadores y los consumidores, todos con su cuota de compromiso. En el ámbito del consumo, tal como indica Pedroza (2020: 79), “la idea es controlar la demanda, para que a su vez las condiciones bajo las cuales esta se satisface se consigan de manera responsable y sustentable”.

Desde el campo estrictamente productivo, las modificaciones éticas y axiológicas que se plantean desde la globalización para los contextos locales, existen necesidades que no pueden ser “medidas” en el sentido cuantitativo del término: el modo de vida de los pescadores artesanales de Ecuador se ha visto impactado en su simbología y representaciones sociales, al tener que adecuarse a las demandas de un proceso que descarta las prácticas autárquicas y promueve una homologación de técnicas en aras de favorecer la explotación intensiva y extensiva de la naturaleza, aun cuando haya preceptos normativos que cumplir.

En suma, la realidad socioproductiva de quienes se dedican a la pesca artesanal en Ecuador, vive en un constante fluir de cambios que –independientemente de su ubicación y su contexto natural– que debe ser atendida para no fenecer en la vorágine de un proceso globalizador que no atiende a particularidades culturales. Ciertamente, se han dado importantes progresos en el ámbito institucional del país que, respondiendo en parte al paradigma del “buen vivir”, como modelo de desarrollo, favorecen un rostro de sostenibilidad para la pesca artesanal y le provee de las herramientas necesarias para mantenerse como una opción de vida para ingentes poblaciones ecuatorianas que han permanecido ligadas a esta actividad desde épocas muy antiguas.

Conclusiones

Las prácticas socioproductivas que están involucradas en la pesca artesanal en Ecuador, definen en buena parte sus relaciones con el enfoque de la sostenibilidad ambiental. Ahora bien, cuando se realiza un esfuerzo analítico e interpretativo como este, para establecer los nexos entre la pesquería artesanal y la globalización, se producen algunos dilemas teóricos y prácticos que no son de fácil resolución. Es una realidad que, tanto en este país como en el resto de Latinoamérica, los pescadores artesanales, aunque mantienen sus métodos ecosistémicos, han necesitado adecuarse a los parámetros que impone la realidad del mercado mundial que, aunque favorece su expansión, en esa misma exigencia contradice la persistencia de algunos de esos métodos con perspectivas ambientalistas.

No obstante, la evolución del sector pesquero artesanal ha venido recibiendo el apoyo de políticas gubernamentales que han permitido el fortalecimiento de algunas áreas, como la implementación de políticas públicas para la consolidación portuaria orientada a la pesca artesanal, así como el impulso de cooperativas e iniciativas de participación popular que conectan de forma más directa las necesidades de la pesquería artesanal con los intereses estatales.

La investigación bibliográfica adelantada en el contexto de esta reflexión, también ha arrojado luces sobre la realidad de la pesca artesanal en su dimensión cultural, alertando acerca de la necesidad de impulsar mecanismos de resistencia respecto a los valores que impone la

globalización en contra de una conciencia ambiental integral. No se trata únicamente de mantener la rentabilidad de la actividad pesquera a pequeña escala en Ecuador, es preciso – igualmente – que se respeten los esquemas de racionalidad de las poblaciones costeras para preservar aquellos principios propios del ser ecuatoriano de esas zonas, con las implicaciones productivas que eso supone.

En definitiva, la pesca artesanal ya no es lo que antes fue, su diversificación va de la mano de su contextualización frente a un proceso de cambios que incluye los modos de vida. Sin embargo, es una prioridad mantener ese esquema institucional que posee formalmente el país o – más bien – potenciarlo, de manera que muchas de las exigencias contempladas en ese esquema, puedan acercarse más a la realidad actual del universo de relaciones que representa la pesquería artesanal en Ecuador.

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Poverty in Russia: economic and social implications

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ABSTRACT

The purpose of the research is to analyze of poverty in Russia as the most important social problem of our time. The methodology of the study includes an assessment of the dynamics of socio-economic indicators in Russia in the period 2015-2020, as well as a comparison with European countries. It is shown that the problem of poverty is still one of the most pressing and urgent for modern Russia. Despite the outlined positive dynamics in the poverty level of the country's population in 2018-2019, there was a decline again in 2020, due to the deterioration of the socio-economic situation against the backdrop of the Coronavirus pandemic. As a result, the effectiveness of the earlier measures in the framework of social policy has practically disappeared, and the poverty level has practically reached 13%. The systemic lack of financial support for such critical sectors as education and health care has contributed to a series of cuts in order to save limited resources. A comparative analysis of the main socio-economic indicators in Russia and European countries made it possible to reveal the presence of significant differentiation, since Russia occupies the last positions among the compared countries in terms of basic social indicators.

KEY WORDS: social policy; standard of living; poverty alleviation; income; wealth.

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La pobreza en Rusia: implicaciones económicas y sociales

RESUMEN

El propósito de la investigación es analizar la pobreza en Rusia como el problema social más importante de nuestro tiempo. La metodología del estudio incluye una evaluación de la dinámica de los indicadores socioeconómicos en Rusia en el período 2015-2020, así como una comparación con los países europeos. Se demuestra que el problema de la pobreza sigue siendo uno de los más apremiantes y urgentes para la Rusia moderna. A pesar de la dinámica positiva delineada en el nivel de pobreza de la población del país en 2018-2019, hubo una disminución nuevamente en 2020, debido al deterioro de la situación socioeconómica en el contexto de la pandemia de coronavirus. Como resultado, la efectividad de las medidas anteriores en el marco de la política social prácticamente ha desaparecido y el nivel de pobreza prácticamente ha alcanzado el 13%. La falta sistémica de apoyo financiero para sectores tan críticos como la educación y la salud ha contribuido a una serie de recortes para ahorrar recursos limitados. Un análisis comparativo de los principales indicadores socioeconómicos de Rusia y los países europeos permitió revelar la presencia de una diferenciación significativa, ya que Rusia ocupa las últimas posiciones entre los países comparados en términos de indicadores sociales básicos.

PALABRAS CLAVE: política social; estándar de vida; mitigación de la pobreza; ingresos; riqueza.

Introduction

Ensuring sustainable socio-economic development is one of the most important tasks facing each state at the present stage. The key problem that has become more acute in recent years in Russia has been the growing poverty of the population. This phenomenon is complex, because it is determined by both economic and social reasons, and also carries a wide range of consequences of different nature. Given the fundamental impact on the state of society and the harmonious development of the economy, the problem of poverty becomes the main threat to the economic security of the country. The consequences of the decline in the real income level of Russians and the progress in increasing the share of low-income citizens are of significant importance for the stability of the current political system of the country before the elections to the "State Duma".

The importance of creating a favorable social environment is to reduce social tension among the population, as well as to increase the attractiveness of a particular area for living

and the flow of investment (Gnangnon, 2021). The global socio-economic situation in recent years is developing unfavorably: a series of economic crises, political and military conflicts, as well as a worsening epidemiological situation and the coronavirus pandemic have dealt a significant economic blow, inevitably provoking a deterioration in the social situation of the population (Hussain et al., 2021; Datt et al, 2020). As a result, there has been an increase in socio-economic differentiation both between countries and within them, which has actualized the task of maintaining an optimal level of well-being of the population.

In the context of acute political processes within the country against the background of elections and relations with the world society against the background of sanctions, as well as the characteristic consequences for the economy and society as a result of the impoverishment of the population, we define poverty as the main threat to Russia's economic security. Therefore, the purpose of the study was to assess the indicators that characterize poverty as a socio-economic phenomenon.

1. Materials and methods

In the course of the study, using data from the statistical collection "Russia in Numbers" (2021), the main indicators of the standard of living of the population in Russia in the period 2015-2020 are considered. The number and proportion of the poor were selected as the main criteria for assessing the level of poverty, which makes it possible to assess the change not only in the absolute number of people living below the poverty line, but also makes it possible to assess the overall effectiveness of social policy aimed at reducing the level of poverty in the country. Also, an assessment of the dynamics of the average per capita income of the Russian population, reflecting the nominal growth in welfare, is given, and the change in real disposable income, expressed as a percentage of the previous year, is considered, which makes it possible to assess the real trends in the change in the population's income in the period under study, not related to inflationary processes in the economy.

Based on the data of the analytical report for the Central Bank of the Russian Federation "Measurement of inflation expectations and consumer sentiment based on public opinion polls" (June 2021), an assessment of the position of the population regarding the change in its financial situation and the rise in prices in the economy was carried out in the period from January 2019 to April 2021 quarterly. The exception is the period April-July 2020,

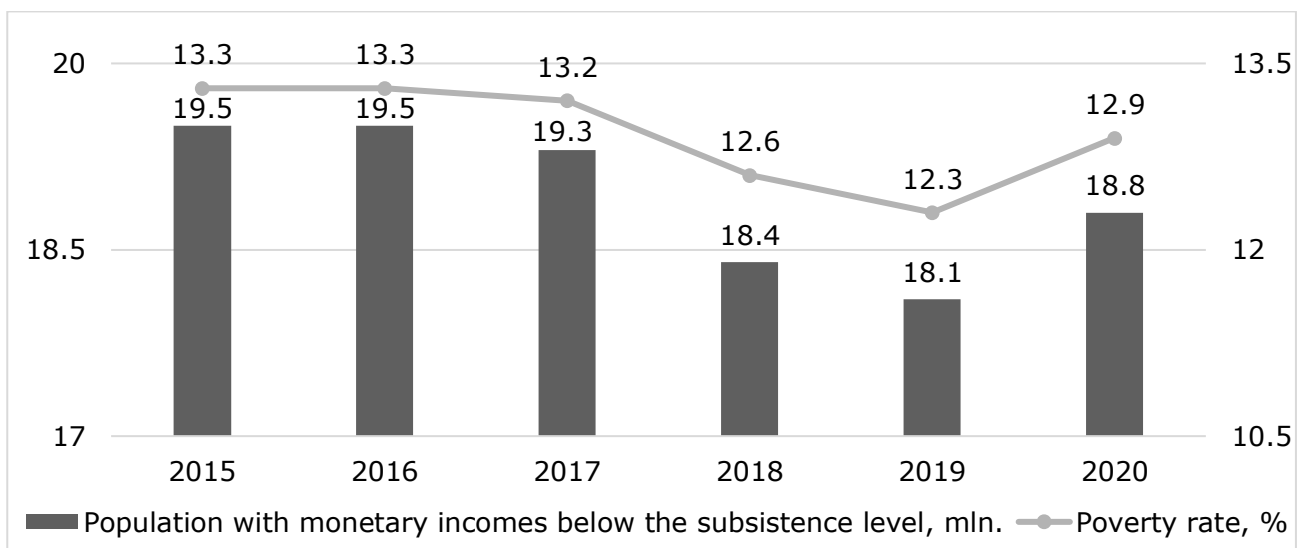
when, due to the deteriorating epidemiological situation, surveys were not carried out, in connection with which the data for March and August 2020 were considered. The survey was conducted on a sample of 2,021 adults living in 55 regions of the Russian Federation. The interview was conducted at the place of residence in the “face-to-face” mode, while the statistical error of the results was within 3.3%. The study of the position of the population regarding their own financial situation and the level of prices in the economy makes it possible to assess personal feelings about the changes in the level and cost of living in recent years.

The assessment of the state of the social sphere in Russia was carried out on the basis of the dynamics of the development of the health care system and education. In the field of health care, the dynamics of the number and provision of the population with outpatient and inpatient medical organizations has been analyzed, which makes it possible to assess the level of accessibility of medical care for the population at each stage of medical care. In the field of education, the assessment was made in the context of the dynamics of the number of educational institutions of different levels - schools, organizations of secondary vocational and higher education in total and in the context of forms of ownership. The results of the study make it possible to assess the development of the most important areas of the social sphere, which reflects the level of accessibility of social infrastructure and the quality of life of the population as a whole.

The study also provides a comparative analysis of the standard of living in Russia and 9 European countries as of 2020 based on a number of indicators. The following were selected as key indicators: the size of the subsistence minimum, the size of the minimum and average wages per month, expressed in US dollars; unemployment and poverty rates as a percentage; and quality of life and human development indices. Evaluation of the selected indicators in Russia in comparison with European countries makes it possible to comprehensively assess the existing standard of living in the country in the context of the problem of poverty. The study of the level of poverty in Russia as a social problem of our time was carried out on the basis of a number of methods and approaches, including analysis of dynamics, comparative and logical analysis.

2. Results

The total population below the poverty line in Russia at the beginning of the period under review was 19.5 million people, which is equal to 13.3% of the total population in the country. In the period 2016-2019, there is a steady trend towards a decrease in both the number and the share of the poor population in the country. At the same time, the trend has been increasing since 2018, when the number of poor people amounted to 18.4 million people, which is equal to 12.6%. The lowest value of the indicators can be identified in 2019, when the number of people below the poverty line fell to 18.1 million. people, and their share is up to 12.3%, which is more than 7% higher than the data of 2015. At the same time, in 2020, associated with the beginning of the coronavirus pandemic, there was an increase in the number of poor people in the Russian Federation to 18.8 million people, which is equal to 12.9% of the total population in the country. The increase in indicators compared to the level of the previous year was 3.9% and 4.9%, respectively, due to the deterioration of the economic situation in the country, as a result of which there was a decrease in the income of the population (Figure 1).

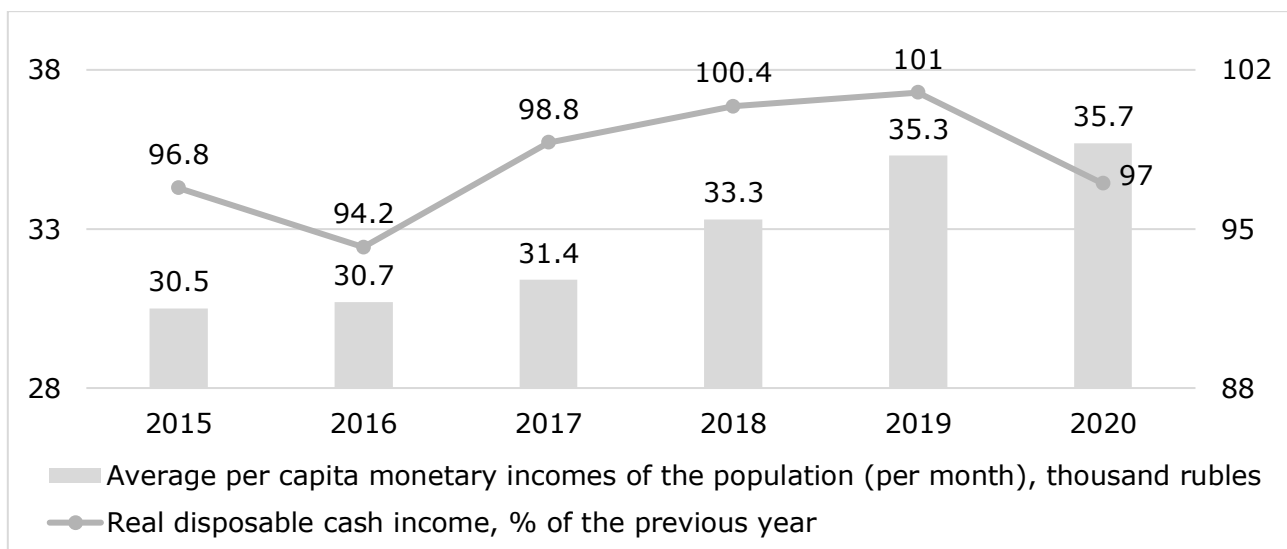


Source: compiled by the authors on the basis of data from Russia in numbers (2021).

Figure 1. Dynamics of the number and share of the poor population in Russia in 2015-2020.

The average per capita income of the population in national currency is steadily growing in the period under study, reaching 35.7 thousand rubles by 2020, which is 17% higher than the level of 2015, when the indicator was 30.5 thousand rubles. At the same time, the highest rates of growth in the average per capita income of the population of the Russian

Federation have been observed in recent years, starting in 2018, when the indicator reached 33.3 thousand rubles. Despite the nominal stable growth of average per capita income, the assessment of the dynamics of real per capita income showed a wavelike character of the change in the indicator. In the period 2015-2017, the increase in average per capita income had a negative trend, as evidenced by the value of the indicator not exceeding 100%. At the same time, the largest decline can be noted in 2016 and it is 5.8%. In 2018-2019, there was a positive trend, as a result of which in 2018 the increase in average per capita income was 0.4%, and amounted to 1% in 2019. In 2020, there is again a decrease in the average per capita income of the population by 3% compared to the level of the previous year, which is associated with the deterioration of the economic situation in the country during the pandemic (Figure 2).

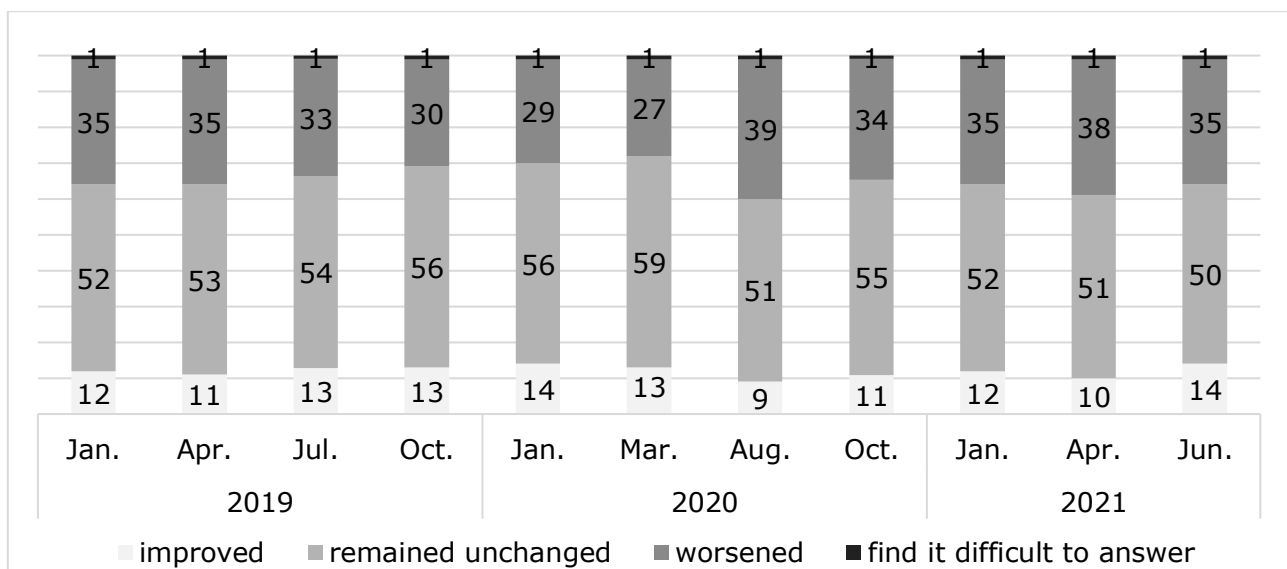


Source: compiled by the authors on the basis of data from Russia in numbers (2021).

Figure 2. Dynamics of average per capita money income and real disposable income of the population in Russia in 2015-2020.

According to the results of a sociological survey, the material situation of the majority of the country's population (more than 50%) has not changed since January 2019, however, this indicator varied within 52-59% in the period from January 2019 to March 2020, and decreased to 51% already in August 2020. Despite the positive dynamics of growth in the share of the population with the same income level in October 2020 - January 2021, its share decreased to 51-50% in April-June 2021, which is the lowest value. At the same time, there is an increase in the proportion of the population whose financial situation decreased in the

study period, especially in August 2020, when the proportion of such a population increased to 39%. Despite the improvement in the situation in October 2020 and January 2021, the share of the population increased again with a deterioration in the financial situation to 38% in April 2021. In turn, the proportion of the population, whose financial situation has improved, varied from January 2019 to March 2020, being in the range of 11-14%. However, there is a decrease in this indicator to 9% already in August 2020, and to 10% already in August 2020. As a result, it can be concluded that the situation with the material situation of the population was more stable in the period until August 2020, and in recent periods, due to the coronavirus pandemic, there was a general deterioration in the material situation of the population; at the same time, the variation by quarters increased due to the general socio-economic instability (Figure 3).

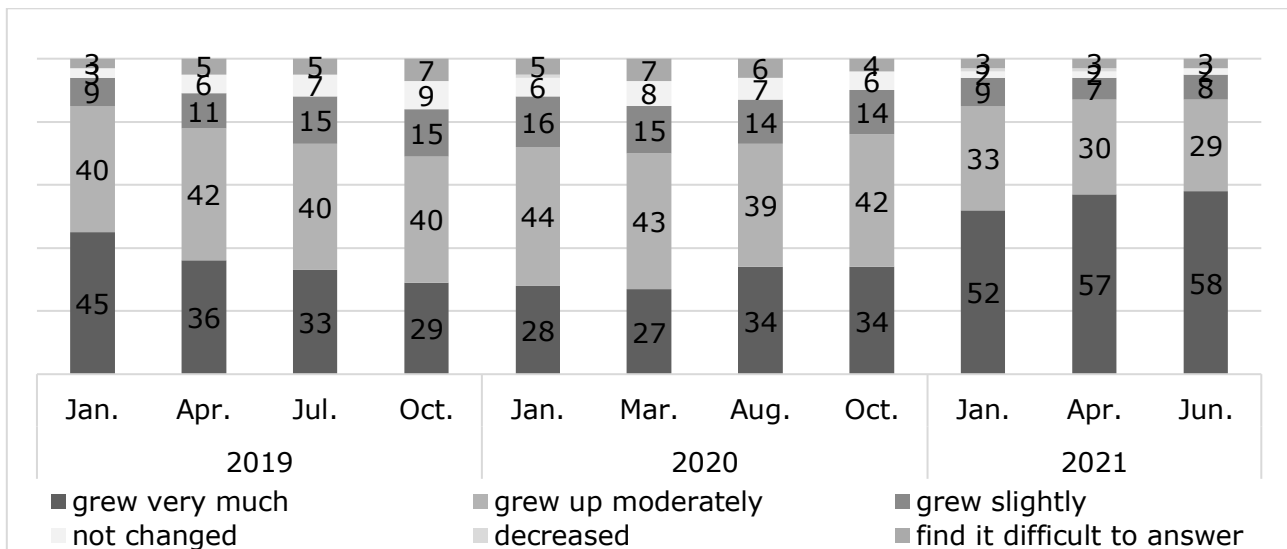


Source: compiled by the authors on the basis of data measuring inflation expectations and consumer sentiment based on public opinion polls for June 2021.

Figure 3. Assessment of changes in the material situation of the population of Russia based on a sociological survey%.

At the same time, according to the population, a significant increase in prices in the period from January 2019 to October 2020 was noted by 45% -34%, and since January 2021 this indicator has exceeded 50% and tends to grow to 58% by the end of the surveyed period with a simultaneous decrease in the proportion of the population, who have an opinion about a less significant increase in prices. In 2019-2020, moderate growth was noted by slightly more than 40% of the population, and since January there was a decrease in the indicator to

33%, and to 29% by the end of the period under review. At the same time, a slight increase in prices in 2019-2020 was highlighted by about 15% of respondents, and in 2021 the indicator decreased to less than 10%. As a result, it can be noted that in 2021, in the opinion of the population, there was an increase in the growth of prices for goods and products compared to previous periods, which is due to the deterioration of the economic situation (Figure 4).



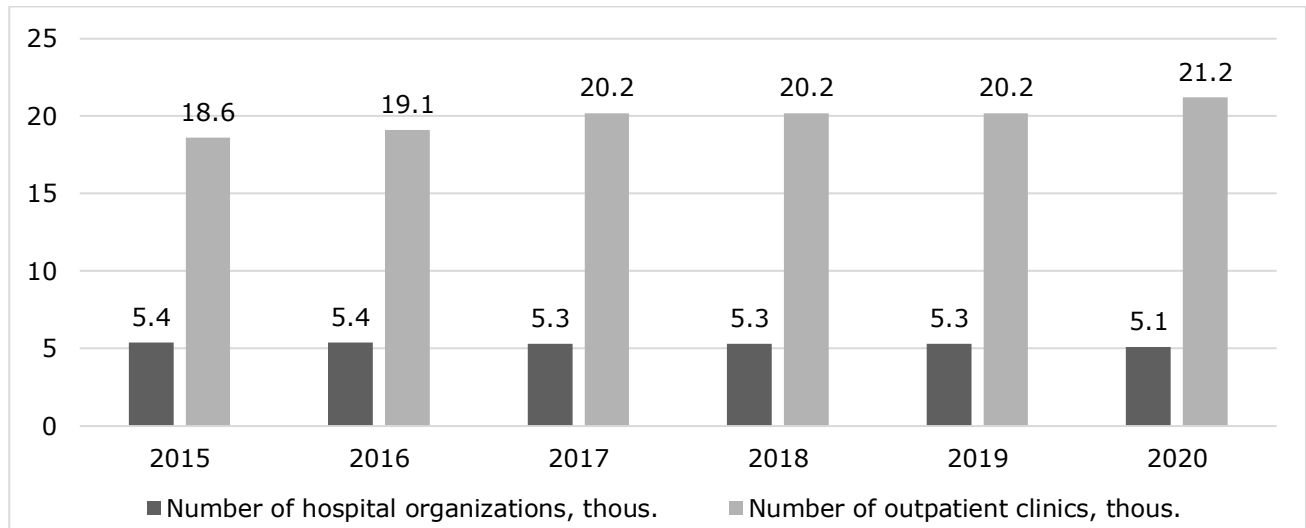
Source: compiled by the authors on the basis of data measuring inflation expectations and consumer sentiment based on public opinion polls for June 2021.

Figure 4. Estimation of price growth over the past month according to the opinion of the Russian population based on a sociological survey%.

At the present stage, the development of the country's social sphere, mainly healthcare and education, is of great importance, which also largely determines the level and quality of life of the population. Important social indicators such as morbidity and mortality, as well as the health of the nation in general, depend on the efficiency of the functioning of the health care system. In turn, the role of the education sector is to form a high level of literacy of the population, which contributes, among other things, to an increase in the scientific potential of the country. The high level of development and effective functioning of these sectors of the social sphere is aimed at the formation of large human capital and is inextricably linked with the standard of living and well-being of the population (Zyukin et al., 2020a; Zyukin 2 et al., 2020b).

An assessment of the main indicators of the development of the healthcare system in Russia revealed that in the last 6 years there has been a tendency for the number of outpatient clinics to grow by 14% to 21.2 thousand, while the number of hospitals has decreased to 5.1

thousand. This is due to optimization processes in healthcare and the active development of primary care as the main element of the medical care system in Russia (Figure 5).



Source: compiled by the authors on the basis of data from Russia in numbers (2021).

Figure 5. Dynamics of the number of outpatient and hospital organizations in Russia in 2015-2020.

As a result, there is an increase in the throughput of polyclinics by more than 5% over the period under review, as a result of which the capacity of the outpatient polyclinic network of the country reached 4.1 million visits per shift in 2020, and 278 visits per shift per 10 thousand population, which is the highest value for the period under review. As a result, we can say that primary health care has been actively developing in recent years, while the availability of medical care for the population on an outpatient basis has increased significantly, since the number of visits per shift per 10 thousand people increased by 14 units. At the same time, the capacity of the country's hospital network providing inpatient care has decreased by almost 4% in 5 years. If in 2015 the country's bed capacity was more than 1.22 million beds, then in the last 2 years the figure is at the level of 1.17 million beds. This is due to their reduction in the framework of resource optimization in the industry, since inpatient care is one of the most expensive, as well as the maintenance of one functioning bed. As a result of the reduction in the absolute number of beds in the country, the provision with beds decreased to 80 per 10 thousand of the population, while their number was 83 in 2015. Therefore, we can talk about a decrease in the provision of the population with beds, which indicates a decrease in the availability of this type of medical care.

At the same time, it should be noted that not only health, but also in a number of cases, a person's life largely depends on the availability of inpatient medical care, since this type of care, in contrast to outpatient care, is characterized by the greatest functionality and allows you to receive high-tech medical services. Therefore, the transfer of the main load to the primary care cannot be considered an absolutely correct decision, which became clearly understood with the onset of the coronavirus pandemic. When there was an acute shortage of pulmonary beds in the country and difficulties in re-profiling other beds, taking into account the need of time, and also there was a need to expand the bed capacity in the country through the construction of additional capacities (Table 1).

Table 1. Dynamics of the main indicators of the development of the healthcare system in Russia in 2015-2020.

Index	Value						Change in 2020 to 2015, %
	2015	2016	2017	2018	2019	2020	
Capacity of outpatient clinics, visits per shift:							
total, thous.	3861	3914	3967	3967	3998	4072	5,5
per 10 thousand people	264	267	270	270	272	278	5,3
Number of hospital beds:							
total, thous.	1222	1197	1183	1183	1173	1174	-3,9
per 10 thousand people	83	82	81	81	80	80	-3,6

Source: compiled by the authors on the basis of data from Russia in numbers (2021).

The current state of the education sector is also characterized by a number of problems, primarily in the school sector. Over the past 6 years, the total number of schools decreased by 9% and amounted to 40.8 thousand compared to 44.8 thousand at the beginning of the period under review. At the same time, this reduction is due solely to the reduction of state and municipal schools by 9.4%, while the number of private ones is steadily growing and by 2020 reached 857 units, although it makes up a small share in the total volume of schools in the country. In the sphere of secondary vocational education, there is a positive dynamics of growth in the number of functioning institutions: over 6 years, their number increased by 13.3% and reached almost 3.3 thousand, while only 2.9 thousand of them are state or municipal. One of the current trends in the field of secondary vocational education is the active growth in the number of private organizations of this profile: in just 6 years, their number has almost doubled and amounted to 362 units. Extremely negative

trends are observed in the field of higher education, where the overall decline in the number of higher educational institutions has exceeded 40%. Despite the increase in the indicator in 2016 to 1079 units, by 2020 the number of higher educational institutions decreased to 563 units. At the same time, the reduction was most reflected in higher educational institutions of private ownership (-68.2%), the total number of which was only 128 by 2020, while the total number of state institutions was 435, which is more than 20% below the base year level (Table 2).

Table 2. Dynamics of the main indicators of the development of the education system in Russia in 2015-2020

Index	Value						Change in 2020 to 2015, %
	2015	2016	2017	2018	2019	2020	
Schools (total), incl.:	44848	43376	42621	41958	41349	40823	-9,0
state and municipal	44097	42593	41804	41103	40498	39966	-9,4
private	751	783	817	855	851	857	14,1
Organizations of secondary vocational education (total), incl.:	2909	2891	3278	3316	3311	3295	13,3
state and municipal	2665	2645	2995	2999	2961	2933	10,1
private	244	246	283	317	350	362	48,4
Higher education organizations (total), incl.:	950	1079	840	651	596	563	-40,7
state and municipal	548	727	597	480	455	435	-20,6
private	402	352	243	171	141	128	-68,2

Source: compiled by the authors on the basis of data from Russia in numbers (2021).

As a result, we can say that negative social trends are also noted in the education sector, associated with a reduction in the number of institutions at all levels of education, except for secondary vocational, and in the largest state and municipal forms of ownership. This is largely due to the lack of funding for the education sector, as a result of which the maintenance and service of some educational organizations becomes impossible, and therefore, measures are being taken to optimize and reorganize. In the sphere of higher education, such a decrease is not so critical, since this level of education is not compulsory, although it is becoming more and more important; however, in the sphere of general (school)

education, such tendencies are extremely negative, due to the obligatoriness and importance of this level of education for the formation of human potential with a high level of general literacy. A decrease in the number of schools inevitably contributes to the overcrowding of the remaining ones, which negatively affects the quality of the educational process and the final result of training.

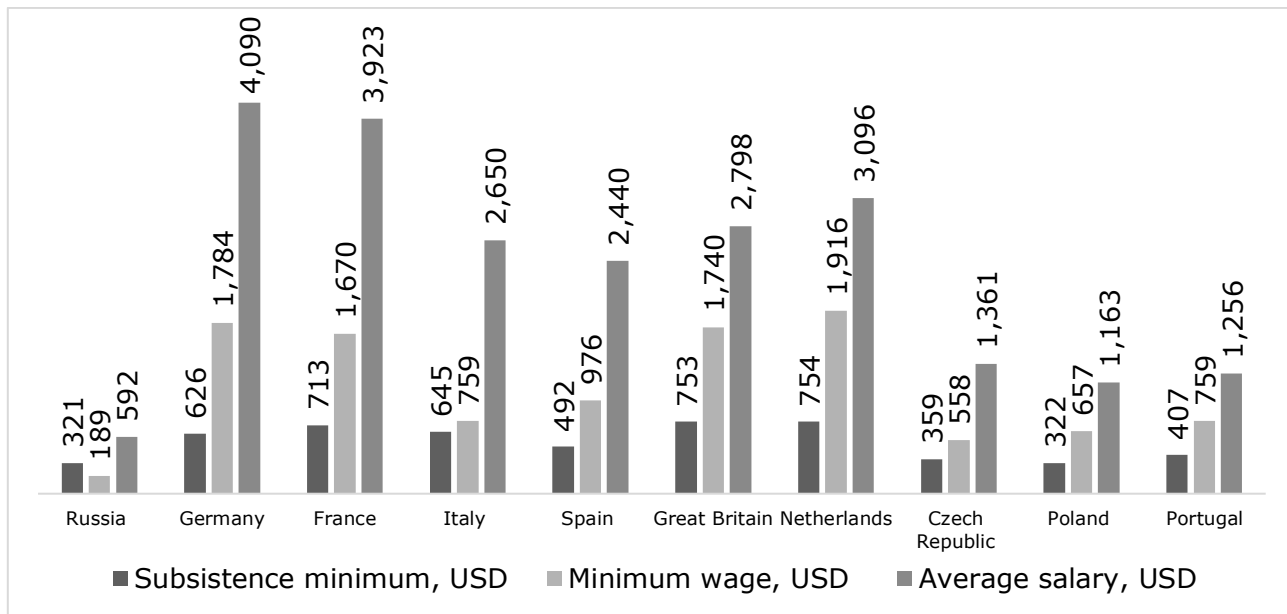
In the context of the emerging budgetary educational infrastructure deficit and the trend towards the commercialization of education, especially higher education, preconditions are being formed for the active development of private educational organizations as a business area, similar to the healthcare sector. However, one of the main factors hindering the more active development of private systems of both education and health care today is hampered by the general low standard of living of the population and a decrease in real incomes, which often makes it impossible to obtain these types of services on a paid basis.

This is confirmed by the results of a comparative analysis of the main indicators of the standard of living in Russia and individual European countries, which underlines the existence of significant differentiation. Today, the country's living wage is one of the lowest and in 2020 amounted to \$ 321, which is almost equal to the level of Poland (\$ 322) and slightly below the level of the Czech Republic (\$ 359). At the same time, in the most developed European countries, such as the Netherlands, Great Britain, France, Italy and Germany, the size of the living wage of a person is more than 2 times higher than that of the Russian Federation.

Also extremely low in Russia can be noted and the minimum wage, which partly forms the initially low standard of living in the country. So, in 2020, the minimum wage in the Russian Federation amounted to \$ 189 per month, while in the Netherlands this figure is \$ 1,916, in Germany - \$ 1,784, Great Britain - \$ 1,740, and France - \$ 1,670. , which forms an almost tenfold gap in the country in terms of wages in comparison with the most socially and economically developed countries in Europe.

The situation is similar with the average wage level: in Russia in 2020, the national average wage level was \$ 592, while in comparable European countries this indicator exceeds \$ 1,000. At the same time, the highest wage level in 2020 was celebrated in Germany (\$ 4090), France (\$ 3923) and the Netherlands (\$ 3096); more than \$ 2,000 per month average wages

in countries such as the UK, Spain and Italy. As a result, it can be concluded that the average level of wages in Russia is low and significantly differentiated from the level of European countries, with the gap varying from 2 to 7 times (Figure 5).



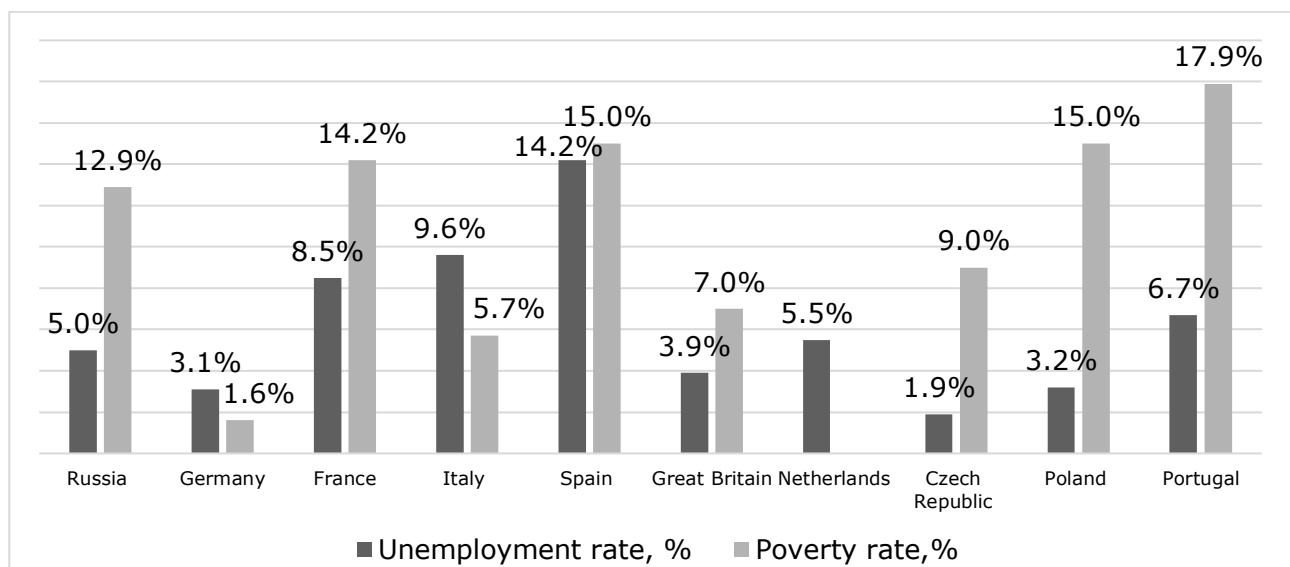
Source: compiled by the authors on the basis of data from Russia in numbers (2021).

Figure 5. Comparison of the main indicators of living standards in Russia and individual European countries in 2020.

Comparing the unemployment rate in Russia, which in 2020 was 5.5%, and in European countries, we can note the presence of a significant variation in the indicator. So, the lowest unemployment rate is in the Czech Republic, Poland, Germany and Great Britain, where the indicator does not exceed 4%. In turn, the highest level is observed in Spain, Italy and France, where the share of the unemployed population is more than 14%, despite the relatively high level of wages in them. This indicates that the problems in the labor market in these countries are caused by factors other than the level of wages and may be associated with limited labor supply.

Considering the poverty level in the compared countries, it can also be noted that there is a significant variation in the indicator. Thus, the poverty level in Russia was 12.9% in 2020, which is a fairly high value, but at the same time lower than the level of many European countries, such as Portugal, Poland, Spain and France. The lowest poverty rates are found in the Netherlands (less than 1%), Germany (1.6%), while the average is in Italy and the UK. At the same time, it can be noted that in some European countries, such as France and Italy,

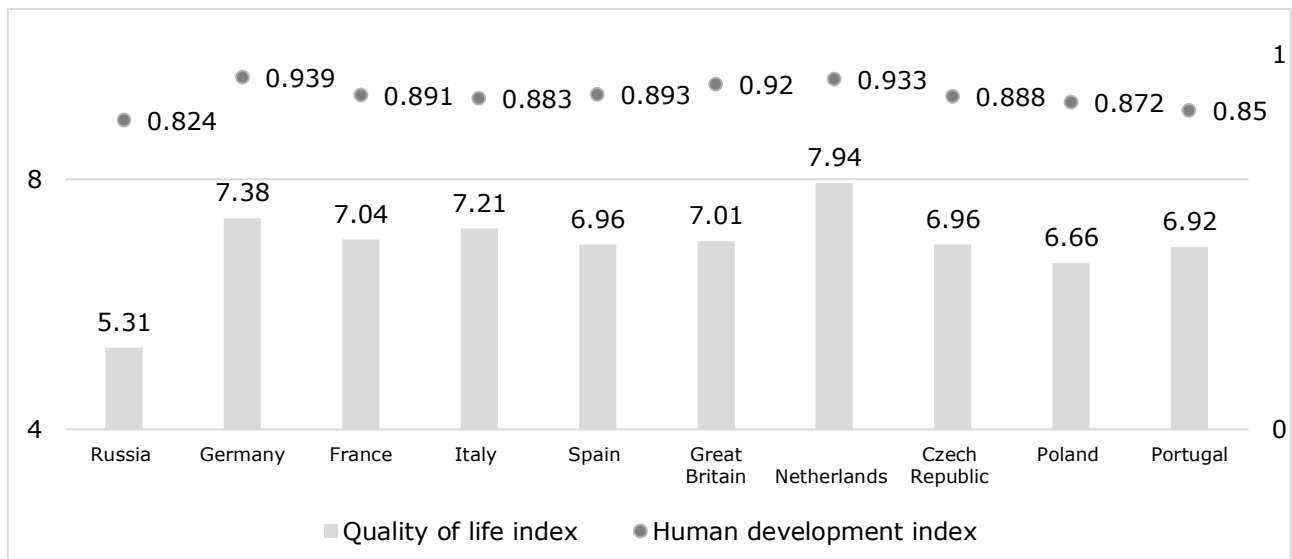
despite the presence of high minimum and average wages, as well as a living wage, the unemployment and poverty rates are also quite high, which allows us to conclude that that poverty as a phenomenon is a multidimensional problem that requires an integrated approach. At the same time, the experience of countries such as the Netherlands and Germany shows that the formation of a low level of unemployment and poverty while ensuring high indicators of the average level of wages takes place (Figure 6).



Source: compiled by the authors on the basis of data from Russia in numbers (2021).

Figure 6. Comparison of unemployment and poverty rates in Russia and selected European countries in 2020.

Evaluating the quality of life index as a summary criterion of socio-economic well-being in countries, it can be noted that Russia has the lowest value of 5.31, while in the considered European countries this indicator varies within 6.66-7.94, which forms a gap at the level of 25-50%. At the same time, the highest value of the quality of life index is observed in the Netherlands and Germany, which occupy leading positions in all considered socio-economic indicators. In turn, the lowest values among the EU countries are noted in Poland and Portugal, but, however, they significantly exceed the level formed in the Russian Federation. As a result, it can be concluded that today in Russia the level of quality of life is rather low and significantly inferior to the level of most European countries, which is due to the existing socio-economic problems, the main of which is poverty and the trend towards a decrease in real incomes of the population in recent years (Figure 7).



Source: compiled by the authors on the basis of data from Russia in numbers (2021).

Figure 7. Comparison of quality of life and human development indices in Russia and individual European countries in 2020

The study of the human development index in 2020 in Russia in comparison with European countries revealed that in all the countries under consideration, in accordance with the adopted methodology, the level of the human development index is high, since it exceeds 0.800. At the same time, it should be noted that among all the studied countries, Russia has the lowest indicator of 0.824, while in the most socially and economically prosperous Germany and the Netherlands, the indicator was 0.939 and 0.933, respectively. Also, more than 0.9 human development index is noted in the UK, and within 0.85-0.9 - in the remaining of the considered European countries. As a result, it can be concluded that the level of socio-economic well-being of the population existing in Russia today is rather low in comparison with the level of the leading European countries.

3. Discussion

The problem of poverty is one of the most pressing and significant for many years in Russia and unfavorable economic factors of recent years have contributed to an even greater deterioration in the material situation of the population (Klimanov, 2020), as a result of which the poverty level, which was already at a sufficiently high level, has returned grow (Malkina, 2016). Modern Russian society is characterized by significant social stratification, which tends to increase, as a result of which a significant part of the population continues to become impoverished, while the other continues to become more and more rich (Mikheeva,

2020). The indices of consumer expectations and consumer confidence over the past years have been negative values, which indicates the predominance of negative assessments of the personal financial situation by the population (Shuvalova, 2018).

In addition, it should be noted that the very method of determining the “poverty line”, which allows the population to be graded by income level, is rather relative and does not correspond to the realities in Russia (Orlova and Lavrova, 2020). Today, the key indicator is the subsistence minimum, determined in accordance with the consumer basket, which, according to many researchers (Shirov, 2021; Pasechko and Sapronov, 2017), is nominal and does not correspond to the price level in the economy, as well as to all the basic needs of a modern person. As a result, the official poverty level in the country is quite high, despite the fact that only the population with the lowest income is taken into account in the calculation; despite the fact that a significant proportion of people have incomes, although higher than the subsistence level, but also low enough for a comfortable life (Slobodenyuk and Anikin, 2018). One of the solutions to the problem is the idea of switching to an unconditional basic income, which is being implemented as an experiment in Finland (Stefanova and Shchukin, 2017).

The current situation in Russia, according to a number of authors (Bobkov and Odintsova, 2020; Korovkin, 2018), is caused, among other things, by problems in the labor market associated with a significant imbalance between supply and demand, as well as with the overall low cost of human labor for market. As a result, people often lack decent employment opportunities with adequate wages, especially in a number of occupations that are less attractive (Lialina, 2021). Among the factors, the most significant risk factors for working income poverty were: female gender, the number of household members, work experience at the current place of work, the presence of disability, unwillingness to work additionally, even if it will bring additional income, the availability of secondary special, vocational and technical education (Aslayeva et al, 2021).

The situation is such that in the regions of the country the level of remuneration is formed differentially and is directly dependent on the socio-economic development of the territory (Parkhomchuk et al., 2021; Borovitskaya et al, 2019). The situation in the labor market is aggravated by the presence of territorial differentiation in the level of wages, which activates the processes of labor migration in the economy and thereby creates a shortage of

personnel in less attractive regions of the country (Mkrtchyan and Florinskaya, 2018). As a result, there is an increase in social inequality between the regions of the country, where the level of wages and living in general is observed in economic centers, while in the remote peripheral regions of the country the level of poverty is higher (Smirnyh and Polyakova, 2020).

Therefore, at the present stage, the central task within the framework of the strategy for the long-term socio-economic development of Russia is not only a qualitative increase in the level of well-being of the population, but also the smoothing of the emerging territorial interregional disparities in the level of wages (Berdiev et al., 2020). This will create a favorable living environment everywhere and thereby reduce poverty (Kolosnitsina and Filippova, 2017).

Conclusions

The problem of poverty is still one of the most pressing and urgent for modern Russia. Despite the outlined positive dynamics in the poverty level of the country's population in 2018-2019, there was a decline again in 2020, due to the deterioration of the socio-economic situation against the backdrop of the coronavirus pandemic. As a result, the effectiveness of earlier measures within the framework of social policy has practically disappeared, and the poverty level has practically reached 13%, which in absolute terms amounted to 18.8 million people. Separately, it is worth highlighting inflation and the level of prices in the country: despite the systematic growth of the nominal average per capita income of the population to 35.7 thousand rubles at an official low level of inflation, the situation is such that the real income of the population changes abruptly, and decreased by 4% in 2020 relative to the level of the previous year. All this indicates that there is no qualitative increase in the level of well-being of the Russian population, which is associated with the general unfavorable situation in the country. The deterioration of the financial situation is also confirmed by the results of sociological surveys of the population, as a result of which almost 40% of the respondents noticed a deterioration in their financial situation in 2020. In addition, in 2020, about 40% of the population noted a moderate increase in prices, and in 2021, more than 50% considered that prices increased significantly. Taking into account the fact that the real incomes of the population are decreasing, and the nominal ones are growing at a low rate, an increase in

prices in the economy inevitably leads to a decrease in the level of material provision of the population, since there is a decrease in the volume of goods and services that can be purchased for a specific amount.

In addition to negative trends in the sphere of financial support of the population, negative trends are also highlighted in the sphere of social policy. The systemic lack of financial support for such critical sectors as education and health care has contributed to a series of cuts in order to save limited resources. As part of the modernization program, the number of schools and higher educational institutions in the country has decreased, although the total number of secondary vocational organizations is growing. Also, one of the main trends at the current stage is the active development of private educational institutions, which is largely due to the inadequacy of the budget system to meet the needs of the population in educational services. At the same time, in the conditions of a decrease in real incomes of the population, a decline in demand for private educational services is also natural, due to their high cost. A comparative analysis of the main socio-economic indicators in Russia and European countries revealed the existence of significant differentiation. In terms of the subsistence minimum, the minimum wage and average wage, Russia occupies the last positions among the compared countries, and the differentiation in comparison with the most developed Germany is 2, 9 and 7 times for these indicators, respectively. The unemployment and poverty rates in Russia are not the highest in comparison with other countries, but they are higher in comparison with the most developed countries such as Germany and Great Britain. At the same time, it should be noted that these indicators cannot be considered unconditional and the only indicators for assessing the socio-economic situation, since in a number of countries where the level of unemployment and poverty is nominally higher, such as in France and Spain, the general level and quality lives are more auspicious. This is confirmed by a comparison of the indices of the quality of life and human development in the countries under consideration, where the lowest values are also noted in Russia. This indicates that the current socio-economic situation in the country is not favorable, and the standard of living remains rather low in comparison with European countries.

The problem of poverty and low living standards at the current stage of the socio-economic development of Russia is becoming increasingly important, since the negative

trends of the last year associated with the coronavirus pandemic have exacerbated the existing imbalances. As a result, the real incomes of the population decreased, there was a jump in the unemployment rate, as the pandemic dealt a significant blow to business. Under these circumstances, the role of the state and its participation in supporting the population and business is significantly increasing. However, the measures taken to date are mostly nominal and do not have a significant positive impact on the current situation. Support for the population in the form of lump-sum payments for families with children is more tangible, but it is practically nonexistent for business. The reduction in tax rates for the most affected industries, although it is a certain relaxation, is not the most necessary tool in the context of a crisis and the disruption of most production and economic ties, since the economy is inefficient and revenue is low or absent. As a result, the key task at the current stage is to reduce inflation and support the economy in order to ensure the rates of pre-crisis economic growth. The payment of benefits to the population cannot be permanent, therefore it is necessary to create all conditions for the formation of a favorable situation in the labor market and the possibility of obtaining a higher income. This, in turn, is directly dependent on the efficiency of business processes in the economy, in connection with which the current situation requires an integrated approach at the highest level, since the possibilities for further economic growth and development of the country depend on this.

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Social policy of Russia and China: a comparative analysis of approaches to working with the elderly population

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ABSTRACT

Objective. This article compares the approaches in social policy in relation to the elderly population of Russia and China, a relevant topic, since both countries at the end of the twentieth century faced the problem of population aging. At the same time, the principles of working with older people in these countries have a number of similarities and significant differences that have the potential to strengthen the exchange of experiences. **method.** Interviews with specialists in the field of the application of social policy in this area. The interview guide consists of three blocks, the third of which is specialized for respondents by country. Block 1 (7 questions) aims at a general assessment of the situation of the elderly population in the country from the point of view of the perception of the elderly as a social group, their role in society, as well as a general description of social policy in this area. Block 2 (4 questions) aims at a more detailed discussion of the problems of social policy in relation to the elderly population from the point of view of various socio-cultural groups. Block 3 (1 general and 3 special questions) is a list of social policy measures in the field of population ageing, which is offered to the expert for evaluation. Since the study aims to find ways to adapt and borrow social policy measures for each country, respondents from China will be offered Russian measures, and respondents from Russia, Chinese measures. **results.** The interviews conducted demonstrate the relevance of a possible exchange of experiences between countries and enabled us to identify the areas in which such an exchange will be most effective.

KEYWORDS: social policy; management sociology; ageing population; Culture; population decrease; population problems.

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Política social de Rusia y China: un análisis comparativo de enfoques para trabajar con la población de edad avanzada

RESUMEN

Objetivo. Este artículo compara los enfoques en la política social en relación con la población anciana de Rusia y China, tema relevante, ya que ambos países a finales del siglo XX se enfrentaron al problema del envejecimiento de la población. Al mismo tiempo, los principios de trabajar con las personas mayores en estos países tienen una serie de similitudes y diferencias significativas que tienen el potencial de reforzar el intercambio de experiencias. **Método.** Entrevistas a especialistas en el campo de la aplicación de la política social en esta área. La guía de entrevistas consta de tres bloques, el tercero de los cuales está especializado para los encuestados por país. El bloque 1 (7 preguntas) tiene por objeto una evaluación general de la situación de la población anciana en el país desde el punto de vista de la percepción de las personas mayores como grupo social, su papel en la sociedad, así como una descripción general de la política social en este ámbito. El bloque 2 (4 preguntas) tiene por objeto un debate más detallado de los problemas de la política social en relación con la población de edad avanzada desde el punto de vista de diversos grupos socio-culturales. El bloque 3 (1 general y 3 preguntas especiales) es una lista de medidas de política social en el ámbito del envejecimiento de la población, que se ofrece al experto para su evaluación. Dado que el estudio tiene como objetivo encontrar formas de adaptar y tomar prestadas medidas de política social para cada país, a los encuestados de China se les ofrecerán medidas rusas, y a los encuestados de Rusia, medidas chinas. **Resultados.** Las entrevistas realizadas demuestran la pertinencia de un posible intercambio de experiencias entre países y nos permitieron identificar las áreas en las que dicho intercambio será más eficaz.

PALABRAS CLAVE: política social; sociología de la gestión; envejecimiento de la población; Cultura; disminución de la población; problemas de población.

Introduction

The global trend of increasing the share of the elderly population in the demographic structure is a challenge for most countries of the world, including Russia and China. Population ageing can be both a threat (Dobrokhleb, 2017), and an opportunity (Ntugarten, 2016), which makes cross-country comparative studies particularly relevant from a managerial perspective. An increase in the effectiveness of public policies on population ageing, while addressing their cultural context, can be achieved through the exchange of experience with other countries, which will help to find alternative solutions to the policy objectives. Solving

the problems of an aging society is a multi-faceted task. When considering such a large-scale issue, it could be useful to attract foreign experience. To test this assumption, the author conducted interviews with Russian and Chinese experts and practitioners in the field of social policy.

1. On the main theoretical approaches to solving the problems of population aging

Today, approaches to finding possible solutions to the problems of an aging society can be divided into three groups: the statistical-economic, approach, the distance/stratification approach, and the symbolic approach.

From a statistical point of view, Russia faced the issue of population aging earlier, than in China. Already in 1995, Russia adopted the law "On State Benefits for citizens, with children", which aims to provide material support for motherhood, fatherhood and childhood according to the Law of the Russian Federation № 81-FZ, 1995, and, as a result, shift the gender and age pyramid towards the working-age population by increasing the number of children. In China, changes appeared later, under the influence of the demographic policy "one-child policy", which was in force since the 70s of the 20th century: only from 2016, the Chinese are allowed to have two children. Initially, this policy was introduced to reduce the birth rate in the country. However, its unintended consequence was an increase in the share of the elderly in the structure of the country's population.

According to UN statistics, the share of the population over 65 in Russia increased to 7% in the 70s of the last century, and in China a similar percentage of the elderly has been observed only since the 2000s based on the World Population Prospects in 2017. Dynamics in both countries are directed towards increasing the proportion of the aged, and a variety of options are being considered to work with this. There are "simple" methods of changing the age balance of the population, for example, simplifying the regime of work and residence in the country for migrants. However, such a strategy is not applicable either in Russia, or in China, primarily due to the emerging shortage of resources, material and social (Fadeeva, 2018). The experience of applying such a strategy has demonstrated the emergence of a number of related problems: for example, due to the influx of migrants in Russia, the problem of choosing employees based on appearance criteria has become more acute (Zayonchkovskaya, Mkrtchyan, 2007). In China, the influx of migrants mainly introduced in the chapels of the

country's territory, has led to an imbalance in the number and demographic structure of the population by region. Another consequence of the opening of the labor market in China was an increase in the total population, which put a strain on all social systems, and, as a result, caused the need to raise the retirement age and improve the legal system to protect the rights of older citizens (Guo, 2007).

The statistical and economic approach to the analysis of old age includes an analysis of the degree of economic activity of this population group. It is assumed, that economic activity can be the result of both generating resources for the employer, and through simple consumer behavior, which remains the only option for an elderly person outside the labor market. However, stimulating economic activity through the payment of pensions leads to budget deficits, and the implementation of effective strategies requires paying more attention to the role of the state as the main managing entity in the country, rationally allocating resources. At the moment, the effectiveness of pension systems is not sufficient, to become the most significant element of social policy and research in this area; moreover, the structure of pension systems is highly dependent not on the existing needs of the elderly, but on the culture and history of the country (Galasso, Profeta, 2018).

The second approach to finding solutions to the problems of population aging is a set of positions, according to which it is necessary to reduce *the distance* between the elderly and young populations, help provide material and psychological support to older generations, and, on the other hand, stimulate the exchange of information between generations in a prefigurative *o-cultural* society.

This is the essence of the "active aging" principle." -- The main international guiding principle on working with older persons in the twenty-first century as said "Report of the World Assembly on Ageing(1982)", adopted by the United Nations during the Second World Assembly on Ageing in Madrid in April 2002 2002. In the second chapter, "Recommendations for action", the first item of the priority area is formulated as "participation of older people in development", which confirms the need to represent and protect the rights of

the elderly population on an equal basis with other age categories. Governments and managers should ensure the right of older people to participate in public life, despite their natural physical limitations.

The third group of approaches -- consists of approaches, related to the analysis of *the symbolic nature of old age in specific societies*, and the peculiarities of *the subcultures of older people*. Despite the development of similar types of demographic structure in a number of countries around the world, each country has its own cultural characteristics. This is an important moment for solving the problems of society in the field of population aging. So, China is strongly influenced by Confucianism, so the concept of "Xiao" about honoring parents is still relevant. The hieroglyph 孝 of the oldest written form looks like a child, supporting an old man:



Fig. 1. Hieroglyph, used in the designation of the concept of Xiao

The modern spelling of this hieroglyph consists of two parts. The upper part -- The upper part is 老 ("the aged"), the lower part -- , and the lower part is 子 ("the sons generation"). This is the essence of this concept: the younger generation must support the oldergeneration . The principle of "老吾老， 以及人之老" mentioned in Analects of Confucius "*honoring not only one's older relatives but also others*", encourages all members of society to take care of the elderly, regardless of whether the society is considered aging-respect is the basis in any case.

Also, the obligation to honor parents is enshrined at the legal level in the "Marriage Law" of China: "When children fail to meet their maintenance obligations, parents, who are unable to work or live in difficult conditions, have the right to demand alimony payments from their children. Those, who refuse to pay them, may be required to do so in court, and in case of non-compliance with the requirements, they must be brought to criminal responsibility in accordance with the law." Paragraph 261 of the Criminal Code clearly states, that "

if the younger generation does not fulfill their responsibilities for the maintenance and material support of their parents, then violators of this instruction may face imprisonment for up to five years or criminal liability” From this, we can conclude, that in the case of China, it would be more reasonable, and culturally and historically logical to solve the problems, caused by changes in the age structure, not only by the state, but also by society as a whole- this is already an attitude, that needs state assistance.

In Russia, older people have historically also been a source of wisdom, informal power, and special social status. However, this was not fixed in legal or ideological documents, and the main manifestation of honoring a person for his age can be considered events, related to the Great Patriotic War. Most of the people, who now make up the category of the elderly, somehow faced the war directly or through overcoming its consequences, so the special status of an elderly person in Russia today is associated with the degree of their proximity to the events of those years. Beyond that, an elderly person in Russia is basically a legal status.

It should be noted, here that in the research literature there is a position, according to which older people are not an economic or purely-age group, but a subculture, that is, the research emphasis is placed on the primacy of the social nature of the division of people into the elderly and those, who have not yet reached the elderly status. According to the approaches of this category, older people-use their free time differently, and show different levels of activity. Experts of the World Health Organization also analyze the social activity of older generations along with the demographic and economic characteristics of this population group. Social activity is the conditions and opportunities (health, safety) for maintaining the quality of life through continued participation in society not only in the labor market, but also in the social, cultural, spiritual, and civil life of society.

This approach indicates a possible definition of the elderly population as a group, united not only by age indicators, but also by behavioral characteristics. It is the aspect of common culture that creates relations between older citizens, while simultaneously separating them from others and connecting them with them, but still forming their own, special culture (Rose, 1962). Special norms and values are formed, as well as their own way of life. With age, a person loses the usual professional, official, often economic, and power statuses, and there is a need for a new one, which is based precisely on age, since public communication with other groups is limited. The analysis of older people as a subculture allows us to analyze

the formation of ethical ties, ways to adapt to changes in the level of health and social inclusion. It is adaptation that becomes the most essential mechanism for the subculture of older people (Alperovich, 1998).

The subcultural approach for Russia manifests itself precisely in defining the majority of older people as "veterans", that is, in reducing the complex full-fledged life stage to a number of cultural characteristics and manifestations. In China, in addition to traditional respect, the elderly have, a shortcut lovers of Square Dancing (a group dance in the square, people of different age classes in the evening voluntarily go on the streets, the squares dance), or their free time to search the second half for the younger members of the family -- and that, and another is a significant simplification, which affects the nature of the perception of the elderly population.

However, a comparison of theoretical approaches cannot provide complete information about, the principles on which social policy in the field of the elderly population is based in modern Russia and China. To form such an understanding, it is necessary to turn to the motivation of those, whose forces and decisions implement social policy.

2. Results of expert interviews: Potential exchange of experience in the field of social policy

Were selected using the "snowball" method. It was based on social security experts, who shared the contacts of their colleagues, who could provide answers to the interview questions. The study included 13 interviews with a total duration of 7 hours and 26 minutes. Interviews were conducted starting from 01 August 012020, 2020. until 02 February 022021, 2021. Thus, it was possible to record the current state of social policy in relation to the elderly population. 6 interviews were conducted among Chinese respondents, and 7 interviews were conducted among Russian respondents.

Experts interviewed, both Russian, and Chinese, expressed the opinion, that *the aging of the population is more of a social, problem than an economic one*. Despite the fact, that the aging of the population creates a direct (pension) and indirect burden on the state budget ("*reducing the labor force creates big problems for the economy*" — this phrase was heard by both Chinese, and Russian respondents), the aspect of public relations concerns experts more. Thus, one of the

Chinese respondents points to the emerging *"conflict between traditional and modern culture"* of interaction and mutual assistance between generations, which is connected with the complex nature of modern old age, which goes beyond family relations. Several Chinese experts, answering the question about the General characteristics of the situation of the elderly population in the country, made reference to population policy and its role in the current situation of the elderly person: *"to change the policy of family planning has led to serious disruptions in the social structure"*, and the consequences of these violations can be so significant, that *"the government will have to seek additional means of solving this problem"*.

Despite the suggestion to describe the elderly population as a social, group rather than an economic one, both Russian and Chinese experts focused on economic perception. Russian experts first of all drew attention to the lack of characteristics in older people, that would make them economically *"beneficial"* to society. And Chinese experts believe, that it is necessary to develop the consumer market for older generations. As pointed out by the respondents, an elderly man -- is primarily for physically disabled people (*"not able to work because of the nature of health"*, *"physical health weakened day by day"* - a Chinese expert social welfare of the city), as well as people, are subject to risks in the field of employment (*"at work, many older people are the so-called ageism, they are forced to reduce their working hours or quit"*, *"when you lose your job, you can only rely on the state or the family"* — the opinion of the Russian respondents, scientific expert on dealing with the promotion of cooperation between Russia and China). Another characteristic of the social group of the elderly population, which is singled out by both Russian, and Chinese experts, is a special psychological state, *"a sense of uselessness, professional lack of demand, dependence on the younger generation"*, *"the most difficult thing is loneliness, lack of support, separation from society"*.

Experts from Russia and China gave slightly different answers to the question of which social institution should be focused on working with the vulnerable category of the elderly population. Thus, Russian respondents emphasized the impossibility of solving these

problems without family participation, since *"in Russia, pension payments are often insufficient to meet the basic needs of the aging population"*. Chinese experts, contrary to the theoretically assumed emphasis on the traditional values of Confucianism (respect for elders, support for their younger generations), stressed, that the family can only be supported, where there is no state support, for example, in rural areas. As for the rest, according to the interviewed experts from China, it is the state that should maintain a leading role in this issue through the creation of *"guidelines"*, that guide local government bodies. For additional question, is whether the holding of the state social policy Department of elderly from the *"active"* population, experts from both countries objected, that there are *"objective health indicators in most cases distinguish seniors from young people"*, that is, if separation occurs, it is not by reason of conducting public policy, and a deeper biological and relevant social causes.

This is also evidenced by the answers to questions about the role of cultural characteristics in social policy: many policy outcomes differ from those planned not so much because of mistakes at the level of administrative implementation, but because of the peculiarities of the institution of the family and the perception of a person's life path in a particular society. So, one of the Russian experts makes a direct referenceto this: *"traditions within the family institution also differ, and these differences should be taken into account in the development of social policy"*. A similar idea is expressed by a respondent from China, who speaks of the need to work precisely through *"promoting the idea"* of the acceptability of alternative ways of caring for elderly relatives among the population, as opposed to the simple management measures used. Such accents, as experts note, are not always present in the implemented support measures, which is mainly due to the uneven distribution of resources between the country's regions; in China, the differences are mainly between urban and rural areas, in Russia — between regional centers and *"outskirts"*.

Thus, giving a general description of the situation of the elderly in the country, experts note a number of points. ВоFirstпервых, the situation of the elderly population is really not a matter of economics, but of social relations. Solving the problems of an aging society and the consequences of an aging society require not only financial investments, but also social efforts, since an elderly person is a product of socialization, a part of society, and often social

resources are more necessary for him, than material ones. Secondly, there is uncertainty about, which actor of public relations should be the main one in interactions with the elderly — neither the family, nor the state in both countries at the moment, according to the experts surveyed, can not cope with their obligations towards the elderly. For both countries, it is important to instill the values of responsibility and care in family members, who have to take care of elderly relatives or who have already faced this task, however, the current context of public relations in both Russia, and China makes it difficult to ensure a problem-free old age.

When asked about the effectiveness of current measures, both Russian, and Chinese experts did not give a direct answer, saying no longer, which of the existing social policy measures is effective, but rather, what measures are possible and would be effective, if they were implemented in practice. Social policy, aimed at the elderly population, is initially seen by Russian and Chinese experts as ineffective, and requires further development. Speaking about potentially-effective measures, Russian experts emphasized the need to expand opportunities to preserve the status of an elderly person as economically-active through employment and retraining, and a similar idea is expressed among Chinese respondents, who suggest using new technologies, to "*partially solve the problem of labor shortage*" due to retirement of an elderly person. Unlike the Russian respondents, Chinese experts see potential pension as one of the measures of social policy to maintain the living standards of older, regardless of, whether they work or not, that confirms the special status of the state initiative, who is credited with the Chinese experts implemented measures; in their view, without the participation of the state social policy is impossible.

The answers to questions about effective and ineffective measures show, that experts tend to "look for those responsible" for inefficiency, rather than delve into the essence of specific measures and evaluate them in detail. So, one of the Russian experts said, that "*in Moscow and major cities the situation is in this respect better, than in small towns*", that is, the effectiveness of the measures associated not with their content and implementation mechanisms, and with the traditional view that, in the regions life is more complicated, less economically successful, and so on. Such an opinion contradicts the way social policy measures are actually implemented: regulations and initiatives, implemented locally, are essentially, the same for all localities and are aimed at solving urgent problems of the local population, regardless of the

size and number of the population. Among Chinese respondents, performance ratings are less tied to such thinking patterns: according to one of them, all social policies *"help solve problems, but the extent, to which they can solve problems, varies"*.

Questions about specific measures and ways to improve them were left unanswered or widely commented on by almost all the experts interviewed. This can be attributed to the style of their responses to questions about the effectiveness of social policies in general, which showed, that the perception of effectiveness was more related to the usual ideas about the problems of older people, than was a manifestation of expert evaluation of specific measures. Chinese respondents did not provide meaningful answers to questions about potential new measures and the possible new role of the family in social policy. In addition, experts from China did not elaborate on the question of, how to better integrate an elderly person into public life. It can be assumed, that these questions seemed superfluous to experts, not providing new information to the answers, that experts gave earlier, since in China traditionally the family plays a significant role in working with the elderly, and the society, which already consists of a large proportion of the elderly population, has been integrating the elderly for many years.

Russian experts expressed the opinion, that the state should play a more active "ally" of the family in social policy: the role of the family — *"to integrate the older members in daily life, contribute to their comfortable psychological state, that older people do not feel unnecessary"*, and the task of the state *"to implement the measures, which are within its competence (the creation of leisure centres, providing high-quality and free medical care, providing resort-sanatorium vouchers at discounted and affordable prices, the increase in pension payments)"*. At the same time, experts see the development of information technologies, which, among other things, could help reduce discrimination in the workplace based on age, as one of the means of integrating an elderly person into active social life.

Summing up the analysis of Block 2, we conclude, that a contradiction was found in the course of expert interviews. Despite the fact, that the expert has special professional knowledge, and works in the field of implementing social policy measures, he often does not perceive politics as a set of more or less effective practices, but rather looks at it as a somewhat abstract array of measures of state influence on society. The responses of experts from

both Russia, and China to questions about effectiveness demonstrated that working in the field of social policy implementation does not always mean being interested in the details and features of this policy and having daily thoughts about ways to improve its effectiveness. Therefore, based on the experts responses, it can be assumed, that *one of the sources of reduced effectiveness of the measures taken in both countries is the formal approach of people, involved in translating social policy measures from the field of state and legislative initiative to the field of local practice.*

The responses, to the third block, of questions confirm the trend, identified in Block 2: experts are not inclined to think about, what measures can be effective. Russian experts were asked to evaluate the measures, implemented in China: legally oblige children to provide for their parents, create specialized committees on a voluntary basis, that represent the interests of older people in government bodies, and create specialized educational institutions for older people, where they could get new skills, and refresh their knowledge of the existing specialty. Russian experts expressed their agreement with the proposed measures, implemented in China, but the answers practically did not go beyond the expression of consent. The only additional comments, that were made, indicated the need for a *"detailed study"* of the measures, proposed for borrowing. The Chinese respondent was asked to consider three possible measures, implemented in Russia: payment of regular allowances for children up to their majority, nationwide thematic actions for older people, related to historical moments, with gratitude to older generations for their work, and regular state vouchers for treatment in sanatoriums or medical centers after a certain age. Chinese experts were laconic and pointed mainly to the financial aspect of moving measures from Russia to China: Russian measures, according to Chinese respondents, *"require a lot of financial support"* and *"can be implemented on a pilot basis"*. In addition, experts from China found already existing alternatives for all the proposed measures, which indicates a tendency to adhere to the already existing course in social policy, even if the proposed new measures may be more effective.

The conducted interviews, therefore, allowed us to make not only an expert assessment of directly implemented social policy measures in Russia and China, but also to identify an acute management problem. This problem lies in the formality of the experts approach to social policy, the perception of it as a given, created by the state, and not as a set of initiatives, implemented by people for people. *This approach seems to contradict the fact, that experts present the*

elderly population as a social, rather than an economic group, and emphasize the special role of the family and the immediate environment in ensuring a problem-free old age.

Expert interviews complement the conclusions, drawn in the course of theoretical analysis and consideration of the essence of measures implemented in both countries. From the point of view of a theoretical view of the elderly population, it can be said, that the interviewed experts were more likely to support an economic approach to the problems of population aging, a more complex integral approach, which includes understanding the social image of the elderly person and its cultural characteristics, rather than a statistical and economic approach to the problems of population aging. Russian experts confirmed the division between the role of the state and the family in solving the problems of the elderly population revealed in the course of theoretical analysis. Chinese experts did not place such a strong emphasis on the economic independence of the elderly person, as it was assumed, based on the analysis of literature, research and cases.

The assumption, that social policy is less effective due to the perception of the elderly as an "inconvenient" group, that does not integrate into an economically active society, was also confirmed in expert interviews. The experts did say, that the measures taken should have as one of their goals the preservation of the participation of older people in the labor force, ignoring the characteristics of this group and its potential to transfer experience, values and perform alternative social roles and tasks.

A general conclusion, can be drawn that the problem is the lack of perception of the elderly population as a group with a special subcultural and symbolic content, there is an increase in the social distance between the elderly and the active population, and the problem of ensuring the needs of the elderly, both basic, and more complex, is acute. However, it is necessary to emphasize a fact, that is not obvious for theoretical analysis and is clearly manifested in the course of communication with experts: solving these problems and fulfilling the tasks of effective exchange of experience lies not only in changing the essence and mechanisms of the proposed social policy measures, but also in changing the approach to their implementation by managers themselves. The interviews showed *a high degree of formality in the approach to social policy on the part of those, who should be most interested in its implementation and in improving its effectiveness.* We can assume the reasons for this attitude of specialists: work in the

field of implementing social policy measures is often not highly paid and is perceived as a means of livelihood, and not as a means of solving public problems, which is true for both Russian, and Chinese civil servants, since they are part of a similar model of public service (Zhuravleva, 2017).

Conclusion

A sociological analysis of approaches to the study of social policy regarding the problem of population aging indicates, that social policy should be studied in its entirety. The low degree of understanding of the importance of the complexity of the issue of aging in society leads to the emergence of not only economic problems, which are manifested in the tax burden and the need to support the less economically-active population at the expense of those, who continue to work. Existing social policy measures do not fully take into account the importance of maintaining the inclusion of an elderly person in public life, and they do not work in any way with the values of the population.

However, this perception is more typical for Russia, than for China, which has a great potential for adapting successful measures, taken in China, to Russian realities. Such adaptation requires an understanding of the cultural contexts of social policy implementation, so direct borrowing of China's experience is impossible. The potential for a comprehensive policy transformation lies, primarily, in the search for functional alternatives to values, that differ widely between countries. The differences are related to the degree of orientation to society in matters of support for old age, in the philosophical basis of policy implementation, and in the degree of importance of legal facts relative to public facts.

Expert interviews have raised the question, that the degree of effectiveness of measures in both countries strongly depends on the attitude of managers to their role in implementing measures. According to the interviewed experts, the attitude is mostly formal, which affects the effectiveness of social policy in the field of the elderly population. From this it can be concluded, that the employment of social policies between China and Russia as a way of solving local problems will be effective, if people, involved in the implementation of these measures, will be more proactive, will receive financial compensation for his initiative, will have the opportunity to improve their professional skills social policy of the elderly population, expressed interest in efficiency.

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Organizational and legal approaches in fighting organized crime

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ABSTRACT

The purpose of the article is to identify the factors affecting organized crime and to define aspects of tackling it. The methods of statistical analysis, factor analysis, hypothetical-deductive method, correlation method, generalization method and analogue method were used. The article identified countries with high and low levels of organized crime. Impact of economic development and corruption on the level of organized crime was proved insignificant. Legal factor is not the key aspect of tackling organized crime. Legal approach in tackling organized crime includes: adoption of an international normative legal acts on mutual assistance; development and signing of international agreements on cooperation; development of national and international strategies. The organizational approach implies: international cooperation; decentralization of public oversight authorities and law enforcement agencies in the system of control; development of a program of public involvement; partnership building between state and public institutions.

KEY WORDS: crime; crime prevention; international cooperation; legislation.

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Enfoques organizativos y legales en la lucha contra la delincuencia organizada

RESUMEN

El propósito del artículo es identificar los factores que afectan al crimen organizado y definir aspectos para enfrentarlo. Se utilizaron los métodos de análisis estadístico, análisis factorial, método hipotético-deductivo, método de correlación, método de generalización y método analógico. El artículo identificó países con altos y bajos niveles de crimen organizado. El impacto del desarrollo económico y la corrupción en el nivel del crimen organizado resultó insignificante. El factor legal no es el aspecto clave para combatir el crimen organizado. El enfoque legal en la lucha contra la delincuencia organizada incluye: adopción de actos jurídicos normativos internacionales sobre asistencia mutua; desarrollo y firma de acuerdos internacionales de cooperación; desarrollo de estrategias nacionales e internacionales. El enfoque organizativo implica: cooperación internacional; descentralización de las autoridades de supervisión pública y los organismos encargados de hacer cumplir la ley en el sistema de control; desarrollo de un programa de participación pública; construcción de asociaciones entre el estado y las instituciones públicas.

PALABRAS CLAVE: crimen; prevención del crimen; cooperación internacional; legislación.

Introduction

Organized crime activity is a global phenomenon that affects people's daily lives. The crimes, committed by an organized gang, are more difficult to solve than other crimes, because organised crime groups successfully conceal them in order to prevent solution of these crimes by law enforcement agencies. It is also more difficult to eradicate organized crime activity, as in some countries the creation of similar organizations is a part of the way of life of the local population and even of the culture as a whole (UNODC, n. d.).

Many criminal organizations and networks operate at the transnational level. Much of the world suffers from some form of organized crime, but it manifests itself differently in various societies (Neumann and Elsenbroich, 2017; Khyzhniak et al, 2021). Harmful effects of modern cross-border criminality are far-reaching, threatening the human security and national security, undermining the global economy, discrediting the supremacy of law and confidence of people in the ability of law enforcement agencies to give them protection (Interpol, 2017).

Defining the structure of organized crime, the psychology and the reasons for the creation of organized crime groups will help to understand their essence, which, in turn, will help to counteract it and develop effective methods of combating organized crime.

The *purpose* of the scientific article is to identify the factors that affect the level of organized crime and to evidentiare organizational and legal aspects in the fight against organized crime.

Research tasks of the article are the following:

1. To identify the countries with the highest and the lowest levels of organized crime.
2. To identify the factors affecting the level of organized crime.
3. To analyse statistical indicators of the factors influencing the level of organized crime in the specified countries.
4. To investigate the impact of the determined factors on the development of organized crime.
5. To identify organizational and legal approaches in the fight against organized crime.

1. Literature Review

Organized crime is the most dangerous and brutal form of association of several people in order to commit a criminal act (Božić, 2016). The comprehension of organized crime is limited to two competing concepts: 1. A set of sustainable organizations, illegal per se, or members of which systematically participate in crimes. 2. A set of serious criminal actions, which come in the form of illicit trafficking of illegal goods and services, mainly committed for pecuniary advantage by deception (Paoli, 2014).

A criminal organization does not differ fundamentally from a social organization. Depending on the time and context, some actions and forms of an organization are defined as criminal, and then, intentionally or unintentionally, they are considered to be significantly different from the social organization. This assertion is based on the fact that a criminal organization is not significantly different from a social organization, and therefore, in order to understand the emergence of a criminal organization and its basic mechanism, the study of organized crime should begin with the basic principles of social organization (Rostami, 2016).

Until the 1980-s, organized crime was not considered to be a European problem. However, the term is now widely used in Europe because the prohibition of some popular drugs has created organized crime, working in the illegal drug market. Also due to some problems, related to organized crime, other forms of felonies, such as forgery of coins, armed robberies, arms trafficking, importation of counterfeit goods and counterfeiting have been rethought over the years in terms of the originally American concept (Fijnaut, 2016).

In the 1990-s, the increasing globalization was marred by the growth and diversification of organized crime groups. The range of potential criminal activities is huge, from drugs, weapons and human traffic to more “crafty” but very harmful forms of economic criminality, such as VAT fraud, money laundering, cigarette smuggling, piracy and product counterfeiting. In the mid-1990s, the recognized threat of organized crime (especially of its central role in drug trafficking) led to the creation of European Police Office (Bossong, 2017).

The fight against organized crime in the system of ensuring national security involves implementation at the international, national and departmental (inter-agency) level of a set of legal, organizational (institutional) and practical measures with the purpose of fact-based criminological analysis of this phenomenon, detection and elimination of determinants that contribute to the commission of certain offenses, exposure of persons (organized groups, criminal organizations, gangs and other criminal associations) who commit crimes, cessation of criminal wrongdoings at the stages of preparation or endeavour, as well as prevention (minimization) of their negative consequences, such as compensation for damages, asset recovery, restoration of rights of victims (Vasylevych, 2014).

Two decades of cooperation between the EU and Latin America in the fight against illicit drug production and illicit traffic of narcotic drugs have had only limited effect in terms of reducing production, trafficking, consumption and organized crime related to them, which has not led to a significant improvement in socio-economic conditions – the problem of inequality, literacy rate, low financial capacity – which cause and exacerbate the problem of illicit drug production and trafficking (Selleslaghs, 2017).

The evolution of organized crime, and hence the violence rate, cannot be perceived only by analysing the state approach to fighting organized crime. In order to ensure policies that can reduce violence, the evolution of organized crime should be studied by observing the development of criminal groups (Atuesta and Pérez-Dávila, 2017).

Fighting organized crime is aimed at preventing the negative impact on social values. This proactive approach should be based on the principle of legality and be carried out on the basis of premeditated procedures. Currently, organized crime is distinguished with diverse typology, which involves not only constant adaptation and diversification of procedures, but also a specific definition, that should accurately reflect the hypothesis, disposition of constituent elements of crime and penalty for each type of crime (Popescu, 2019).

The basis of the fight against organized crime is the harmonization of national legislation with international strategies, laws and regulations, creation of special agencies for combating organized crime, conduct of special investigative activities through the use of the latest techniques and methods. Drug trafficking, arms trafficking, kidnapping and abduction activities, blackmailing offenses, human trafficking, cybercrimes (Cherniavskiy et al, 2021) and corruption are among the most complex forms of organized crime (Božić and Nikač, 2018).

The disadvantages of the fight against organized crime are: the weaknesses of empirical and analytical anti-organized crime policy, which were caused by technical or political constraints of states. These weaknesses were caused by institutional pathologies of the executive branch authorities themselves (Xenakis, 2020).

2. Materials and Methods of Research

The study of organizational and legal approaches to combating organized crime was carried out using the method of statistical analysis in order to identify the countries with the highest and lowest levels of organized crime, as well as for comparing data on the level of organized crime and the level of economic development in the studied countries, types of crimes, committed in particular countries, as well as the level of corruption and the level of migration.

Hypothetical-deductive method was used in the selection of factors affecting the level of organized crime and in the process of derivation of legal and organizational approaches in the fight against organized crime.

Thanks to the method of correlation analysis, it became possible to establish the relationship between the index of organized crime for the period of 2011-2017 and GDP per

capita, the index of organized crime for the period of 2011-2017 and the index of corruption, the index of organized crime for 2011-2017 and the level of migration for 2010 and 2015 in such countries as Finland, Norway, Oman, Iceland, El Salvador, Mexico, Honduras.

The methods of factor analysis, generalization and analogy allowed us to identify the factors affecting the level of organized crime.

The study used the most significant scientific works that reflect the development of scientific thought in the sphere of the fight against organized crime from 2003 to 2020. This period of research analysis was chosen as the one that most clearly reflects the state of organized crime in the modern era.

The paper analyses the following indicators:

- Index Organized Crime for 2011-2017 years, stated in World Bank (2018).
- GDP per capita for the period of 2012-2017 (USD), stated in Trading Economics (2020b).
- International migrant stock, total – El Salvador, Finland, Norway, Iceland, Oman, Honduras, Mexico 2010 and 2015 years, stated in World Bank (2020).
- Corruption Index for the period of 2011-2017 years, stated in Trading Economics (2020a).
- The crime rate by types of crime in 2016 and 2017, stated in the World Data Atlas (2019).

3. Results of the Research

The index of organized crime is displayed in indicators from 1 to 7, reflecting the extent to which organized crime (mafia racketeering, extortion) imposes costs on business, where 1 — largely incurs huge costs, 7 — does not require any costs in general. Thus, a higher index of organized crime indicates its lower level in a particular state. In order to identify the factors and the level of impact of the studied indicators on the level of organized crime, we have determined the countries with the highest and the lowest indices of organized crime as of 2017 (Table 1).

Thus, the countries with the highest index of organized crime, and, accordingly, with the lowest level of organized crime in 2017, include: Finland – 6.78, Norway – 6.64, Oman – 6.57, Iceland – 6.46. The countries with the lowest index of organized crime, and,

accordingly, with the highest level of organized crime, include: El Salvador – 1.53, Honduras – 2.36, Mexico – 2.65.

Table 1. Organized Crime, Index

	2011	2012	2013	2014	2015	2016	2017
Finland	6,58	6,69	6,57	6,58	6,77	6,75	6,78
Norway	6,64	6,38	6,23	6,10	6,24	6,61	6,64
Oman	6,64	6,74	6,81	6,67	6,55	6,57	6,57
Iceland	6,77	6,51	6,39	6,52	6,63	6,55	6,46
El Salvador	1,92	1,82	2,46	2,69	2,36	1,89	1,53
Honduras	2,96	2,71	2,54	2,72	2,89	2,50	2,36
Mexico	2,69	2,90	2,88	2,74	2,62	2,55	2,65

Source: World Bank (2018).

The level of economic development in the studied countries is shown in Table 2. In 2017, the highest GDP per capita was observed in Norway – \$ 91,549, in Iceland – \$ 51,045.9, in Finland – \$ 48,086.7, in Oman – \$ 15,630.5. The lowest level of GDP per capita in 2017 was registered in Honduras – \$ 2,176.3, in El Salvador – \$ 3,441.4, in Mexico – \$ 10,301.36.

Table 2. GDP per capita for the period of 2012-2017 (USD)

	2012	2013	2014	2015	2016	2017
Finland	46538.6	45906.8	45550.5	45647.5	46750.2	48086.7
Norway	88604.6	88444.9	89175.5	90029.4	90196	91549
Oman	17633.1	17100.2	16425.7	16226.7	16225.8	15630.5
Iceland	44032.4	45421	45854	47533.7	49985.1	51045.9
El Salvador	3156.7	3212.7	3252.6	3314.7	3382.6	3441.4
Honduras	1982	2000.8	2025.8	2067.3	2111.1	2176.3
Mexico	9690.9	9693.7	9839.1	10037.2	10205.8	10301.36

Source: Trading Economics (2020b).

In order to establish the relationship between the level of organized crime and the level of GDP per capita, it is necessary to conduct the correlation analysis of the indicators in Tables 1 and 2. When carrying out the analysis, we used the following formula:

$$r = \frac{\sum (x_2 - \bar{x}_1) \cdot (x_2 - \bar{x}_2)}{\sqrt{\sum (x_1 - \bar{x}_1)^2} \cdot \sqrt{\sum (x_2 - \bar{x}_2)^2}} \quad (1)$$

where x_1 is the index of organized crime and x_2 is the level of GDP per capita, r is the linear correlation coefficient (the r -value).

The linear correlation coefficient between the level of organized crime and GDP per capita in the studied countries during 2012 – 2017 was the following: in 2012 – 0.715, in 2013 – 0.697, in 2014 – 0.682, in 2015 – 0.603, in 2016 – 0.747, in 2017 – 0.748.

Thus, there is a high correlation index, which indicates direct interrelationship between the level of economic development and the level of organized crime during 2012 – 2017.

Migration as one of the possible factors influencing organized crime in the studied countries is: the largest in 2010 and 2015 in Mexico, and it declines in Oman, Norway, Finland, El Salvador, Iceland and Honduras.

Table 3. International migrant stock, total – El Salvador, Finland, Norway, Iceland, Oman, Honduras, Mexico

	2010	2015
Finland	248 135	315 881
Norway	526 799	741 813
Oman	816 221	1 844 978
Iceland	35 091	37 522
El Salvador	40 324	42 045
Honduras	27 288	28 070
Mexico	969 538	1 193 155

Source: World Bank (2020).

The conducted correlation between the index of organized crime and the number of migrants showed the following indicators. The index of linear correlation of migrants in 2010 and the index of organized crime in 2011 were 0.102, in 2012 – 0.165, in 2013 – 0.155, in 2014 – 0.086. The index of linear correlation of migrants in 2015 and the index of organized crime in 2015 were 0.221, in 2016 – 0.260, in 2017 – 0.289.

Thus, the migration factor affected the level of organized crime at a low level during 2010 and 2017.

The level of corruption in the studied countries is reflected in the corruption index for 2011 – 2017, which is shown in Table 4.

The index of linear correlation between the index of organized crime and the corruption index in 2017 was 0.888, in 2016 – 0.891, in 2015 – 0.812, in 2014 – 0.797, in 2013 – 0.796, in 2012 – 0.812, in 2011 – 0.846.

Table 4. Corruption Index 2011 – 2017 years

	2011	2012	2013	2014	2015	2016	2017
Finland	94	90	89	89	90	89	85
Norway	90	85	86	86	87	85	85
Oman	48	47	45	45	45	44	52
Iceland	83	82	78	79	79	78	77
El Salvador	34	38	38	39	39	36	35
Honduras	26	28	26	29	31	30	29
Mexico	30	34	34	35	35	30	29

Source: Trading Economics (2020a).

Thus, we have determined the interrelation between the level of corruption and the level of organized crime, as the correlation index was not lower than 0.796 during 2011 – 2017.

The crime rate in the countries under investigation differs according to the types of crimes shown in Table 5.

Table 5. Crime rate by the type of crime in 2016, 2017

	Homicide rate	Theft rate	Theft of vehicles rate	Robbery rate	Kidnapping frequency	Assault rate	Gun homicide rate
Finland	1.3	401.0	104.9	29.8	0.1	28.7	0.2 (2016)
Norway	0.5	-	76.1	14.7	-	39.9	0,1 (2015)
Oman	0.3	0.0	1.8	0.7	0.2	1.4	-
Iceland	0.9	317.0	23.2	14.7	-	30.8	0.1 (2016)
El Salvador	61.7	-	34.2 (2015)	59.4	0.2	58.6	66.6 (2016)
Honduras	41.0	145,8 (2016)	1,1 (2016)	120.8	0.2	21.8	43.5 (2016)
Mexico	25.7	65.2	108.7	196.1	1.5	44.2	16.5

Source: World Data Atlas (2019).

Thus, in the countries with high levels of organized crime, there is high level of the following types of crimes per 100,000 population:

- the homicide rate in El Salvador, which in 2017 was 61.7, in Honduras – 41, in Mexico – 25.7, in other countries under study, this figure did not exceed 1.3.
- the gun homicide rate: the highest rate is in El Salvador – 66.6 in 2016, in Honduras – 43.5 in 2016, in Mexico – 16.5, in Iceland, Finland and Norway, this figure did not exceed 0.2 in 2016 year.
- the robbery rate is the highest in Mexico – 196.1, in Honduras – 120.8, in El Salvador – 59.4, in Finland – 29.8, in Norway and Iceland – 14.7, in Oman – 0.7.

Based on the analysis of the assault rate, which is the highest in El Salvador – 58.6, in Mexico – 44.2, in Norway – 39.9, in Finland – 28.7, in Honduras – 21.8, in Oman – 1.4 and on the analysis of the kidnapping frequency, which is the highest in Mexico – 1.5, in other countries under study, this figure did not exceed 0.2, we can conclude that such types of crimes in the countries under study are committed regardless of the level of organized crime.

The results of theft rate and theft of vehicles rate are the opposite in the countries with low levels of organized crime: the highest theft rate is in Finland – 401, in Iceland – 317, in Honduras – 145.8 (2016), in Mexico – 65.2 and the highest theft of vehicles rate is in Mexico – 108.7, in Finland – 104.9, in Norway – 76.1, in El Salvador – 34.2 (2015), in Iceland – 23.2, in Oman – 1.8, in Honduras – 1.1 (2016).

The total weight of seized drugs and precursors in 2016 in Finland was 3568 kg, in Norway – 4598 kg, in Oman – 10547 kg, in Iceland – 407.6 kg, in El Salvador – 10427 kg, in Honduras – 8163 kg, in Mexico – 913025 kg (UNODC, 2017).

Thus, the leaders in narco-trafficking activities are Latin American countries and Oman.

International organizations, responsible for combating organized crime include: United Nations Interregional Crime and Justice Research Institute; the United Nations Asia and Far East Institute for the Prevention of Crime and the Treatment of Offenders; United Nations Office on Drugs and Crime; the Centre for International Crime Prevention; the Financial Action Task Force (FATF); the International Criminal Court and others.

Legal regulation of the fight against organized crime consists of international laws and regulations: The United Nations Convention Against Transnational Organized Crime, the

United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, the United Nations Convention Against Corruption, the United Nations Global Plan of Action against Trafficking in Persons and the International Convention on the Suppression of Acts of Nuclear Terrorism.

Legal instruments for combating organized crime in the studied countries are shown in Table 6.

Special laws regulating the fight against organized crime have been passed in El Salvador and Mexico. Penalty for a crime of organizing or participating in an organized crime group is provided in Oman, El Salvador and Mexico. Additional penalties for committing a crime in an organized group and as an aggravating circumstance are provided in Finland and Honduras.

Thus, most legal instruments and the highest penalty are enshrined in the countries with high levels of organized crime, with the exception of Honduras.

4. Discussion

Current criminal activities reflect organized crime, which tends to cross regional and international borders. Globalization and increasing mobility opportunities have undoubtedly affected criminality.

In particular, the main factor that has direct impact on the level of organized crime is the level of economic development. We have proved mutual influence of the level of organized crime and the level of the economy, as GDP per capita is low in those countries where the level of organized crime is high. We agree that the general social basis for preventing organized crime and limiting the possibilities of its functioning and increase in crime is overcoming the crisis in the country: in economics, politics, public ideology and psychology, social sphere, law enforcement activities (Hyzyrchuk, 2018).

But we cannot agree that migration processes have impact on organized crime (Overseas Security Advisory Council, 2019). A study of the impact of migration on the level of organized crime showed that the number of migrants living in the specified countries in 2010 and 2015 did not affect the level of organized crime in the period of 2011-2017.

Table 6: Legal instruments for combating organized crime

	Finland	Norway	Oman	Iceland	El Salvador	Honduras	Mexico
Ratification of the United Nations Convention Against Transnational Organized Crime was adopted by the General Assembly in its resolution 55/25 of 15 November 2000.	10.02.2004	23.09.2003	13.05.2015 a	13.05.2010	18.03.2004	02.12.2003	04.03.2003
Law on Fight Against Organized Crime	-	-	-	-	Ley contra el crimen organizado y delitos de Realización compleja, 2006	-	Ley Federal contra la Delincuencia Organizada 1996
Defined in the Criminal Code	+	+	The Penal Law	+	+	Decreto №130-2017	+

Penalty
Aggravating circumstances
Additional penalty (increase of punishment up to twice) (no more than for 6 years, it should not exceed 21 years).
Organizer of an organized criminal group – imprisonment for a term of from 5 to 10 years. Participating in organized crime activities – imprisonment for 4-7 years. Participating of a legal entity in organized crime activities – a fine of 10,000-5,000,000 Omani rials
Commission of a crime punishable by imprisonment for a term of not less than 4 years, when the commission of a crime is part of the activities of a criminal organization, is punishable by imprisonment for up to 4 years, except for more severe punishment provided by this Law or other laws.
Participation in a criminal organization – imprisonment for a term of from 3-5 years. Organizer of a criminal organization – imprisonment for a term of from 6-9 years. If the accused cooperates with the investigation and provides information, his imprisonment can be reduced for the term from 1 to 3 years. Offer – to reduce the sentence for a term of from 6 months to 2 years in prison.
Confiscation of property and excessive detention period.
Participation in organized crime – imprisonment for a term of from 5 to 10 years. Additional punishment for involvement in a crime committed by a criminal organization – up to half of the penalties, corresponding to the crime or committed crimes

It was found out that the level of organized crime is directly influenced by the level of corruption. This indicates negative cooperation of organized crime groups with law enforcement agencies, as criminal organizations coexist with potentially corrupted law enforcement agencies. Macroeconomic consequences of organized crime and its interaction with corruption are one of the most spectacular examples of poor governance and dysfunctional institutions (Blackburn et al., 2017). Organized crime and corruption appear due to the lack of control from machinery of government and civil society (Buscaglia and van Dijk, 2003). Criminal activity can be so closely intersected with corrupted policies and legitimate business, that they are difficult to separate. Cooperation between countries, international institutions and law enforcement agencies is of utmost importance. Otherwise, proceeds of corruption and organized crime will be hidden abroad or in cyberspace (Rose-Ackerman and Palifka, 2018).

Recent globalization of information technologies, economics and transportation infrastructure has increased the opportunities and established conditions for the development of organized crime, which is reflected in various types of crimes (par example, drug trafficking, fraud and other deceitful practices); and in the geographical (international, national, local) level of operation (Kirby and Snow, 2016). Organized crime has changed its borders and gone global, which is reflected in the essence of the concept of transnational organized crime (Allum and Gilmour, 2015).

Therefore, the fight against organized crime must be carried out comprehensively at the national and international levels using organizational and legal instruments in compliance with the basic principles: respect for rights and freedoms of persons and legal entities, with the course of law and the supremacy of law, inevitability of responsibility, economic rationale, continuity, innovativeness, priority of advocacy of positive behaviour, prevention of the commission of a crime, scientific validation.

The study found out that legal instruments to combat organized crime are not the key ones. The countries with the highest levels of organized crime (El Salvador, Mexico) have special legislation and severe penalties, but high level of organized crime there remains unchanged. Therefore, legal regulation should be improved in terms of securing the confiscation of property, acquired as a result of committing organized crimes, as organized

crime is a major threat to the economy (Spanò et al., 2016), which directly affects the level of organized crime.

Legal regulation at the international level should consolidate the interaction and cooperation between states. An important component of cooperation between states, as well as unification of criminal legislation at the international level, are treaties and interstate agreements on juridical assistance, which are a kind of legal base for effective cooperation between countries in the fight against organized crime. The provisions of these treaties allow to resolve quickly a range of issues in the field of juridical assistance in criminal cases. It is reasonable to adopt an international regulatory legal act on mutual assistance and cooperation in the fight against organized crime, which will enable to gain comprehension in legal understanding and legal enforcement of criminal laws, as well as it will contribute to the harmonization of national legislations (Vudvud, 2020).

On the basis of this international regulatory legal act, it is necessary to develop a strategy to combat organized crime, which shall be implemented through international collaboration. The creation of global programs of international collaboration in the fight against organized crime reveals recent trends in the activities of organised crime groups and highlights potential dangers, which allows for taking appropriate preventive measures (Nizamedinkhodjaev, 2020).

High level of corruption in the countries with high level of organized crime indicates corrupt practices of public officials and law enforcement agencies. Therefore, it is necessary to create a decentralized system of control over organized crime by both public authorities and law enforcement agencies, as well as to strengthen departmental control and supervision over all law enforcement agencies regardless of the level of their subordination (Kaydashev and Poplavsky, 2020).

In order to combat organized crime effectively, it is necessary to intensify the mechanism of strengthening the state system of disruptive influence on crime and to create social mechanisms that would eliminate system-forming factors that provide for the benefits of organized crime, as well as to overcome the priority of evolution rate of mafia over the evolution rate of government anti-crime and anti-corruption agencies (Dzhuzha, 2018).

Therefore, it is necessary to develop a program of public involvement into the control of organized crime using such information tools, as reporting possible organized crimes;

reporting about persons who may be organizers or members of a criminal organization; reporting about persons who may have information about organized crime. It would make sense to launch an “information war” (Voronin, 2017) to combat organized crime, which aims to disclose to the general public criminal goals, plans and work methods of criminal associations, to highlight antisocial and anti-state orientation of crime leaders, to create proper ethical readiness for prevention of the most dangerous forms of organized crime (Vasylevych, 2014).

Effectiveness of the fight against organized crime depends on the strength of the partnership between the prosecutor's office, the police, the tax office, local self-government authorities, enterprises (Groenleer et al., 2020), society, media and international institutions. Mechanisms of international partnership in terms of criminal assistance and cooperation facilitate information swapping, participation in joint investigation teams and other forms of anti-criminal solidarity and partnership (Božić and Nikač, 2018).

In the fight against organized crime, law enforcement agencies should block the development of organized crime, so it is advisable to carry out intelligence surveillance, search and investigative activities using innovative communication technologies (Bell and Congram, 2013), as well as undercover police officers and members of organised crime groups in the fight against organized crime.

Conclusions

Over the last decade, organized crime has evolved and become increasingly complex. The number of felonies has increased and the boundaries of criminal activity have expanded. We have come to the conclusion, that countries with high levels of organized crime include El Salvador, Honduras and Mexico, all of them belong to Latin American countries. The countries with the lowest levels of organized crime are Finland, Norway, Oman and Iceland.

Countries with high levels of organized crime have high rates of the following types of crimes: homicide, gun homicide, robbery (crimes of violence) and drug-related crimes.

We have identified the mutual influence of the level of economic development on the level of organized crime in all studied countries during 2011-2017. It was also found out, that the level of corruption in the same countries and for the same period 2011–2017 directly affects the level of organized crime.

The relationship between the level of migration in 2010 and 2015 and the level of organized crime for the period 2011-2017 is very weak.

It has been established in the article that such legal instruments as special legislation and severe penalties for organizing or participating in organized crime are enshrined in the countries with high levels of organized crime, and therefore legal regulation is not a key factor influencing organized crime.

The purpose of crime prevention is to overcome the causes and conditions of crime, and the fight against organized crime includes a number of tools, including legal and organizational ones.

The legal approach to the fight against organized crime includes: adoption of international normative legal acts on mutual assistance and cooperation in the fight against organized crime; development and signing of international treaties and agreements on cooperation in the fight against organized crime; development and adoption of national and international strategies to combat organized crime; legalization of confiscation of property obtained by organized crimes and prevention of legalization of this money.

The organizational approach in the fight against organized crime comprises: international cooperation in the fight against organized crime; decentralization of public oversight authorities and law enforcement agencies in the system of control over organized crime, which will help to prevent corruption; development of a program of public involvement to the control of organized crime with the use of information tools; partnership building between the prosecutor's office, the police, the tax office, local self-government authorities, enterprises, society, media and international institutions, which will create conditions for information swapping; waging an information war against organized crime; carrying out by law enforcement agencies of intelligence surveillance, search and investigative activities using innovative communication technologies, as well as undercover police officers and members of organised crime groups in the fight against organized crime.

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Trafficking in persons: cluster analysis of sending and receiving countries

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ABSTRACT

The objective of this article is to deepen the understanding of the problem of human trafficking by analyzing the patterns of the distribution of traffic across countries, based on international statistics on various socio-economic indicators. We conducted cluster analysis using neuro network grouping algorithm of Kohonen self-organizing maps, basing on 44 variables reflecting different social and economical aspects for 144 countries. Countries were grouped according to the type and level of risk of trafficking-related crimes, and traffic distribution maps were built based on generally accepted hypotheses about traffic factors. As a result of the study, a number of hypotheses explaining the nature of traffic were tested. The results reveal the linkage between the risk of incoming and outgoing trafficking and the socio-economic parameters of the countries and groups.

KEY WORDS: human trafficking; slavery; exploitation; trafficking in persons; international crime; cluster analysis; Kohonen self-organizing maps; distribution maps; migration; Human Rights.

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Trata de personas: análisis por grupos temáticos de los países de origen y de acogida

RESUMEN

El objetivo de este artículo es profundizar en la comprensión del problema de la trata de personas mediante el análisis de los patrones de distribución del tráfico entre países, sobre la base de estadísticas internacionales sobre diversos indicadores socioeconómicos. Se realizó un análisis de conglomerados utilizando el algoritmo de agrupación de redes neurológicas de los mapas autoorganizados de Kohonen, basándose en 44 variables que reflejan diferentes aspectos sociales y económicos para 144 países. Los países se agruparon según el tipo y el nivel de riesgo de delitos relacionados con la trata, y se construyeron mapas de distribución del tráfico basados en hipótesis generalmente aceptadas sobre los factores del tráfico. Como resultado del estudio, se probaron una serie de hipótesis que explicaban la naturaleza del tráfico. Los resultados revelan el vínculo entre el riesgo de tráfico entrante y saliente y los parámetros socioeconómicos de los países y grupos.

PALABRAS CLAVE: trata de personas, esclavitud, explotación, trata de personas, delincuencia internacional, análisis de conglomerados, mapas autoorganizados Kohonen, mapas de distribución, migración, Derechos Humanos.

Introduction

According to the estimates of international organizations, the number of victims of human trafficking around the world exceeds 40 million people at the moment, and the figure is steadily growing every year.

Trafficking, merging into migration flows, becomes almost invisible, which increases its latency, reduces risks for attackers and ensures the smooth operation of the criminal “conveyor” of the human trafficking industry. In the context of globalization, which has made the population more mobile and national borders more permeable, the profits of criminal structures from the sale and exploitation of “human goods” amount to more than 150 billion dollars a year (ILO says forced labour generates annual profits of US\$ 150 billion (ILO says forced labour generates annual profits of US\$ 150 billion, 2014).

This figure is comparable to the budgets of countries such as Finland and Saudi Arabia. At the same time, the most vulnerable in the face of the threat are representatives of the most unprotected social groups: orphans, the poor, people from disadvantaged families, the disabled, women, children, the elderly.

Despite the attempts of the international scientific community to study the origins of the problem, the creation of international analytical institutions dedicated to the study of the phenomenon of trafficking in persons, the number of registered cases of this kind of crime is growing every year. This may mean that the number of victims is indeed increasing, and the ability to identify them is growing in the world.

Researchers are faced with the task of systematizing the available data on traffic, generalizing them and building such analytical models. Reliable assessment and analytics of trafficking processes are key to validating the theories on which the scientific community relies today. Having studied the phenomenon of trafficking, it is possible to reach a new level of understanding of the problem of trafficking in persons and formulate useful recommendations for combating trafficking in persons for state and non-state structures.

Due to the descriptive approach to the problem, there is still no generally accepted established explanation for this phenomenon. An analysis of scientific literature has shown that ideas about its nature are very different.

It should be noted that the problem of trafficking in the scientific community is relatively new and complex theories that fully reflect its causes, preconditions and patterns have not been developed to date. Trafficking is often considered within the framework of one of the scientific disciplines, such as law and forensics. Moreover, the phenomenon itself requires an interdisciplinary study, since it has deep social, cultural and anthropological roots.

Many researchers from the scientific community are trying to explain and predict the dynamics of the development of these processes. The same task is facing the governing bodies of states and international organizations. A serious problem for researchers is the lack of reliable empirical data and analytical models based on such data and allowing them to make validated informed assumptions about the patterns of trafficking.

In this paper, we attempt to deepen our understanding of the problem by examining the patterns of distribution of countries by the level and nature of trafficking. By grouping countries with similar trafficking crime situations, we can assess socioeconomic markers that indicate risk groups.

The problem of the lack of orderly reliable sources describing the situation with human trafficking is still urgent. Researchers and international experts are forced to rely on

estimates of varying degrees of reliability in their work. The empirical data used by researchers is either fragmentary and has many gaps, or is judgmental, subjective.

Thus, we can use existing comparable databases with low confidence, or relatively reliable empirical data that are too narrow and local to draw general conclusions and not comparable with each other.

The objective of this article is to deepen the understanding of the problem of human trafficking by analyzing the patterns of the distribution of traffic across countries, based on international statistics on various socio-economic indicators. We have concentrated on those data, information about which is homogeneous, comparable and comes from reliable sources. In our case, these are data from the UN and other international organizations, or large transnational NGOs.

1. Methodological aspects

We included 44 variables in the study, reflecting various social, economic, demographic, cultural and other indicators. Here is a complete list with explanations.

1.1. Trafficking and slavery

Global Slavery Index (slavesTotal). The absolute number of victims in exploitation, according to the Global Slavery Index for 2018 (Global Slavery Index 2018, 2018).

Population in slavery per 1000 (SlavesPer1000). The number of victims of exploitation per 1000 population, according to the Global Slavery Index for 2018 (Global Slavery Index 2018, 2018).

Country of exploitation (inExpl). Ranking estimate of the volume of exploitation according to the CTDC portal of the International Organization for Migration, 2018. The indicator is ranged from 1 to 5, where 1 corresponds to the flow of less than 10 victims, 2 - from 10 to 220, 3 - from 220 to 930, 4 - from 930 to 5600, 5 - more than 5600 (International Organization for Migration, 2019). This variable reflects the level of exploitation in the country and includes the incoming traffic flow; in the course of the study, we will consider it as an exploitation factor.

Country of origin (sourceCountry). Ranking of outbound traffic according to the CTDC portal of the International Organization for Migration, 2018. The indicator is ranged from 1 to 5, where 1 corresponds to the flow of less than 10 victims, 2 - from 10 to 220, 3 - from

220 to 930, 4 - from 930 to 5600, 5 - more than 5600 (International Organization for Migration, 2019). This variable reflects the origin of the victims of trafficking identified in different countries.

K trafficking. Generalized traffic ratio based on statistics from the CTDC portal of the International Organization for Migration. Calculated as the sum of the squares of the previous two variables.

Google HT. The volume of mentions in the Google news aggregator for the search query “human trafficking” per year.

1.2. Demography

Population. The absolute indicator of the number of population in the country according to the UN data for 2016 (Population data, 2019).

Birth rate. Birth rate - per 1000 people (Birth rate, crude (per 1,000 people), 2019).

Fertility rate. Special fertility rate (per woman) (Fertility rate, total (births per woman), 2019).

Adolescent fertility rate. Adolescent fertility is the number of births per 1000 women aged 15-19 years (Adolescent fertility rate (births per 1,000 women ages 15-19), 2019).

Death rate. Mortality rate per 1000 people (Death rate, crude (per 1,000 people), 2019).

Life expectancy at birth. Life expectancy at birth (Life expectancy at birth, total (years), 2019).

Population growth. Population growth for the year in percent (Population growth (annual %), 2019).

Population ages 65 and above. The proportion of the country's population aged 65 and over, expressed as a percentage of the total population (Population ages 65 and above, total, 2019).

Population ages 0-14. The proportion of the country's population between the ages of 0 and 14, expressed as a percentage of the total population (Population ages 0-14 (% of total population), 2019).

1.3. Migration

International migrant stock. The number of international migrants in the country as a percentage of the total population of the state (International migrant stock (% of

population), 2019). This indicator is calculated on the basis of population censuses and includes people living in the country, but born in another state. In the absence of data, the UN independently estimates the indicator.

Refugees Azyl. The absolute number of refugees who arrived in the country (Refugee population by country or territory of asylum, 2019).

Refugees Orig. The absolute number of refugees who left the country (Refugee population by country or territory of origin, 2019).

Status Azyl pending. Number of pending applications for asylum or refugee status (Mid-Year Trends 2017, 2017).

Migrant remittance inflow. Total amount of migrant remittances in millions of US dollars from other countries during the year.

Migrant remittance outflow. Total amount in millions of US dollars sent by migrants via remittances to other countries (Migration and Remittances Data, 2019).

Mobile cellular subscriptions. The number of new mobile connections per 100 people per year (Mobile cellular subscriptions (per 100 people), 2019).

1.4. Economy

Adjusted net national income. Net national income per capita in US dollars (NPI) (Adjusted net national income per capita (current US\$, 2019).

Unemployment. Unemployment as a percentage of the total labor force (Unemployment, total (% of total labor force) (modeled ILO estimate), 2019).

Employment 15-24. Employment among young people aged 15 to 24 years (Employment to population ratio, ages 15-24, total (%)(modeled ILO estimate), 2019).

Inflation. Inflation is the GDP deflator index in percent per year (Inflation, GDP deflator (annual %), 2019).

Natural resources rents. The share of revenues received by the government from natural resources, expressed as a percentage of GDP (Total natural resources rents (% of GDP), 2019).

1.5. Inequality

GINI index. Gini coefficient, reflecting economic inequality in society (GINI index (World Bank estimate), 2019).

Gender Inequality Index. Gender Inequality Index. This indicator was introduced by the UN to quantify gender discrimination (Gender Inequality Index, 2019).

Women in parliament. The proportion of seats in the country's parliament occupied by women (Proportion of seats held by women in national parliaments (%), 2019).

1.6. Conflicts

Global Peace index. The Global Peace Index reflects the level of security in a country or region, taking into account different types of crime, internal and external conflicts, terrorist threats, arms sales, etc. The countries with the lowest index are the safest to live in (Global Peace Index, 2019).

Battle-related deaths. The number of deaths during armed conflicts (Battle-related deaths (number of people), 2019).

1.7. Education, healthcare, ecology, culture and other

Corruption. Corruption perception index, which reflects the abuse of authority by civil servants. It is measured on a scale from 100 (no corruption) to 0 (very high level of corruption) (Corruption Perceptions Index, 2019).

Gov expenditure on education. Government spending on education, expressed as a percentage of GDP (Government expenditure on education, total (% of GDP), 2019).

Literacy. Literacy as a percentage of the total population (Literacy rate, 2019).

Secondary education. Population over 25 years old with at least secondary education, as a percentage of the total population (Key charts on Education, 2019).

Tuberculosis. The incidence of tuberculosis per 100,000 people (Incidence of tuberculosis (per 100,000 people), 2019).

Undernourishment. Percentage of the population at risk of hunger (Prevalence of undernourishment (% of population), 2019).

Rural population. The rural population is the percentage of the country's population living in rural areas (Rural population (% of total population), 2019).

Forest area. Forest area in the country (List of countries by forest area, 2019).

UNESCO. The number of UNESCO heritage sites in the country (UNESCO World Heritage Centre, 2019).

Happiness Index. International index of happiness, which measures people's satisfaction with their living conditions, including income, prospects, environmental situation, etc. (World Happiness Report 2018, 2018).

Freedom to make life choices. Freedom of choice. One of the variables included in the happiness index. This is the average of the responses to the question "Are you satisfied with the freedom to choose what you do with your life?"

Social support. Social support (or having someone to count on in a difficult situation) is also one of the variables in the Happiness Index. This is the average of the binary responses (0 or 1) to the question "If you are in trouble, do you have any family or friends you can count on?"

In order to form a picture of the distribution of traffic in the modern world based on the listed data, we use cluster analysis. The algorithm that we use for classification in our model is self-organizing Kohonen maps. The result of his work is graphic maps, where each point represents one observation in the sample and has coordinates strictly defined by the network.

2. Results and discussion

The analysis is supposed to uncover some important trends of trafficking flows, understanding that human trafficking is a complex phenomenon, having multiple economic and social causes (Siluyanova, 2019). In our work we will verify some suggestions about trafficking, offered by researchers. So, Lanier and Henry (Lanier, Henry 2004) argue that traffic is determined by the theory of rational choice conclude that the choice of victims is not determined by any certain laws, but is carried out situationally. Cameron and Newman, divide the factors influencing traffic into two groups: structural and direct (Cameron, Newman 2008). Louise Shelley identifies demographic parameters, such as population growth, as an important prerequisite for traffic, as well as the reduction of the rural population by moving people to cities or abroad (Shelley 2010). In addition, gender inequality and discrimination are important factors in shaping trafficking flows, as noted by Kara Siddarth (Siddharth, 2009). Alexis Arnowitz claims that all migratory flows, including human trafficking, have the same causes (Aronowitz 2009).

We took the variables reflecting the absolute number of victims of exploitation from the Global Slavery Index database. We also have statistics on the number of registered cases

of exploitation, which are kept by international institutions. As expected, these indicators should correlate with each other, since they are different measures of the same phenomenon. However, there is no relationship between these variables: the correlation coefficient of the `inExpl` and `slavesPer1000` variables is -0.09 . Since `inExpl` is an ordinal variable, we also checked Spearman's nonparametric correlation, however, no dependence was found: the coefficient was -0.08 .

The absence of any statistically significant correlation between the two datasets reflecting the level of trafficking indicates that, most likely, one of the variables does not correctly reflect the essence of the phenomenon under study, and we need to choose the one that is more representative. Since the statistics of actual registered cases recorded by international institutions seem to be more representative than the estimated value published by the NGO, we used the `inExpl` variable as a measure of the level of exploitation, and the `sourceCountry` variable to measure outgoing traffic.

Already at this stage, we can be convinced that the empirical base hides in itself many contradictions and difficulties. This result of comparing data from international institutions and NGOs indicates a low degree of measurement of the problem. This result also confirms fears that NGO statistics are of unclear origin and distort the overall picture.

First, let's build maps for the level of exploitation in the country (`inExpl`). To do this, we divide the data into five groups (Figure 1):

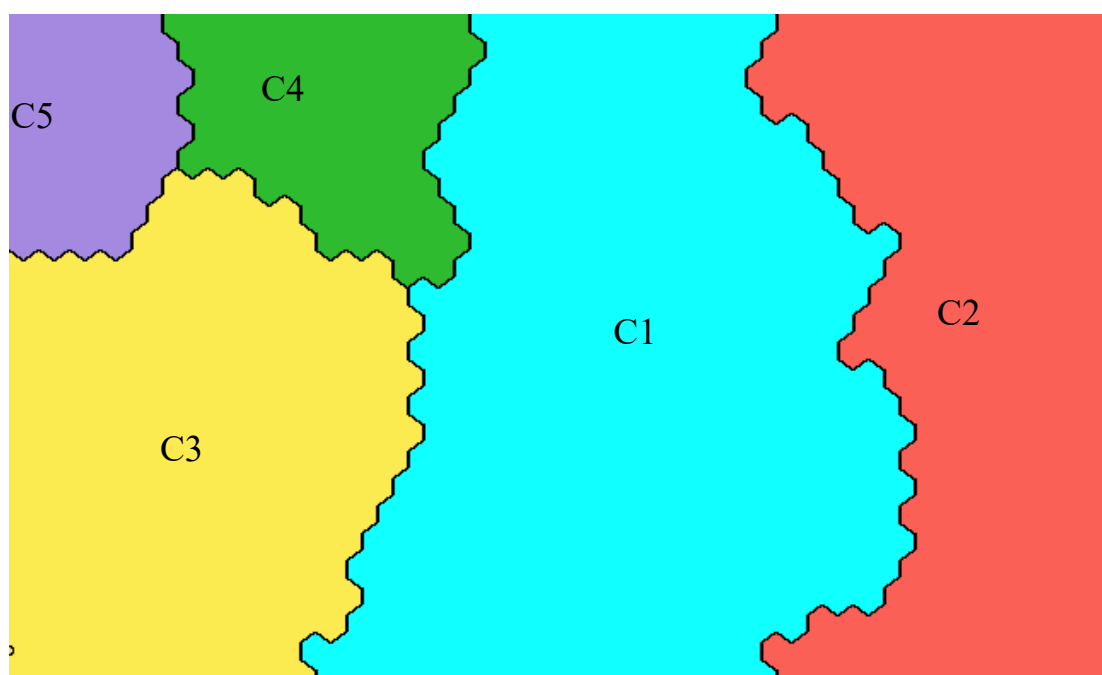


Figure 1 - Map of clusters with grouping attribute `inExpl`

In the figure, each point is a sample country. The stronger the countries are similar to each other in terms of a set of features, the closer they are displayed on the map. The points farthest from each other, respectively, have the maximum degree of difference.

First of all, we consider the statistics of clusters (table 1) and give a description of each group. For convenience, all indicators in the table are highlighted in colors: green indicates the lowest values, orange indicates the highest values.

Table 1 - Table of average values of clusters with the grouping attribute inExpl

Cluster	CountrExpl	RemitOut	NetInc	Corruption	Pop65+	Pop0-14	Fertility
C 1	1,896	1015	4662	33,23	6,79	27,22	2,344
C 2	1,524	179	1156	30	3,1	41,84	4,638
C 3	2,108	4327	23635	63,14	17,05	16,6	1,635
C 4	4	11924	11532	44,67	12,99	18,28	1,75
C 5	2,75	15552	21408	47,25	2,97	22,19	2,277
	secEduc 25+	Literacy	Undernourish	Happiness	Rural pop	Int migrant stock	Inflation
C 1	61,9	97,2	8,22	5,353	42,46	2,47	3,35
C 2	33,8	72,8	23,72	4,129	60,59	2,83	3,9
C 3	89,2	99,7	2,96	6,246	27,19	11,1	1,41
C 4	92,9	99,5	2,32	5,881	33,86	7,79	4,7
C 5	65,1	99,2	5,04	6,128	10,44	54,65	-13,08
	Mobile	Tuberculosis	GINI	GenInequality	Unemployment	Death rate	Life exp
C 1	112,4	100	40,98	0,3985	7,13	6,42	72,91
C 2	77,8	238,2	42,26	0,5788	7,72	8,87	61,04
C 3	123,7	16	32,45	0,1218	10,96	9,76	79,57
C 4	126,2	52	33,79	0,2163	4,74	10,82	74,4
C 5	149,2	12,7	31,31	0,2836	4,26	2,83	76,41
Compiled by the author							

Cluster 1 (C1) - 33.3% of observations. This group of countries has a low per capita income, average inflation and a fairly high unemployment rate. The birth and death rates are average here, there are many children in the structure of the population, and the share of the rural population is quite high. There are few migrants in these countries, high morbidity, economic and gender inequality, and the level of corruption.

Cluster 2 (C2) - 29% of observations. It has the lowest NPI, high unemployment, high inflation and the highest risk of hunger. These countries have record high mortality and

fertility, many children, the lowest life expectancy, few migrants, the highest morbidity, very low literacy and education levels, strong corruption, the worst indicators of all variables reflecting the observance of human rights.

Cluster 3 (C3) - 26% of observations. This is almost the complete opposite of the previous "dysfunctional" cluster: High NPI, low corruption, excellent indicators of the index of happiness and equality, low morbidity, low birth rate, high mortality, many migrants (Siluyanova, 2019).

Cluster 4 (C4) - 6% of observations. These countries show an average NPI, relatively high inflation rates, and low unemployment. The birth rate here is low, and the mortality rate is very high. There are a lot of children and the elderly in the population structure, the average number of migrants, average indicators of corruption, happiness, inequality, high literacy and a high rate of remittances of migrants abroad.

Cluster 5 (C5) - 6% of observations. Typical features are a high NPI, low unemployment, and no inflation. This is the average birth rate, very low mortality, high life expectancy, very few old people and a lot of migrants. At the same time, the indices of happiness and inequality are average, or high and a record indicator of outgoing remittances of migrants.

We identified two "prosperous" groups, one group with dramatically poor performance, and two groups in between. The map we have built perfectly reproduces the geopolitical concept of dividing countries into developed, transitional and third world countries. One of these concepts - world-systems analysis - suggests dividing the world-system into core, periphery and semi-periphery with properties very similar to the identified properties of clusters. Thus, "safe" clusters (C5, C3) represent the core, "dysfunctional" (C2) —the periphery, and the layer (C1) —semi-periphery. We are even more convinced of the similarity of the classification with the world-system interpretation by examining the lists of clusters (Table 2).

The prosperous clusters included the European states and Canada (C3) and the countries of the Middle East (C5). The disadvantaged cluster is the countries of Africa. "Interlayer" (C1) - Asian and Latin American countries.

Next comes the most important part of this stage of the analysis; this is an examination of the map of the distribution of individual variables (Figure 3).

Table 2 - List of countries included in clusters with grouping attribute inExpl

C1	C2	C3	C4	C5
Turkey	Uganda	Norway	United States	United Arab Emirates
Philippines	Senegal	Macedonia	Russian Federation	Saudi Arabia
Indonesia	Haiti	Japan	Poland	Qatar
Cambodia	Ghana	Italy	Moldova	Lebanon
Uzbekistan	Afghanistan	Czech Republic	Malaysia	Kuwait
Thailand	Zambia	Bosnia and Herzegovina	Kazakhstan	Jordan
Tajikistan	Yemen	Albania	Belarus	Oman
South Africa	Sudan	United Kingdom	Romania	Bahrain
Egypt	Sierra Leone	Switzerland	Bulgaria	
China	Papua New Guinea	Sweden		
Vietnam	Pakistan	Spain		
Turkmenistan	Madagascar	Slovenia		
Trinidad and Tobago	Kenya	Slovakia		
Syrian Arab Republic	Ethiopia	Serbia		
Peru	Côte d'Ivoire	Portugal		
Morocco	Cameroon	Netherlands		
Mexico	Benin	Montenegro		
Mauritius	Zimbabwe	Lithuania		
Libya	Togo	Korea		
Kyrgyzstan	Tanzania,	Israel		
Iraq	South Sudan	Ireland		
Iran	Rwanda	Hungary		
Guatemala	Nigeria	Greece		
Ecuador	Niger	Germany		
Dominican Republic	Namibia	Georgia		
Colombia	Mozambique	France		
Bangladesh	Mongolia	Finland		
Azerbaijan	Mauritania	Denmark		
Argentina	Mali	Cyprus		
Venezuela	Malawi	Croatia		
Ukraine	Liberia	Belgium		
Tunisia	Lesotho	Austria		
Sri Lanka	Guinea-Bissau	Australia		
Paraguay	Gambia	Armenia		
Panama	Gabon	Uruguay		
Nicaragua	Congo	Latvia		
Nepal	Chad	Canada		

Myanmar	Central African Republic		
Jamaica	Burundi		
India	Burkina Faso		
Honduras	Botswana		
Guyana	Angola		
Cuba			
Costa Rica			
Chile			
Brazil			
Bolivia			
Algeria			
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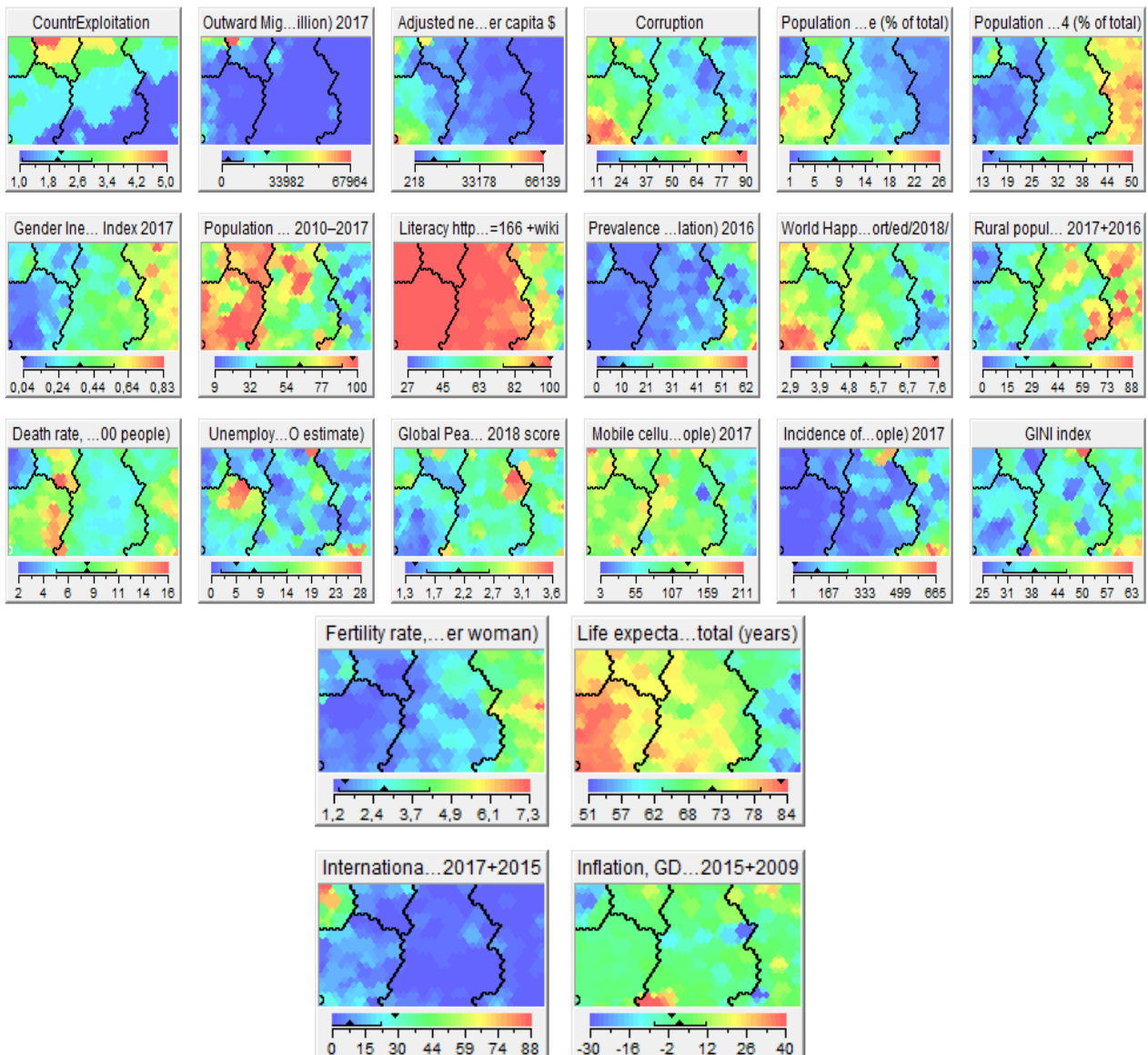


Figure 3 - Maps of variables with the boundaries of clusters with the grouping attribute inExpl

Most of all, we will be interested in the first picture, which reflects the distribution of countries according to the level of exploitation. We clearly see that the C4 cluster was formed by countries where this problem is especially strong. Since the representatives of the cluster are heterogeneous in other parameters, the averaged statistics of average indicators does not describe it well enough. We also see that the second place in terms of exploitation is occupied by the Middle East cluster C5. In addition, in the cluster-interlayer C1, the contour of a subcluster with high exploitation rates is outlined. The main “marker” of a high utilization rate is the volume of outgoing money transfers.

Clusters completely free from the problem have not been formed; The lowest rate of exploitation, contrary to many theoretical models linking the level of trafficking with the level of development of civil and human rights institutions, is in the countries of the stratum cluster, where these institutions are not well developed. In those countries where the indices of equality and freedoms are high, also contrary to expert estimates, the level of exploitation is at its maximum. Thus, today developed civil institutions are unable to reduce the rates of trafficking. The general low level of social inequality also does not contribute to a decrease in exploitation; on the contrary, it is under a more equitable social system that exploitation is carried out more often.

Another important fact that we can observe on the maps: the lack of a constant relationship between trafficking and migration. If the correlation for the countries of the Middle East can be traced, then it is absent in the cluster of leaders in terms of exploitation: the number of migrants here is negligible. If we relate the flows of incoming migration to the level of traffic, then one would expect that the European cluster would become the leader; however, this does not happen and the hypothesis of a direct relationship between these phenomena must be rejected.

Another important conclusion that we can draw from distribution maps is the definition of the main "pivot points" of clustering, that is, the basic principles of difference. This can be done by examining the boundaries of the clusters. The variables that define them will be the most important. Such variables for inExpl include: the number of old people and children, life expectancy, literacy, rural population, general population, gender inequality.

If we graphically display the clusters on the map, marking the highest risk of exploitation in red and the lowest in green, we get a map of the distribution of countries depending on the structure of the risk of exploitation (Figure 4).

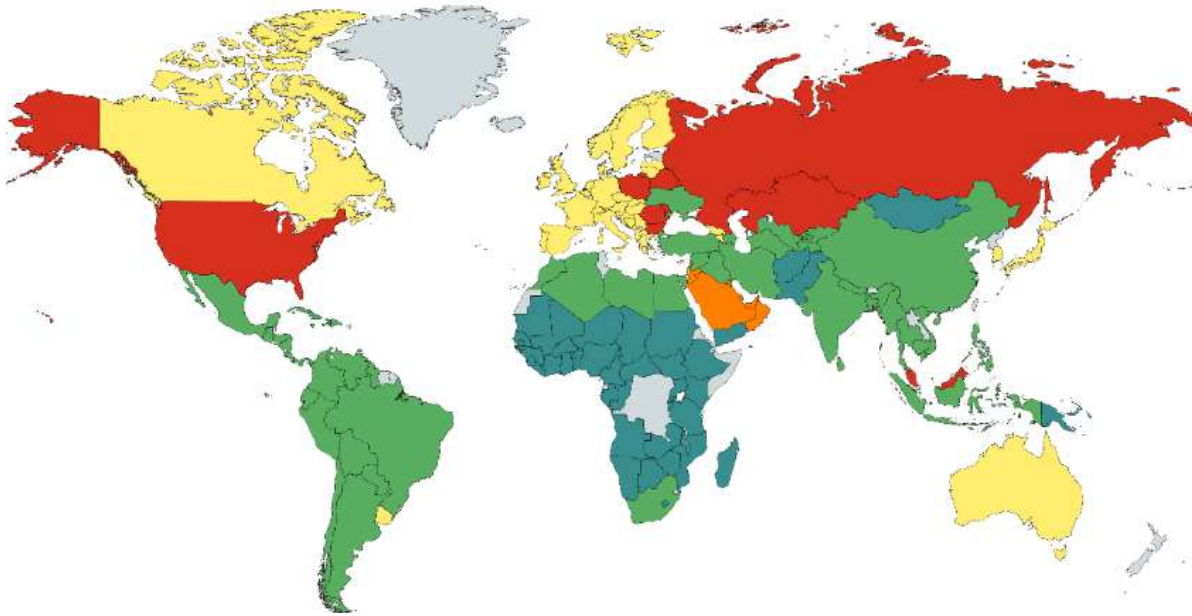


Figure 4 - Geographic distribution of countries by level of exploitation

Further, the indicator of outgoing traffic is analyzed in a similar way. Our task is to identify key donor countries and their properties. We divide all countries from the sample into 5 clusters (Figure 5).

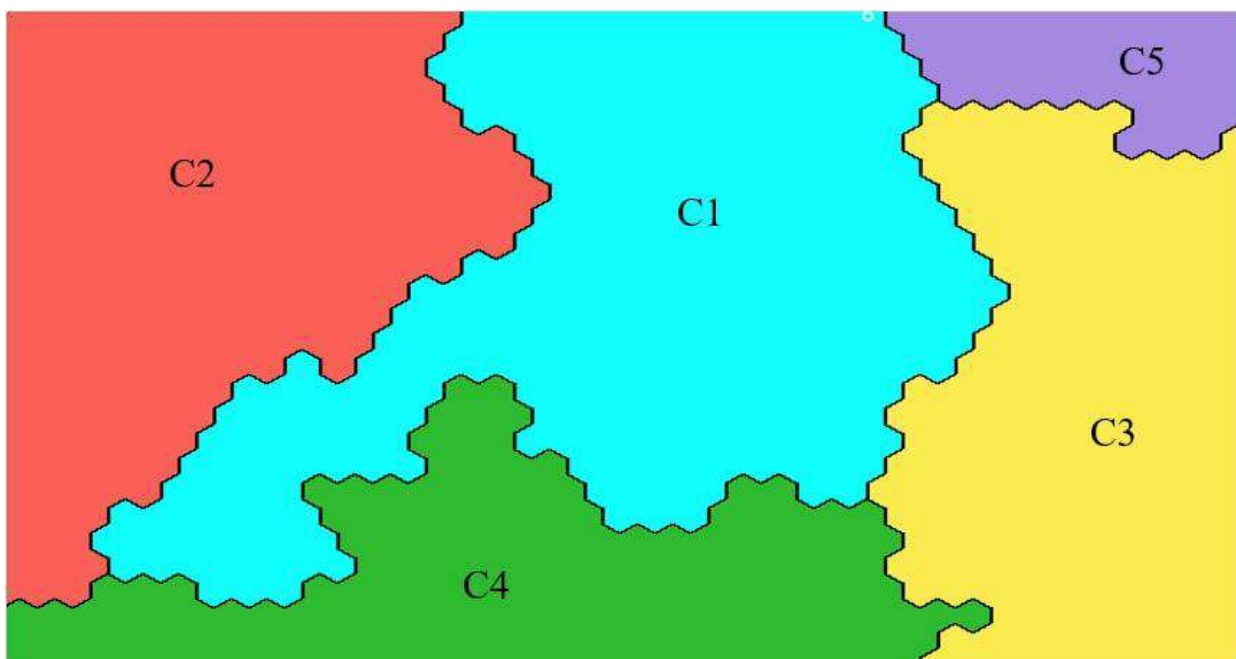


Figure 5 - Map of clusters with grouping attribute sourceCountry

Average indicators for clusters are presented in Table 3.

Table 3 - Table of average values of cluster variables with grouping attribute sourceCountry

Cluster	Frequency	Origin	Inflation	migrant stock	nat income	Corruption	Gender Inequality	Population 0-14
C 1	25,69%	1,757	3,32	3,12	5404	38,51	0,4037	27,85
C 2	27,08%	1,923	3,22	2,5	974	27,1	0,5908	42,52
C 3	24,31%	1,543	1,14	11,27	24701	64,34	0,1121	16,32
C 4	17,36%	3,6	5,23	4,41	5925	34,36	0,3193	23,32
C 5	5,56%	1	-13,08	54,65	21408	47,25	0,2836	22,19
	Fertility rate	Life expectancy	Happiness	Social support	Literacy	Adolescent fertility	Sec education 25+	Population 65+
C 1	2,4	72,45	5,404	1,264	96,6	54,3	59,5	6,78
C 2	4,735	61,26	4,071	0,856	71,3	97,3	31,1	3,05
C 3	1,621	79,84	6,318	1,399	99,8	10,8	89,9	17,28
C 4	2,135	72,5	5,383	1,325	98,5	34	78,7	9,16
C 5	2,277	76,41	6,128	1,228	99,2	14,5	65,1	2,97
	Pop growth	Undernourish	Tuberculosis	Rural pop	Mobile	Unemployment	Remit inflow	Death
C 1	1,2	8,98	124,1	35,3	114,5	9,38	2812	6,61
C 2	2,496	23,86	196,3	62,76	71,4	6,88	1657	8,76
C 3	0,281	2,85	15	27,42	123,3	10,56	3966	9,66
C 4	0,826	6,36	123,8	47,22	121,4	5,19	11193	8,61
C 5	3,564	5,04	12,7	10,44	149,2	4,26	1678	2,83

Compiled by the author

Cluster 1 (C1) - 26% of observations. This group has mainly average economic and demographic indicators, while there is a fairly high gender inequality, morbidity, unemployment, literacy, the number of migrants here is relatively small.

Cluster 2 (C2) - 27% of observations. Average inflation and unemployment rates, low NPI are combined with very high rates of morbidity, corruption, threat of hunger, and inequality indices. It has the highest birth rate, relatively high mortality, high population growth, and short life expectancy. In all respects, this cluster resembles the “disadvantaged” countries from the previous stage of the analysis.

Cluster 3 (C3) - 24% of observations. These countries are characterized by low inflation, high NPI, low fertility and population growth, a large number of migrants. It has the highest death and unemployment rates, the highest life expectancy, the highest level of happiness and the lowest level of corruption.

Cluster 4 (C4) - 17% of observations. In many respects, it has average indicators, stands out with a record high level of social support, the highest inflation, mortality is quite high here, there are quite a lot of elderly people, and low unemployment rates. This is where the largest flow of remittances from migrants comes from abroad.

Cluster 5 (C5) - 6% of observations. There is negative inflation, a huge number of migrants, high NPI and favorable social indicators.

Here again we see a division in accordance with the current geopolitical situation. Two “safe” clusters have emerged, one “dysfunctional” and a layer between them.

Further attention is paid to how the socio-economic statistics of different countries are distributed among groups. For this, the distribution graphs for each variable are considered (Figure 6).

The conventional wisdom is that we expect to see the highest traffic rate in the “dysfunctional” C2, but this is not happening. This cluster ranks second in terms of outbound traffic, while the leader is the “average” C4. It is this cluster that makes up the core of donor countries. We also observe a group with the lowest possible level of the indicator, that is, a cluster that is not actually engaged in the “export” of live goods. These are C5 - Middle Eastern oil economies, which are second in terms of exploitation. Cluster C3, that is, European countries, has a very low rate of outbound traffic.

In order to make sure that our assumptions about the composition of the clusters are correct, consider the results of the grouping (Table 4).

This time the grouping turned out to be less geographically accurate: the first cluster contains the countries of Latin America, Africa, and some Asian states. The second cluster is still almost entirely composed of African countries. The third and fifth clusters with industrialized developed economies as well as the oil powers of the Middle East have changed little. But cluster 4, which brought together the most problematic states, expanded.

It is noteworthy that the volume of remittances, this time incoming, again became a marker of high traffic.

Geographically distributing the clusters on the map, we obtain a scheme for the distribution of the risk of outgoing trafficking, where the most active donor countries are shown in red, and the countries with the lowest level are indicated in green (Figure 7).

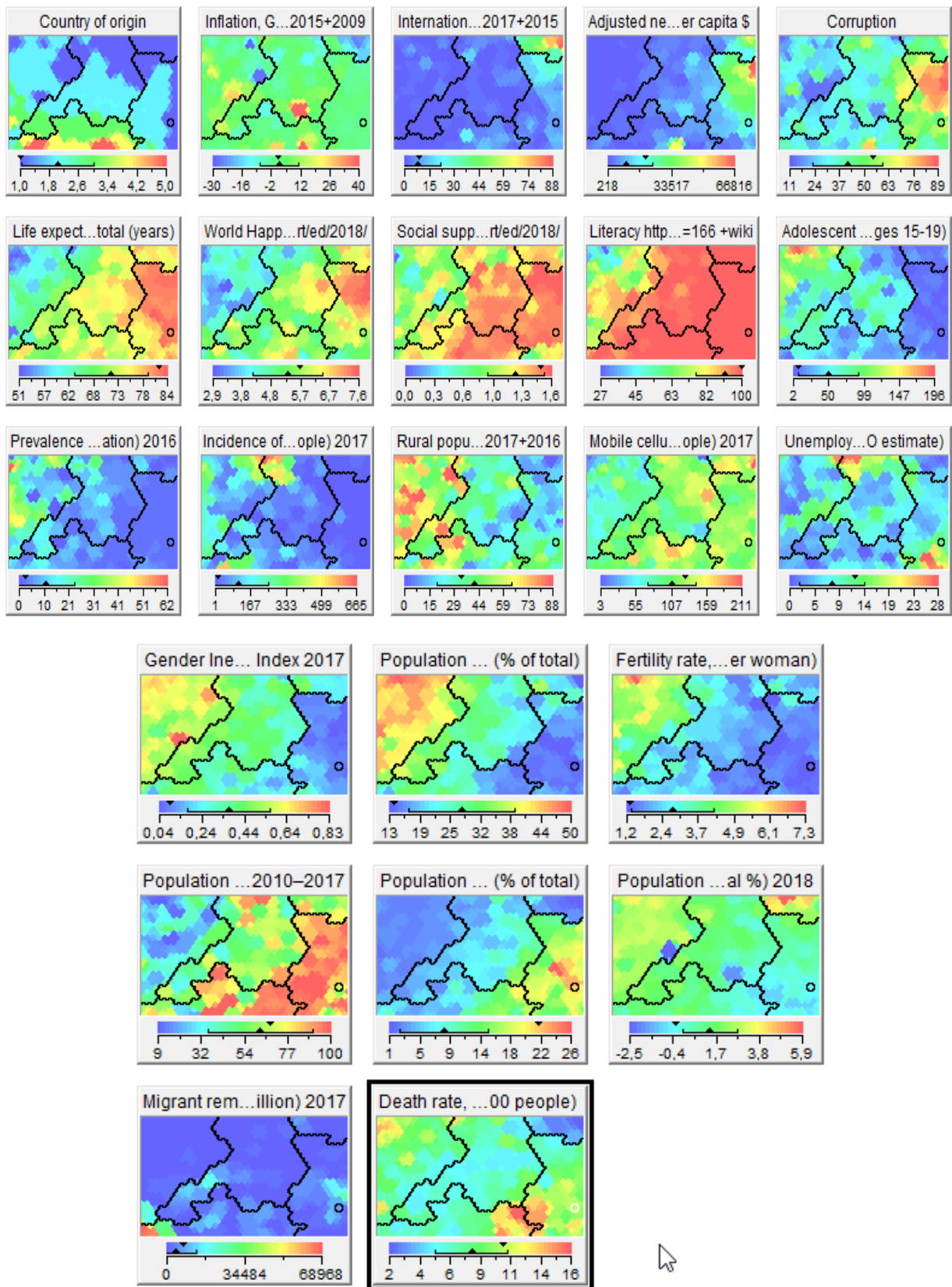


Figure 6 - Maps of distribution of variables in clusters with the grouping attribute sourceCountry

Table 4 - Countries included in clusters with grouping attribute sourceCountry

C1	C2	C3	C4	C5
Honduras	Nigeria	Albania	United States	United Arab Emirates
Guatemala	Uganda	United Kingdom	Ukraine	Saudi Arabia
Ghana	Haiti	Spain	Philippines	Qatar
Colombia	Ethiopia	Slovakia	Cambodia	Oman
Bolivia	Afghanistan	Poland	Uzbekistan	Lebanon
Venezuela	Zimbabwe	Netherlands	Romania	Kuwait
Uruguay	Zambia	Macedonia	Myanmar	Jordan
Turkey	Togo	Lithuania	Moldova	Bahrain
South Africa	Tanzania,	Latvia	Mexico	
Peru	Syrian Arab Republic	Rep, of Korea	Kyrgyzstan	
Paraguay	Sudan	Japan	Indonesia	
Nicaragua	Sierra Leone	Hungary	Belarus	
Nepal	Senegal	Germany	Argentina	
Morocco	Rwanda	Georgia	Vietnam	
Mongolia	Pakistan	Czech Republic	Turkmenistan	
Malaysia	Niger	Canada	Thailand	
Jamaica	Mozambique	Bosnia and Herzegovina	Tajikistan	
Egypt	Mali	Australia	Sri Lanka	
Ecuador	Malawi	Switzerland	Serbia	
Dominican Republic	Madagascar	Sweden	Russian Federation	
Cuba	Liberia	Slovenia	Kazakhstan	
Brazil	Kenya	Portugal	China	
Bangladesh	Guinea-Bissau	Norway	Bulgaria	
Tunisia	Gambia	Montenegro	India	
Trinidad and Tobago	Congo	Italy	Azerbaijan	
Panama	Côte d'Ivoire	Israel		
Namibia	Cameroon	Ireland		
Mauritius	Burundi	Greece		
Libya	Burkina Faso	France		
Lesotho	Benin	Finland		
Iran	Yemen	Denmark		
Gabon	South Sudan	Cyprus		
Costa Rica	Papua New Guinea	Croatia		
Chile	Mauritania	Belgium		
Botswana	Iraq	Austria		
Armenia	Guyana			
Algeria	Chad			
	Central African Republic			
	Angola			

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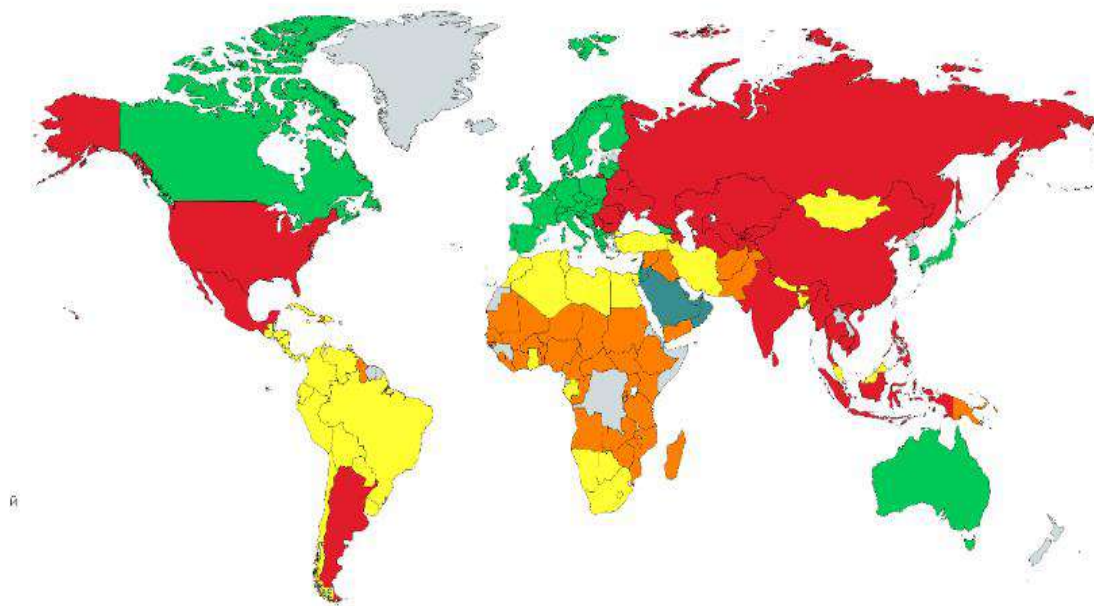


Figure 7 - Geographic distribution of countries by the level of outgoing traffic

The analysis shows, that grouping the countries we can clearly see some important trends, describing the nature of human trafficking.

Conclusion

Analyzing the level of trafficking in different countries, we made sure that countries can be conditionally divided into donor countries and destination countries. The analysis shows that there are features in common that can indicate the countries with a high potential risk of incoming and outgoing trafficking. Existing theories are often controversial, they need more data to clearly describe the phenomenon of trafficking. Meanwhile, the study shows that trafficking flows are formed according to common principles, which means that they are pore ore less determined and can be predicted.

In order to deepen our understanding of the trafficking industry, it is also important to build an empirical base. The collection, systematization and generalization of information about crimes related to trafficking makes it possible to create qualitatively new databases and more reliable mathematical models. Today, the Russian and world scientific community is experiencing difficulties in studying the topic of human trafficking, primarily because of the lack of high-quality empirical data. As the information base develops, prospects for a comprehensive interdisciplinary study of the problem of trafficking open up, to which

economists, psychologists, sociologists, political scientists and representatives of other social sciences can connect.

Having studied the patterns, we have reason to argue that in the modern world, many of the tools used by national governments to combat human trafficking are not effective enough. Thus, neither the tightening of migration controls, nor the restrictions on migration are able to solve the problem of trafficking in the context of globalization, since it is a more complex phenomenon, and the traffic flow is formed according to completely different patterns than the migration flow.

Thus, the anti-trafficking policy should, first of all, be based on a clear understanding of this phenomenon, work with social groups at greatest risk, raise the awareness of society and government structures about the problem of human trafficking, and develop a clear comprehensive strategy for the prevention and investigation of this type of crime.

Acknowledgments

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The role of civil society institutions in ensuring social control over political processes

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ABSTRACT

The purpose of the article is to investigate the importance and roles of civil society institutions in exercising social control over policy formulation and implementation processes, even in conditions of pandemic contingency. The study has used the methods of comparative analysis, temporal analysis, case study method, statistical data analysis and secondary research of the results of sociological studies. It has been established that civil society institutions play the role of efficient institutions of social control. They are able to mutually strengthen the intentions of the State to ensure the public interest, establish the collaboration of citizens and the cohesion of public efforts. In Ukraine, so far, civil society is at a stage of development and, along with the quantitative characteristics, does not have the appropriate qualitative characteristics. Social control is not authoritarian in nature, nor is it mandatory; it is carried out on behalf of its actors: civil society and citizens.

KEYWORDS: Social control; Social participation; civil society; democracy; politics.

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El papel de las instituciones de la sociedad civil para garantizar el control social de los procesos políticos

RESUMEN

El propósito del artículo consiste en investigar la importancia y las funciones de las instituciones de la sociedad civil en el ejercicio del control social sobre los procesos de formulación e implementación de políticas, incluso en condiciones de contingencia pandémica. El estudio ha utilizado los métodos de análisis comparativo, análisis temporal, método de estudio de casos, análisis de datos estadísticos e investigación secundaria de los resultados de estudios sociológicos. Se ha establecido que las instituciones de la sociedad civil desempeñan el papel de instituciones eficientes de control social. Son capaces de fortalecer mutuamente las intenciones del Estado para velar por el interés público, establecer la colaboración de la ciudadanía y la cohesión de los esfuerzos públicos. En Ucrania, hasta ahora, la sociedad civil se encuentra en una etapa de desarrollo y, junto con las características cuantitativas, no tiene las características cualitativas adecuadas. El control social no es de naturaleza autoritaria, ni es obligatorio; se lleva a cabo en nombre de sus actores: la sociedad civil y los ciudadanos.

PALABRAS CLAVE: Control social; participación social; sociedad civil; democracia; política.

Introduction

The issue of social control over political processes is particularly urgent in the context of downturn of the level of trust in State institutions, the growth of populist sentiments and the need to increase the quality of policy. The public discourse discusses the effectiveness of various mechanisms of such control, the possibility of involving more citizens of different ages in public consultations and constructive participation in the processes of development and implementation of public policy.

Therefore, the purpose of this work is to investigate the importance and functions of civil society institutions in ensuring social control over the processes of development and implementation of public policies. In order to achieve that goal, it is necessary to solve the following research tasks: 1) analysis of the purpose and peculiarities of social control in modern conditions to ensure the quality of public policy; 2) identification of problems of active participation of civil society institutions in the processes of social control and development of recommendations for their solution in Ukraine.

1. Literary review

Global democratization processes, the growing importance of self-organization of the population and participation of the general public in public policy-making are also strengthened by decentralization processes in public administration, which have become vectors in the countries currently undergoing secondary modernization. A lot of modern researchers in their works consider various aspects of ensuring social control by means of public organisations (Marañón et al, 2021).

Leigh (2019) views this issue through the prism of the development of public spaces and modern urban planning. After all, materialized spaces and the availability of other resources to ensure them should be, among other things, an important condition for ensuring social control. The researcher analyses how social control affects the quality of public policy in the development of social infrastructure (Leigh, 2019). McHale (2019) focuses his research on the role of media in supporting social control, policy-making and policy implementation in modern democracies. The retrospective method, used in the researcher's works, is quite valuable, as it is used as an analytical lens, through which it is possible to determine the importance of media as a powerful means of social control. Media, as a civil society institution, have always played a constructive role in the development of public policy and its implementation. At the same time, McHale (2019) analyses the destructive effects from the influence of media, in particular the fact that social media contribute to the division of public discourse into opposing parties. The researcher analyses the cases of dissemination of discursive and, consequently, social chaos through disinformation campaigns, bringing us to the idea that the media is both a separating and a unifying force. However, the growth of social media and their susceptibility to manipulation constitutes a danger to social cohesion, effective public policy-making and implementation of State policy, which affects the lack of clarity in policy objectives and the quality of the political process.

Another theorist Swain (2019) analyses the functions of public sports organizations in ensuring social control. Socio-historical analysis, performed by the author, is useful for understanding the role of sports initiatives in the public sector for the development of national social policy. It is possible to trace in the works of Swain (2019) how the methods of exercising public authority have changed from industrial times to post-industrial conditions. Currently, the definition of sports as a part of public culture in terms of the covid-

19 pandemic helps in the implementation of policies to promote healthy lifestyle, motivation to physical activity and anti-ageism.

The researchers Klein and Lee (2019) look into the processes of interrelation and collaboration between the civil society, the State, and the economy, where each agent shapes different engagement strategies. These strategies include, in particular, the policy of influence, the policy of substitution and the policy of occupation, which conform to the strategies of discursive impact, functional substitution and takeover of institutions, respectively. The scholars emphasize that either civil society can interfere in the actions of the State and the economy can react in response to the actions of the State, or the State and the economy can as well interfere with the activities of civil society.

Antje and Dieter (2019) have researched the application of well-established notions of civil society in new democracies. The scientists highlight the special cases of third world countries and low efficiency of secondary modernization in African countries. With regard to the analysis of social control, the scientists have found out interesting consequences of the improvement of the quality of policy as a result of active efforts of civil society institutions (Antje & Dieter, 2019). In this discussion, Cooper (2018) stresses that civil society groups are becoming more technologically literate using social media platforms. Jezard (2018), in turn, adds to such platforms new technological tools, used by civil society institutions in order to increase the efficiency of their work. For example, the World Wildlife Fund uses drone technologies, animal tracking devices and infrared cameras to combat poaching of endangered species (Jezard, 2018). The UNICEF U-Report bot is a free tool for social monitoring. Thanks to the bot, according to Jezard (2018), it became possible to uncover a scandal over exploitation of children by their teachers in Liberia. In less than a day, 13,000 people were involved in the public debate and, as soon as the problem went public, a support service was established and advisory services were appointed (Jezard, 2018).

Social control as an anti-corruption practice was analysed by Langseth (2001). In cases where institutions, designed to ensure respect for human rights, are treated by the citizens as the most corrupted ones, the social consequences of such a process have destructive impact on socio-political processes. Systemic corruption undermines the legitimacy of the State and the democracy itself. Langseth (2001) justifies the importance of systematic, reliable and transparent monitoring of the levels, types, localization, causes of corruption and

anti-corruption strategies. According to the researcher, this is possible by improving access to reliable mechanisms of social control by civil society institutions, which will significantly strengthen the anti-corruption approach, aimed at the collection of empirical data.

The scholar Lorch (2017a; 2017b) emphasizes in her works that the concept of civil society should be systematically contextualized. The theorist Howell (2019) analyses temporal cases of complex policies, developed through the pluralisation of public discourse in transition countries, the development of a mechanism of social control through the involvement of civil society institutions.

Particularly noteworthy among the latest works is the work of Brechenmacher et al. (2020), which identifies the challenges of the activities of civil society organizations in times of economic crisis. Despite the sufficient coverage of the topic of social control of civil society institutions in various aspects by modern theorists, the scholars have not yet developed common position on the clear distinction between the definitions of “civil control” and “social control”. It is necessary to give integrated assessment of the opportunities and development of capabilities for social control in modern conditions. In view of the aforesaid, we will try to reveal the indicated inconsistencies in this work.

2. Methods

The research procedure comprised the preparatory phase and the field survey phase. The preparatory phase included content analysis of scientific literature on the topic, analysis of analytical reports of international organizations, international projects, content of sites and information portals of the public authorities and civil society institutions. The field survey phase involved carrying out qualitative sociological studies.

The article uses qualitative methodology with the combination of two methods: in-depth interviews and focused in-depth interviews. Combination of the two methods of qualitative research allowed to obtain the widest range of opinions and to create group dynamics in order to update and problematize the issues, related to social control in Ukraine, by different target groups.

Transcripts of 15 in-depth interviews and 5 focus groups were obtained based on the results of the field survey phase.

The in-depth interview method involves individual meetings with the representatives of certain target groups in order to study their views on social control in Ukraine and their attitude to it. Such an interview is conducted using open-ended questions and may not be clearly structured. It allows you to identify the subconscious attitude of the target audience to the problematic issues, namely: thoughts, motives, feelings, ideas, views of the respondents.

The procedure for the organization and conduct of an in-depth interview included the following stages: drawing up an in-depth interview plan for each of the identified target groups; the process of planning and preparing for an interview; organizing and conducting an interview; processing and analysis of the obtained results; report preparation.

In-depth interviews were aimed at identifying the peculiarities of perception of functions and means by various groups of the public concerned (the representatives of civic organizations, local government officials, local youth, local executive authorities, local media, active citizens, social workers (teachers, doctors)).

The planning and preparation phase for the interview involved establishing contacts with active public organisations in the regions of Ukraine. After that, the “snow-ball method” was used to search for respondents. The main criteria, which were used for selecting respondents for in-depth interviews, included: 1) belonging to one of the target groups; 2) accessibility and motivation to participate (based on the results of a preliminary interview), the ability to provide qualitative, detailed and reliable information on the process of social control; 3) adherence to gender balance in the selection of participants (Brick, 2018).

In the implementation phase, there were used various questions from the guide-book, including open-ended questions, game elements and techniques which helped to reduce emotional tension and to establish friendly and partnership relations with the respondents, the techniques that stimulated the story-telling or, vice-versa, helped to “cut off” spin-off topics, irrelevant to the study.

Three people were trained and participated in interviews. A total of 15 in-depth interviews were conducted with the representatives of 7 target groups.

The peculiarities of organizing and conducting focus group interviews as a method of obtaining quality information are as follows.

A focus group interview is a square talk of a group of strangers or a group of people who hardly know each other, in a comfortable setting. The method allows to obtain the most complete picture of public opinion from a certain audience, revealing the obvious and hidden motives of behavior, factors shaping judgments and attitudes.

Key selection criteria for each focus group are as follows:

1. Preliminary interview with each participant in order to determine the socio-economic characteristics so as to balance gender, age and status;
2. The participants of adult groups should not be the representatives of one working group;
3. Students and schoolchildren (students of vocational (professional and technical) education institutions, college students, school students) may be the representatives of one school, but there should be no more than 3 people from the same class.

Recruitment of participants is targeted selection of respondents in different regions of Ukraine regarding their geographical location and other defined criteria. A total of 5 focus group interviews were conducted with the representatives of civic organizations, local government officials, local media, active citizens, social workers (teachers, doctors).

It is important to emphasize that all working meetings, without any exceptions, took place online in view of the pandemic.

The study has also used the method of secondary research of the results of sociological studies. Sociological polls, which can be defined as mass sociological surveys, were conducted by the sampling method. The sampling, built on the principle of stratification, was representative of the whole of Ukraine, as the stratum were the respondents from all regions of Ukraine. The confidence figure (accuracy) in the study was 95%, the measure of inaccuracy can count to 2-3%.

The methodology for the analysis of social control, used in the study, is aimed at reflecting different positions of all the participants and all the parties concerned. The relativistic approach, that connects civil society with the context of its actions and activities, has proved to be a fruitful approach to the analysis of social control.

The method of secondary research of the results of sociological studies was used to justify the degree of legitimacy of social control over civil society institutions. The study analysed mass sociological surveys with the representative sample by gender, age, and

territorial characteristics. The total respondent population in such studies was over 2,000 people, with the measure of inaccuracy no more than 2.5%. The study also used such type of comparative methods as the binary method in the analysis of a number of quantitative characteristics of civil society in different countries.

3. Results

According to the results of focus group surveys, 80% of representatives of public organisations are almost or fully prepared to exercise social control over the activities of public authorities. But the problem is that 50% of them lack certain resources: time, finances and most importantly – professional human resources with the developed constructive competence to negotiate with the State.

Only 60% of the representatives of local authorities are ready to accept public organisations as fully-fledged partners in the process of exercising their functions of social control.

According to the results of the interviews, only 20% of the representatives of local executive authorities are ready to accept public organisations as fully-fledged partners performing social control over the activities of public authorities. Moreover, according to public officials, public organisations are not ready to hold the sufficiently professional discussion on public sector reform.

The interviewed youth representatives showed more passive than active position on the issue of systematic participation in social control over the activities of local authorities, but more active than passive position regarding the issue of social control over the activities of central government bodies.

The representatives of the social sphere were ready to participate in the implementation of social control over the activities of public authorities by 40% only, justifying it by potentially low effectiveness of such participation.

In general, the case of modern Ukraine, in the context of various social and professional groups, gives grounds for asserting positive dynamic in the development of civil society over the years of independence (see Figure 1 and Figure 2).

But the number of registered public organizations in Ukraine does not automatically imply high level of quality of social control over their political processes (see Table 1).



Figure 1. The growth dynamics of the number of public organisations in Ukraine (based on the materials of the State Statistics Committee of Ukraine (n./d.))

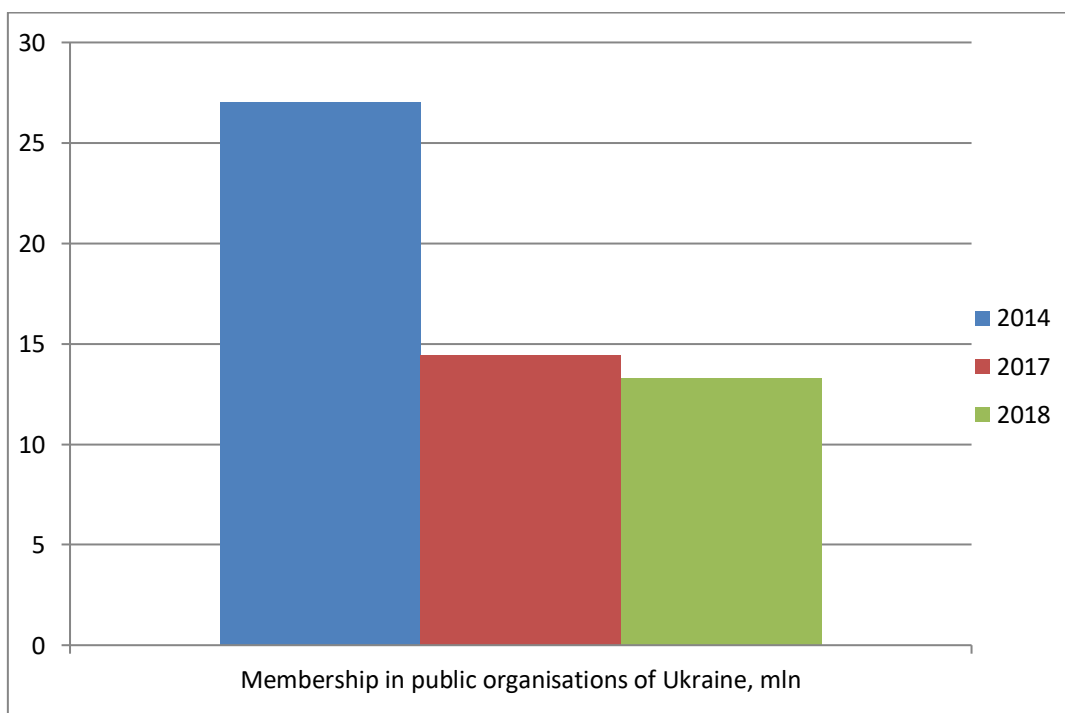


Figure 2. Dynamics of membership in public organisations in Ukraine (based on the materials of the State Statistics Committee of Ukraine (n./d.))

Table 1. The level of citizens' confidence in civil society institutions and other public organisations of Ukraine

Institutions	Citizens' confidence, % of people polled, 2015	Citizens' confidence, % of people polled, 2020
Church	58,8	63
Volunteers	57,6	63
Armed Forces of Ukraine	45,3	65
Non-governmental organisations	<u>34,5</u>	<u>47</u>
Ukrainian mass media	32,3	50
The President of Ukraine	16,8	44,4
National Police	14,9	33
The Government of Ukraine	8,7	21,1
The Verkhovna Rada of Ukraine	6,2	18,6

Source: The author's development based on empirical evidence Razumkov centre (n./d.)

As you can see, the level of confidence in public organizations in Ukraine has grown. But this is unlikely to be the result of increase in the quality of social control by public organisations, as stabilizing force in the social development in Ukraine in 2020, compared to the open armed phase of the conflict and armed aggression in Ukraine in 2015. Moreover, the predominance of the level of confidence in volunteers over the level of confidence in public organisations indicates some problems in the functioning of public organisations (the so-called “dark sides”), which may relate to unwillingness to collaborate with other public organisations, difficulties in bureaucratic procedures regarding formalisation of their activities and etc.

A democratic social welfare state shall provide for reciprocal responsibility of the State, society, business and citizens. However, day-to-day realities of this responsibility in

the case of the transit country of Ukraine are different. The case of Ukraine illustrates the realities of “a person is for the State” situation rather than “the State is for a person” one. Table 2 shows that the authorities in Ukraine have low level of legitimacy. For example, the level of confidence in the only legislative body in Ukraine – the Parliament – is only 18.6%, which is even below the classic “threshold of legitimacy” – 20%, after which the crisis of legitimacy occurs.

Table 2. The results of sociological polls, conducted in order to determine the organisations that Ukrainian citizens trust the most in protecting their rights.

	Answer options	Affirmative answers of the citizens, in %
Where would you turn in cases of violation of your rights (survey of the citizens of Ukraine, 2017)	to mass media	28
	to European Court of Human Rights	19
	to the police	10
	to the court	16
	to local authorities	8

Source: Human Rights (2017)

54% of Ukrainians have never tried to protect their rights (Human Rights, 2017). The crisis of confidence in the authorities is evidenced by the fact that in 2017 the Ukrainians did not call the judiciary or public order bodies the leaders in the effectiveness of human rights protection in Ukraine.

Appreciation of media in defending the rights of citizens shows high potential that media demonstrate as a civil society institution in performing the functions of social control. However, 65% of those, who tried to protect their rights in Ukraine, failed, which proves that there are no effective ways to protect human rights in Ukraine. Besides, there is a significant demand for increasing the quality of social control over the actions of the authorities and improving the human rights situation in Ukraine.

Let's compare the state of development of civil society in Ukraine and in Poland, which is close to Ukraine in terms of population (see Table 3). For comparison, we have chosen 2013, which was more or less similar in the dynamics of socio-political processes in the two countries, namely we have considered the period before the start of civil protests in Ukraine called the “Revolution of Dignity” (which began in late November 2013).

Table 3. Quantitative characteristics of civil society in Ukraine and Poland as of the second half of 2013 (the author's development)

	Ukraine	Poland
The number of public organisations (approximately)	35000	35000
Members of public organisations	8.1% of the population	20% of the population
Contributions from foreign grant sponsors in the system of financing the activities;	50%	20%
Funding from self-government organisations	There is little funding, associated with corruption risks	<i>50-60% of organisations received budget support from local governments. Since 2004, 1% of the tax paid by the citizens during the preparation of the annual tax report can be transferred to public organisations.</i>
<i>Social, cultural, economic interests of the citizens in relations with the State are represented by</i>	No more than 20% of public organisations	More than 75% of public organisations
The number of registered parties	201	75

Based on the figures of membership in public organisations in Ukraine and Poland, it becomes clear that the public sector in Ukraine is more fragmented. At the same time, in

Poland almost all public organisations are large, credible, and effective in exercising social control. Therefore, it is not surprising that more than 80-85% of the Poles trust them.

In Ukraine, for example, in the research year (2013):

- only 35.1% of public organisations submitted reports;
- only 8% of public organisations have national and international status;
- about 20% of public organisations are not located at the legal address;
- violations of the Statute and of the legislation of Ukraine have been found in the activities of 20% of public organisations;
- “less practical measures”, such as holding various conferences and round-table discussions, predominate (more than 50%) in the activities of public organisations.

All this indicates the weakness of the institutional capacity of public organisations in Ukraine to exercise social control of appropriate quality over political processes. One of the reasons for low institutional capacity is scattered efforts of public organisations and fragmentation of civil society, small number of powerful and authoritative public organisations, reluctance of smaller public organisations to unite in order to synergistically strengthen each other's social control over political processes (Ivchenko, 2017).

Another important task for exercising social control in terms of the pandemics is consolidation of efforts and assistance to community groups in order to unite effectively for an equitable dialog with the authorities. Civil society institutions, in search of additional sources of funding, could act as implementing partners in the areas, where there is limited presence of the State or low public confidence in the authorities.

4. Discussion

The study has defined, based on empirical evidence, insufficient level of involvement of civil society institutions in Ukraine in implementation of social control, despite certain institutional, ideological and staff capacities. It can be said that the public sector of Ukraine remains quite fragmented and unconsolidated. Despite the large number of public organizations, the dynamics of membership in these organizations is low. This interferes with the increasing role of public participation in the conduct of public affairs. It should be emphasized that public participation is not of systematic and constructive nature, but it is crisis-related and remonstrative (Ryabov, 2004).

The support of social partnership in Europe is currently an ongoing process of timely administrative reforms and modernization of political process. There are three sets of policies that influence this policy process: inter-institutional policy; public sector policy/non-governmental sector policy and internal policy/external policy. Moreover, especially important and crucial are the processes of gradual institutional changes, adopted by the key political actors in order to achieve the goals of building consolidated democracy. Therefore, the strengthening of state unity contributed meaningfully to the development of immature civil society, and vice versa (Green, 2017; Greer, 2017).

Researchers Brechenmacher et al. (2020) emphasize that new forms of civic mobilization and solidarity are likely to suffer significantly from the pandemic economic crisis. Civil society organisations (especially recently established ones) may lose important sources of funding – funds, while independent media organisations will experience a steep decline in advertising revenues. This tendency may accelerate the growth of informal activities in the public sector in comparison with formal activism. As a result, smaller public organisations will collaborate and unite. At the same time, public and private actors, willing to support civil society, hurry to adapt to the new global context. They need to become more flexible in providing assistance to civil society actors, linking them to larger support packages. This is important in a pandemic, as well as strengthening of political positions on the value of civil society in general. Modern researchers advise civil society institutions, in volatile environments of public sector development, to try to form unexpected coalitions and to experiment with new initiatives, to continue to support local public organisations until the recovery stage (Brechenmacher et al., 2020).

In a pandemic, the important role of social control of civil society institutions is to monitor new support packages and new support for the journalists and anti-corruption organisations, which protect the proper quality of public service in the context of procurements and implementation of management processes in the time of COVID-19. It is important that the emergency situation and unpredictability of social processes during the COVID-19 period would not lead to the strengthening of State control, to which frightened and disoriented public can tend. Democratic participation and social control are even more important in terms of the pandemics, as public space must be fully operational and develop in any case. Bureaucratic differences in the activities of certain organisations should not

prevent bringing together in order to respond to threats. And in many countries, one can find examples of local community groups succeeding in something governments fail to do, using their resources for the common good (Brechenmacher et al., 2020). The pandemic period, naturally, suggests support in the fight against the coronavirus, but at such times the public sector should support confronting the policy of excessiveness and punitive restrictions on civil liberties. It is also time to strengthen rather than reduce international commitments to build public space and inculcate democratic values in general.

Non-parliamentary parties are of civil society institutions as well. Due to its strong organizational orientation to participate in political life, a party is an effective expression of the needs and goals of certain social groups, moreover, it contributes its driving force to the governance and determines the direction of activities of public authorities. In a democracy, political parties do not just represent the interests of different groups, they will formalize and justify them ideologically – in the form of systematized program requirements for the authorities and the State policy. Parties go beyond mere representation of various social interests, but organize and represent them in the political process as well, participating in the development and conduct of public policy. As electoral tools, the parties contribute to the involvement of citizens in politics, namely in the organization and structuring of the political process in democratic systems. By interaction with each other and with public and local authorities, political parties can reconcile different, usually competing social interests, thus removing social and class differences and overcoming social tensions without aggression and violence, through compromise (Galston, 2004).

Since most modern parties strive to be parties for everyone, not just for one social group, they offer society the values that can unite the majority of citizens. The party, performing its electoral function, inevitably influences public opinion, trying to convince the voters of the optimality of its own party platform (VanDyck, 2017).

Thus, parties are organized political forces that unite the citizens with common political views with the purpose of mobilization of public opinion concerning a certain number of goals and in order to fight for meeting these requirements at the level of the authorities. The quality of democracy depends on whether the parties have managed to become the real centres of accumulation of society's potential, whether they have different semantic identity, or whether they have a sense of political responsibility (Semenets-Orlova

& Kyselova, 2018; Primoratz, 2017). Multi-party system, based on the appropriate legislative frameworks, is one of the factors and guarantors of respect for human rights and freedoms, the progress of a stable political system, reforming economic and social relations, raising the welfare, spirituality and culture of the Ukrainian people. Characteristic features of Ukrainian political parties are: the team work of most parties; lack of the developed social base and even of ideas about it; the informal formation of electoral blocs; sudden change of attitude of parties towards certain political leaders; clear association of parties and their leaders with financial and economic structures; the failure of attempts to form a powerful bloc of centrist political parties. Orientation of a significant part of the parties towards the middle class does not take into account the current structures of society and is designed for the future (Taleb, 2018). Some parties have declared themselves to represent the interests of the classes that are yet to be formed, and such an orientation is forward-looking.

Civic education (Starkey, 2002) and high level of developed culture of citizenship are of great importance for ensuring the activity of citizens in the development of public policy and implementation of social control. According to the Council of Europe, democratic citizenship includes social cohesion, justice, solidarity, participation in democratic life and culture and values, that relate to the exercise of the person's rights and responsibilities in society. In terms of education, knowledge of democratic practices, skills and commitment to values, that will enable the citizens to effectively influence policy at the local, regional and national levels, are important for democratic citizenship (Cambridge Dictionary, 2021).

Conclusion

The institution of social control plays an important role in the development of a new quality of public policy and the development of consolidated democracy. Social control aims to regulate the relationship between the individual and society in order to strengthen the rule of law and stability, as well as to prevent and correct deviant behavior (Etzioni, 1968). A modern State seeks to change the nature of governance. To this end, the State transfers the functions of control of public institutions to informal institutions, which contributes to the development of civil society and increase of its self-governing capabilities. On the part of society, the role of intellectuality in the management system is increasing steadily. The relationship between the State and the citizen relies on the type of contractual relations,

based on motivational and social, rather than on political and command-and-control management techniques. The Constitution of Ukraine proclaimed the priority of civil rights and freedoms. However, in reality, civil society in Ukraine is at the stage of development and has to overcome fragmentation. Our conclusions were confirmed by a number of empirical data and comparative generalizations. The public sector of Ukraine currently needs significant support in the conditions of pandemic, consolidation and mutual strengthening of public organizations.

Education plays a major role in shaping societal attitudes. In a democratic society, where so much depends on the personal perception of each citizen, the role of education cannot be overemphasized. Citizens' acquisition of the skills of civic initiative requires civic education (Starkey, 2002). The civil society institutions are meant to balance the State power with the public interest, and economically and politically free citizens, within the framework of public associations, are able to ensure effective control in the sphere of public administration. Therefore, social control is viewed through the prism of socially useful activities of civil society.

In modern conditions, the content of social control should reflect new nature of the relationship between the State and the citizen. This means that each individual, each actor, undertaking certain commitments, in turn has the right to require others to follow these commitments for their own purposes through the actual State and public monitoring.

Thus, social control is seen as a way by which civil society institutions improve the quality of life of ordinary citizens, and the State is given the opportunity to take into account the interests of society in the processes of building a State and the creation of socio-economic base.

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The concept of constitutional pluralism as the fundamental basis for the development of the European Union legal order

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ABSTRACT

The objective of this article is to analyze the concept of constitutional pluralism as a methodological basis for the construction of the legal system of the European Union. In particular, attention is paid to investigating the particularities of the interaction and operation of the different constitutional legal systems within the legal sphere of the European Union, studying the constitutional collisions derived from the interaction of European Union law and the law national of the Member States. Dialectical, comparative legal, historical, systemic-structural and formal dogmatic methods were used in the research. The article concluded that the national constitutional courts of the Member States of the European Union can give priority to their constitutional rules only if those rules are clear and reflect substantial constitutional obligations. However, in any case, in order to maintain the coherence of the legislation of the European Union and the national legislation of the Member States, it is necessary to amend the national Constitutions of the Member States of the European Union.

KEYWORDS: European Union; law; pluralism; doctrines; courts.

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El concepto de pluralismo constitucional como base fundamental para el desarrollo del orden jurídico de la Unión Europea

RESUMEN

El objetivo de este artículo es analizar el concepto de pluralismo constitucional como base metodológica para la construcción del ordenamiento jurídico de la Unión Europea. En particular, se presta atención a la investigación de las particularidades de la interacción y el funcionamiento de los diferentes ordenamientos jurídicos constitucionales dentro del ámbito jurídico de la Unión Europea, estudiando las colisiones constitucionales derivadas de la interacción del derecho de la Unión Europea y el derecho nacional de los Estados miembros. En la investigación se utilizaron métodos dialécticos, jurídicos comparados, históricos, sistémicos-estructurales y dogmáticos formales. En el artículo se llegó a la conclusión de que los tribunales constitucionales nacionales de los Estados miembros de la Unión Europea pueden dar prioridad a sus normas constitucionales sólo si dichas normas son claras y reflejan obligaciones constitucionales sustanciales. Sin embargo, en cualquier caso, para mantener la coherencia de la legislación de la Unión Europea y la legislación nacional de los Estados miembros, es necesario modificar las Constituciones nacionales de los Estados miembros de la Unión Europea.

PALABRAS CLAVE: Unión Europea; derecho; pluralismo; doctrinas; tribunales.

Introduction

The active development of integration processes taking place within the European Union (hereinafter - the EU) leads to further convergence and closer interaction of national legal systems of member states, which expands the range of legal relations governed by the EU law. At the present stage of development of legal science, legal doctrines are becoming increasingly important, thanks to which it is possible to effectively solve various problems, which sometimes cannot be answered within the traditional approaches and concepts of international and national law (Gogin et al, 2021). These processes are inherent in the law of the EU, which primarily due to its specific nature, in fact, challenged traditional approaches to understanding the idea of law, its legal nature and content. The concept of constitutional pluralism is new means by which the specifics of interaction and functioning of various constitutional legal systems within the EU at the supranational level and the national level are studied, as

well as various conflicts arising from this interaction are eliminated. A key element is the constitutional courts of the EU member states, which must always ensure a balance within the EU's pluralistic legal order. Thanks to this concept, the directions of further development of both the law of the EU and the national law of the EU member states are delineated.

This article is devoted to analyzing of the concept of constitutional pluralism as a fundamental basis for the development of the EU legal order. Despite the importance of the study of constitutional pluralism in the EU law, the existing scientific research is limited only to some aspects of the subject of this paper.

In this article were solved the following tasks:

- to define the doctrinal approaches to the content of the concept of constitutional pluralism of the EU law;
- to formulate the main internal sources of the concept of pluralism in the EU law;
- to find out the specific features of the concept of pluralism through the prism of the relationship between the EU law and the national law of the Member States;
- to characterize the influence of the Federal Constitutional Court of Germany on the development of the concept of constitutional pluralism in the EU law;

The study was conducted through the critical analysis of the EU legal doctrine, the EU legislation, and the EU member states' legislation. Particular attention is paid to the practice of the Federal Constitutional Court of Germany.

The subjects of the research were norms of the EU law as well as the EU member states' legislation and practice of national courts. The subject study is the concept of constitutional pluralism.

1. Literature review

The concept of constitutional pluralism is reflected in the works of scholars such as N. MacCormick, G. Shaffer, R. Kwiecien, Jessica C. Lawrence, M. Wilkinson, N. Walker, J. Weiler, K. Ziegler, M. Maduro, M. Krisch, M. Kumm etc. For example, Jessica C. Lawrence - considers the concept of constitutional pluralism as a kind of discussion technique that solves the relationship between the legal orders (Lawrence, 2019). N. MacCormick considered this concept through the prism of the existence in the legal system

of the EU law autonomous constitutional legal orders within each of them there is a legal field that interacts with each other (MacCormick, 1999). It seems interesting to approach M. Wilkinson, who understands this theory as one that characterizes the development of post-sovereign European state, and the author emphasizes that in the EU there is a multilevel constitutional structure formed by voluntary limited sovereignty by members of the EU (Wilkinson, 2019). N. Krisch considers this concept through the prism of the activity of national (constitutional) courts of the member states on the interpretation and application of the EU law because depending on effectively determining which rules to apply in settlement of disputes and how to establish interaction between different levels of government (supranational and national) will express constitutional pluralism (Krisch, 2013). Also interesting is the point of view of M. Avbelj who sees the observance of EU values as the goal of constitutional pluralism, and when an EU member state in the person of its constitutional courts makes decisions that are contrary to the basic values of the EU law, then these actions are by no means should be equated with constitutional pluralism (Avbelj, 2016).

2. Methodology

In the article were used dialectical, comparative legal, historical, system-structural and formal dogmatic methods.

The dialectical method gave the opportunity to consider the concept of constitutional pluralism in relation to other legal concepts. The comparative legal method was used to compare the understanding of the concept of constitutional pluralism in different decisions of the Federal Constitutional Court of Germany. The historical method is used to analyze the genesis of the concept of constitutional pluralism. The system-structural method made it possible to consider constitutional pluralism as the complex concept in the law of the European Union. The formal-dogmatic method was used to interpret the provisions contained in the decisions of the Federal Constitutional Court of Germany.

3. Doctrinal approaches to the content of the concept of constitutional pluralism of the EU law

Examining the content of legal pluralism in general, we can find the view that this concept should be considered through the prism of the possibility of coexistence of different potentially conflicting legal norms within one legal system. Moreover, these norms will not be mutually exclusive and will, if necessary, be selectively applied due to the legal mechanisms of the legal system. It is due to legal pluralism that the existing conflict between legal norms can be overcome, which is expressed and enshrined in legal acts of different legal forces (Jansen, 2012). At the same time, until recently, when the scope of international law was expanded by multilateral international treaties, legal pluralism was viewed solely through the prism of a clear division of monistic national legal orders and general, but limited in regulatory plan international law, which usually did not intersect. Thus, in this case, the emphasis is on integrative processes, as fundamental accumulating factors due to which legal pluralism is actively developing and changing. This concept essentially brings together different areas of law within the legal system. In this context, the point of view is actual that “constitutionalism and pluralism are distinguished ... by the different extent to which [each] formally link[s] the various spheres of law and politics. While pluralism regards them as separate in their foundations, global constitutionalism, properly understood, is a monist conception that integrates those spheres into one” (Shaffer, 2012).

One of the founders of the concept of constitutional pluralism is N. MacCormick who, studying the functioning of the EU legal system, came to the conclusion that this theory should be understood as “idea that two autonomous legal and political systems can interact at a high degree of intensity, making simultaneous claims to ultimate authority, without one being subordinated to the other. But conflicts between two systems interacting in this way should be resolved according to prudential judicial politics, or principles, shared by, or external to, both systems” (MacCormick, 1999). Examining this question, the scholar admits the possibility of the existence within one EU legal system of multiple legal orders, each of which together with its current constitution is legitimate and operates within its own sphere and whose main purpose is to prevent the constitutional supremacy of one legal order over others.

The concept of constitutional pluralism has acquired specific features in EU law and has become not only a tool for resolving “conflict” situations in EU law, but also an effective

means of understanding the unique legal nature of EU law as a whole. For example, R. Kwiecien concludes that from the standpoint of material sources of law, the legal order of the EU and the national (constitutional) legal orders of the Member States are complementary sets of legal norms and values, which are expressed and embodied in them. Therefore, such a relationship can be called "constitutional pluralism", "European legal pluralism", "multi-center legal system" or "European unwritten social contract", which will result in the coordination of legal systems (Kwiecien, 2005). Thus, given to consideration the growing convergence of the legal systems of the EU Member States, the relationship between EU supranational law and the national constitutional law of the Member States is often defined by various concepts, but in general the term pluralism best reflects this interaction.

In this context, we share the point of view of Jessica C. Lawrence according to which,

“constitutional pluralism marks certain conflicts as legitimate despite their lack of a single source of ‘legality’. It does this by shifting the legitimating function to some other norm—whether cosmopolitan values, fundamental rights, shared conflict resolution principles, an alternative constitutional order, or something else” (Lawrence, 2019).

Considering this concept, it should be noted that among scientists there are different approaches to its understanding and scope. Thus M. Wilkinson understands it as a theory that is applied and characterizes development of the post-sovereign European state and state-system. He emphasizes that the key role in this theory is played by two aspects: “first, the concept of sovereignty—understood as ultimate political authority—is folded into constitutional authority, into the constitution itself, and thereby into its authoritative interpreters, particularly, if not exclusively, constitutional courts”; “second, constitutional authority is then presented as quasi-federal or compound in nature, a feature of a multi-layered constitutional system comprising the domestic constitution and a European constitution (and their respective authoritative interpreters)” (Wilkinson, 2019). According to the scientist, there is a multilevel constitutional structure in the EU, which was formed due to the voluntary limited sovereignty of the EU member states, and which is actively functioning and changing.

Other scholars use the term "multilevel constitutionalism" to mean the coexistence of different constitutional bodies within a broader system of government, none of which ultimately has supremacy, as well as a strict regime of competence that preserves the autonomy of the respective spheres. In other words, the legal and constitutional systems of the EU are parallel, in the sense that they coexist in a more or less horizontal or "hierarchical" relationship (Walker, 2002). At the same time, they are intertwined, but each of them has its own independent legal and constitutional zone outside the sphere of overlap.

At the same time, it should be noted that the Lisbon Treaty is also not a form of "supreme law", which is endowed with higher legal force in relation to national constitutions, they rather coexist in parallel planes. However, in this context, the position of a number of authors is interesting, who believe that the amount of freedom of action of the EU due to the Lisbon Treaty has increased so much that in some policy areas the European Union has a form typical of federal states. Whereas internal decision-making and the appointment of procedures correspond to the structure of an international organization (Kellenberger, 2003; Weiler, 2001). EU law already has supreme legal force because it has supremacy over any contradictory rules of national law, but this form of supremacy is only pragmatic.

J. Weiler shares this position and views the EU legal order through the prism of European integration, which already exists as a constitutional unity and does not need a new constitution, which would be enshrined in the traditional constitutional way, because it (integration) meets this purpose (Weiler, 1996). This constitutional unity of the EU is based on the key principles established by the European Court of Justice for the relationship between EU law and national law (direct action and the rule of law). In this case, K. Ziegler notes that constitutionalism in the dimension between the EU and its member states is characterized primarily by supranational rule-making of the Court of Justice through the prism of its mandatory jurisdiction and respect for rights and freedoms both in the international court and through direct action its decisions in the national courts of the Member States (Ziegler, 2013). Thus, EU constitutionalism is the normative legitimacy of the EU legal order, which ensures its legitimacy and is the driving force in its development (Avbelj, 2008).

Quite interesting is the position of M. Maduro, who states that:

“We can identify four main sources of internal pluralism. First, there is a plurality of constitutional sources (both European and national) which have fed the EU constitutional framework and its general principles of law, particularly as developed in the jurisprudence of the Court of Justice. Second, the acceptance of the supremacy of EU rules over national constitutional rules has not been unconditional, if not even, at times, resisted by national constitutional courts. This confers to EU law a kind of contested or negotiated normative authority. Third, there is an emergence of new forms of power that challenges the traditional private/public distinction and the different mechanisms of accountability associated to them. Such pluralism in the forms of power challenges, in turn, the traditional legal categories upon which EU rules have been framed. Fourth, the European Union is also dominated by a form of political pluralism that can assume a rather radical form since the conflicting political claims are often supported by corresponding claims of polity authority” (Maduro, 2007).

In general, the author takes the view that the main purpose of constitutional pluralism is to guarantee the integrity and coherence of the EU legal order. At the same time, he identifies certain mandatory requirements set by constitutional pluralism to achieve the above goal.

“The first, requirement of EU constitutional pluralism is that ‘any legal order (national or European) must respect the identity of the other legal orders’, in particular via the ‘recognition and adjustment of each legal order to the plurality of equally legitimate claims of authority made by the other legal orders’. The second requirement is that discourse among constitutional actors must ‘take place in such a way as to promote the broadest participation possible’. Third, the various actors in the European system must ‘share the same commitment to a coherent legal order’, adjusting their claims to authority in order to ensure consistency and vertical and horizontal coherence. Fourth, national courts ought to justify their decisions on ‘universalisable’ grounds that ‘could be applied by any other national court in similar situations’. Fifth and finally, the principle of ‘institutional choice’ requires that constitutional pluralism reject a singular focus on courts and judgments, and instead recognize the actions of a broader range of constitutional actors. So long as these requirements are fulfilled, it will remain ‘possible to have a coherent legal order in a context of competing determinations of the law’ – conflicts over the ultimate locus of jurisdictional authority need not be resolved” (Maduro, 2003).

It should also be noted that the concept of constitutional pluralism in the EU was formed primarily in response to a number of cases in which the national constitutional courts of EU member states sought to determine whether EU law is compatible with a

country's national constitutional order. At the same time, there have often been attempts to make decisions that would call into question the automatic rule of EU law, thereby challenging its primacy. Thus, the constitutional courts of the EU Member States have questioned the rule of European Union law over national constitutional norms, on the grounds that they are the guarantee of national human rights standards and democratic principles. In this activity, how effectively they will determine which norms (EU law or national constitutional provisions) to apply in resolving a dispute and how to establish the interaction of different levels of government (supranational and national) and will express constitutional pluralism. In this case, we share the view that,

“we will find properly “constitutional” pluralism when rights are at issue and when rights-protecting courts (especially European ones) are the main actors. This does indeed fit most cases typically seen as expressions of pluralism in action, and it is plausible even if one does not think that pluralism is all about rights. Court action is often triggered by rights claims, and unlike most other political actors, courts need to give a principled account of what they do, so they need to clarify the relation of different levels of authority. It is through this clarification—and the conflicting accounts of different courts—that we can best gauge the presence of a pluralist order” (Krisch, 2013).

Quite interesting is the point of view of M. Kumm, who proves the importance of pluralism, exploring the features and specifics of the relationship between the EU and national law of the Member States (Kumm, 1999). In particular, examining the development of pluralism in the EU legal order, the author identifies two possible trends in its development. The first is that constitutional courts will be able to repeal EU law on the basis of their specific constitutional norms and principles. According to another trend, Member States will very rarely be able to disregard EU law and do so only for positive reasons. The author is of the opinion that the second scenario is more plausible and constructive, and it is thanks to it that the effective interaction of EU law and national law of the Member States will take place over a long period of time. In this case, national courts will act as a driving, constructive force that will operate within the EU legal order and whose main goal will be to increase the level of democracy in the decision-making process at the level of the European Union.

It is national courts that will give the Court of Justice of EU an incentive to pay more attention to issues of legislative jurisdiction and to be more careful in analyzing its

fundamental rights (Kumm, 2005). It should be noted, however, that national constitutional courts are likely to give priority to their constitutional provisions only if such provisions are clear and genuinely specific and reflect their essential constitutional obligations. However, in any case, in order to maintain the coherence of EU law and the national law of the Member States, it is necessary to amend the national constitutions or to ensure the withdrawal of such Member States from the EU if they refuse to do so.

However, it should be noted that the key role in this case will be played by how the basic postulates of this theory are implemented in practice, in the context of the decision of the national constitutional courts of the Member States in the spirit of constitutional pluralism. Because they may often be tempted to make a decision that would contradict not only the basic principles of this theory but also EU law as a whole. Therefore, it is worth supporting the view that “pluralist insistence on the respect for national constitutional autonomy, for the national pluralist-self, cannot be misused or even abused to legitimate national measures corrosive of the EU fundamental values under the guise of pluralism” (Avbelj, 2016). In other words, when an EU Member State, represented by its constitutional courts, makes decisions that are contrary to the fundamental values of the EU law, then these actions should in no way be equated with constitutional pluralism. In this context, we fully share the point of view of Jessica C. Lawrence who examining the normative content of constitutional pluralism in the EU concludes that

“its normative content is far more determinate than it appears: it is not only a commitment to an ‘ever closer union’ or ‘democratic values’ or ‘respect for diversity’ or any other abstract concept that makes behavior an acceptable instance of constitutional pluralism – it is also necessary to be a ‘normal’, ‘well-ordered’ (Western) European state that acts within acceptable bounds. These values may be historically, geographically, and politically contingent, may shift over time, and may not be applied with equal fervor to all actors in the system, but they are most certainly present” (Lawrence, 2019).

4. The influence of the Federal Constitutional Court of Germany on the development of the concept of constitutional pluralism in EU law

Among the decisions of the Constitutional Courts of the EU member states, the most important for analysis are the decisions of the Federal Constitutional Court (FCC)

of Germany, which in some cases were ambiguous and sometimes not fully fit into the concept of constitutional pluralism. First of all, the FCC tried to retain the power to review EU law regarding its compatibility with fundamental rights and with the division of powers between the European and national levels of government. A clear example of this position was the case of *Solange I*, in which the Court took a principled position on the application of "secondary" EU law in accordance with fundamental human rights in Germany (Diete, 1998). The Federal Constitutional Court of Germany, recognizing the exclusive right of the Court of Justice to decide on the validity and interpretation of EU law, noted that the Court of Justice of the EU cannot rule if existing EU law is incompatible with the national Constitution. The FCC has the exclusive competence to decide that a norm of EU law (if it violates the Constitution) cannot be applied by the courts. And the effect of "secondary" EU law in the Federal Republic is subject to review by the Federal Constitutional Court, in addition to any review of fundamental rights by the Court of Justice of the EU. This practice will be applied "until the integration process reaches the adoption in EU law of the list of fundamental rights adopted by the parliament, which will correspond to the list of fundamental rights contained in the Constitution" (BVerfG decision: *Internationale Handelsgesellschaft v. Einfuhr und Vorratsstelle für Getreide und Futtermittel*, 1974).

Somewhat inconsistent with the first decision was the FCC's decision in *Solange II*, in which the court stated that it would no longer monitor the compatibility of Community law with Germany's fundamental rights, so in particular in this case the FCC emphasized that as long as the European Community, and in particular the Court of Justice, does not ensure effective protection of fundamental human rights under Community acts, which essentially provide for equal protection of fundamental rights in the German Constitution, the Federal Constitutional Court will not exercise jurisdiction and decide on the application of Community by-laws... and will no longer review such legislation in accordance with the fundamental rights standards enshrined in the Constitution, nor can an action be brought before a court for that purpose (BVerfG decision: *Solange II*, 1986). In addition, the Court held that such a decision had been reached on the belief in fundamental rights, in particular those protected by the European Court of Justice. Thus, it seems that the FCC has finally recognized the

protection of fundamental rights at Community level as sufficient, and theoretically remains interested in asserting its claims for due process, thus recognizing the doctrine of the rule of EU law, including over German constitutional norms. This decision meant, on the one hand, the rejection of the position enshrined in the *Solange I* and, on the other hand, reaffirmed the Constitutional Court's requirement that the German Constitution be superior to EU law, thereby strengthening the court's authority to consider the compatibility of the EU law and the German Constitution, especially in cases of serious violations of fundamental human rights (Winkelmann, 1994).

Another important case, which examined the constitutional relationship between EU law and German law, was the *Maastricht* case, which challenged the constitutionality of state ratification of the EU Treaty. After considering the case, the FCC noted that ratification was compatible with the Constitution. However, it was stressed that the FCC would continue to consider the issue of compliance of EU law with the norms of the Constitution of Germany. Also in this case, the FCC raised a number of legal issues related to the binding force and applicability of EU law in Germany. In particular, the court argued that the Member States still remain so-called "owners of agreements" (Herren der Verträge) and that the binding force of EU law depends primarily on German national law. Thus, the EU does not have the power to decide where the limits of EU power end and to determine its own competence. The Court also stated that it would apply its jurisdiction to implement the rules of "secondary" EU law, and thus verify their compliance with fundamental rights regarding "cooperation" with the European Court of Justice (BVerfG decision: In Re Maastricht Treaty, 1993). In other words, the Court noted that the force of EU law in Germany follows from the provisions of the German Constitution, which approved the delegation of powers to international organizations. It was also criticized the extension of the EU's competence through mechanisms such as flexibility, noting that if the competence were expanded, it could cease to be legally binding in Germany. In this case, it can be concluded that the German FCC intended to fully restore its judicial review, which it refused on the basis of the *Solange II* decision, which once again confirms how difficult and important was the issue of recognizing the supremacy of EU law over the Constitution in Germany. Consequently, in the present case, the Constitutional Court again departed from the

provisions of the *Solange II* decision, stating that permanent review of the jurisdiction of the court was imposed due to the lack of a specific mechanism for the protection of fundamental human rights within the Community (Horn, 1995). After this decision, it became clear that the German court and the Court of Justice of the EU took different positions on the understanding of the relationship between European and national legal systems. Their main differences also presented the possibility of legal confrontation, which could give rise to a European constitutional crisis.

In its next case, *the Bananenmarktordnung*, the FCC reaffirmed only its power to review EU law only in certain, defined circumstances, both procedurally and in substance. The Court reaffirmed its right to limited, conditional control over the procedure of a legal issue and a constitutional complaint concerning EU law and found that it could not determine the compatibility of EU provisions and fundamental rights enshrined in the German Constitution. For this reason, any proposal for constitutionality should be rejected as unacceptable if it lacks a justification for lowering the standard of protection of human rights (especially in the case-law of the Court of Justice of the EU) in relation to the required level of protection (BVerfG decision: *Bananenmarktordnung*, 2000). In other words, the FCC does not have general jurisdiction over secondary law in the context of German fundamental rights, because the protection of rights is carried out at the Union level.

Finally, in the case of the *Bundesverfassungsgericht*, the FCC assessed the compliance of the Lisbon Treaty with the provisions of the German Constitution and concluded that it had no grounds for disapproving of the Lisbon Treaty. However, the FCC proposed certain restrictions on Germany's future integration by committing itself to clearly define the basic powers of the state, which cannot (or only under exceptional conditions) be transferred to the European Union and must always be at the national level. In particular, it was noted that there should always be "a guarantee that excludes the transfer of the identity of the constitutional order of Germany, even in the context of restrictions on the revision of the Constitution by the legislature at the supranational level, which in turn guarantees the sovereign status of the state". The Constitution requires that nation-states remain the owners of treaties at all times. In functional terms, the source of power in the EU is the people of Europe with the democratic

constitutions of their states. The supranationality of the EU will develop rapidly in the political aspect, but it will always be limited (BVerfG decision: Bundesverfassungsgericht, 2009).

Analyzing this decision of the FCC, we share the view of A. Steinbach that the decision of the FCC on the Lisbon Treaty provides a clearer form of the category of "important areas of responsibility" that states must retain. The reason for this concretization is the reaction to the constant expansion of the EU's powers and the need to define sufficient space for the political formation of economic, cultural and social living conditions by member states, which should not disappear in the member states due to European unification based on the union sovereign states. This applies to areas that shape the living conditions of citizens, especially private space, their own responsibility and political and social security protected by fundamental rights, as well as political decisions that are particularly dependent on prior understanding of culture, history and language (Steinbach, 2010). The gradual and growing transfer of national powers to EU bodies forced the FCC to outline for the first time in this decision those basic state powers that cannot be transferred to the EU. However, the criteria used by the FCC to single them out cannot claim to be universal in forming a set of inalienable sovereign rights throughout the European Union. For example, due to cultural diversity, multilingualism is not seen in other EU member states as an obstacle to the functioning of their legal order.

Hence, it can be concluded that the German Constitutional Court has for a long time tried to preserve the right to constitutional review of EU legal acts on their constitutionality, which in turn manifested itself in a number of decisions we analyzed above. However, it should be noted that no EU norm was declared optional and not applicable in Germany on the basis of *ultra vires*, during such a constitutional review by the Constitutional Court of Germany. Thus, the FCC never risked creating an open conflict with the European Union and the Court of Justice, which in general fully corresponds to the concept of constitutional pluralism. There is close cooperation between the constitutional courts and the European Court, which is based on the principles of mutual respect and the guarantee of national identity. At the same time, this cooperation, which is expressed in close dialogue and interaction between the

Court of Justice and the national courts of the Member States, essentially contributes to the development of a pluralistic European legal order as a whole (Pollicino, 2010).

In general, constitutional pluralism is a theory that was created to clarify the issue of the hidden confrontation between EU law and the national (constitutional) law of the member states. Following the adoption of the Lisbon Treaty, the EU legal order can be described as constitutional pluralism, in which the legal systems of the EU and the Member States define parallel and overlapping areas. In this context, the position of some authors is noteworthy, who note that the reorganization of the Treaty establishing a Constitution for Europe (TCE) into the Lisbon Treaty is a transition from one way of understanding these relations - constitutional federalism, to another - constitutional pluralism (Avbelj, 2008; Cruz, 2008). Thus, the legal order in the EU after the entry into force of the Lisbon Treaty is very close to the principles of constitutional pluralism. M. Claes notes that most parts of the Constitutional Treaty have been selected and found their place in the Lisbon Treaty. But to say that there are no changes at all is like saying that the pieces of a broken vase, if glued together, will have a preliminary appearance. The difference, however, is not just between the two vases. In addition, the fact that the vase was first broken and then glued together is reminiscent of this event (Claes, 2008).

Conclusions

Thus, the content of constitutional pluralism as a concept of the functioning of the EU legal order, which was formed to resolve the issue of hidden confrontation between EU law and national (constitutional) law of member states is that the phenomenon of multiple constitutional sources that creating the conditions for potential constitutional conflicts between different legal systems need to be decided only in conditions of equality. At the same time, the EU legal order is viewed through the prism of European integration, which already exists as a constitutional unity and does not need a new constitution, which would be enshrined in the traditional constitutional way. This constitutional unity of the EU is based on the principles established by the Court of Justice of the EU for the relationship between EU law and the national law of the Member States (direct action and the rule of EU law).

According to this concept, the national constitutional courts of the EU Member States can give priority to their constitutional norms only if such norms are clear and

reflect substantial constitutional obligations. However, in any case, in order to maintain the coherence of EU law and the national law of the Member States, it is necessary to amend the national constitutions of the EU Member States. And although the Constitutional Courts are competent to exercise *de facto* some control over the rules of EU law, because otherwise the national constitutional norms will be in danger of disappearing and being completely replaced by the rules of EU law. However, they are obliged to interpret domestic law as close as possible to EU law, and in case of conflicts to terminate certain national constitutional norms.

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Nociones sobre la Familia y el Buen Vivir Ecuatoriano

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RESUMEN

La investigación tiene como objetivo establecer algunas nociones sobre la Familia y el Buen Vivir ecuatoriano; se aborda con la estrategia de investigación descriptiva-documental, con un enfoque en el método analítico. La importancia recae en el vínculo entre ambas instituciones, toda vez que al asumir al Buen Vivir como un conjunto de derechos a satisfacer respetando a la naturaleza, la Familia representa la primera estructura de responsabilidades y derechos de las personas y, al cumplir con ellas, igualmente se hace desde la consideración al entorno natural. Además, el Buen Vivir implica colocar como eje central la igualdad, tal como sucede con la Familia. En la conclusión más relevante, se sostiene, que la República del Ecuador le otorga supremacía constitucional a la Familia y al Buen Vivir pues, en conjunto, incorporan derechos, perspectivas y concepciones ancestrales adaptados al presente, con esquemas y contenidos que permiten el desarrollo.

PALABRAS CLAVE: Familia; política y bienestar social; sociedad multiétnica; Constitución; Ecuador.

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Notions about the Family and Ecuadorian Good Living

ABSTRACT

The research aims to establish some notions about the Family and The Ecuadorian Good Living, it is addressed with the descriptive-documentary research strategy, with a focus on the analytical method. The importance lies in the link between both institutions, since by assuming Good Living as a set of rights to be satisfied respecting nature, the Family represents the first structure of responsibilities and rights of people and, in complying with them, it is also done from the consideration of the natural environment. In addition, Good Living implies placing equality as the central axis, as is the case with the Family. In the most relevant conclusion, it is maintained that the Republic of Ecuador grants constitutional supremacy to the Family and Good Living because, together, they incorporate ancestral rights, perspectives and conceptions adapted to the present, with schemes and contents that allow development.

KEY WORDS: Family; social policy and welfare; multiethnic societies; Constitutions; Ecuador.

Introducción

Las normas constitucionales les otorgan a sus contenidos realce, es decir, que cada acepción jurídica dispuesta con rango constitucional debe ser interpretada con jerarquía por encima de otras disposiciones. En el caso de la Constitución de la República del Ecuador (2008) estatuye dos instituciones o figuras de indudable relevancia para el desarrollo del entorno: el *Sumak Kawsay* o Buen Vivir y la Familia, ambos están vinculados a la naturaleza, pues el primero de ellos procura su respeto con una perspectiva biocéntrica; en tanto que el segundo, es el soporte natural de las personas y requiere de los elementos que otorga la naturaleza para la sobrevivencia de cada uno de sus miembros, no con una visión antropocéntrica sino del conjunto de las personas; combinarlos trae consigo un camino que debe llevar al desarrollo.

En este sentido, la Declaración de los Derechos Humanos (1948) ha establecido la institución Familia y, de ahí el ordenamiento jurídico de la República del Ecuador lo ha enfatizado; además, el Buen Vivir se encuentra contemplado en diferentes disposiciones

constitucionales ecuatorianas como reflejo de la importancia de los saberes, culturas y concepciones ancestrales nacidas en los grupos amerindios y que se han trasladado a los espacios urbanos, unificando la necesidad del respeto a la naturaleza como trayecto necesario para alcanzar el Buen Vivir en Familia.

Por ello, la presente investigación intenta establecer algunas nociones sobre la Familia y el Buen Vivir ecuatoriano. El esclarecimiento de las cuestiones esbozadas permite a las instituciones actuantes en lo referente al Derecho de Familia y al Derecho Constitucional, establecer mecanismos de desarrollo desde el núcleo familiar, pero desde la perspectiva ancestral que ordena el *Sumak Kawsay*.

Al tratarse de una investigación de carácter descriptivo-documental se basa en el método analítico. Sus fuentes para la recolección de información son: constitucional, legal, doctrinal y hemerográfico. La constitucional está referida a las normas derivadas de la Constitución de la República del Ecuador de 2008; la legal se presenta con el Código Civil (2005) y, en el ordenamiento jurídico en general; por su parte, la doctrinal se vincula con distintos criterios para desarrollar interpretaciones orientadas a alcanzar un entendimiento armónico del tema en cuestión; y, la hemerográfica se refiere a la revisión de periódicos, revistas, entre otros, con artículos y opiniones de interés al tema planteado.

Así, para lograr el referido objetivo, el presente manuscrito plantea tres aspectos, a saber: 1. Consideraciones conceptuales sobre la Familia y el Buen Vivir; 2. Responsabilidades de la Familia en la Constitución de la República del Ecuador; y, 3. Relaciones entre la Familia y el Buen Vivir como paradigma de vida; luego, se realizan unos comentarios finales a manera de conclusión.

1. Consideraciones conceptuales sobre la Familia y el Buen Vivir

Uno de los rasgos relevantes de la sociedad son los cambios que en ella se originan, principalmente desde la Familia, que se mantiene como el origen común, aunque cada una es diferente. La Familia es considerada la institución jurídica, sociológica, psicológica, biológica, más antigua y que traslada en un vínculo dialéctico entre sus miembros cada aprendizaje y

esfuerzo, convirtiéndose en lazos estrechos que, de manera natural –por la cercanía emocional y/o física entre sus miembros- se mueve dentro de la misma.

La Familia repercute de manera significativa en los comportamientos de sus miembros, desde que se incorporan como miembros de la misma, ejerciendo distintos roles de acuerdo a la dinámica cultural en la que se desenvuelve el grupo completo, es el primer escenario en el que se conocen las necesidades humanas, tanto individuales como colectivas, y, debe estructurarse bajo criterios de respeto, comprensión, solidaridad, libertad, entre otros. Al reunir, la familia, distintas personalidades que interactúan entre sí es menester que se establezcan parámetros de funcionamiento a lo interno de las mismas, así como también de la Familia con el resto de los grupos sociales, ello se lleva a cabo a través de instrumentos jurídicos tanto nacionales como internacionales.

En este sentido, el artículo 16 de la Declaración Universal de Derechos Humanos emanada de la Asamblea General de las Naciones Unidas (1948) establece que la Familia es el elemento natural de la sociedad, indicando lo siguiente:

- “Artículo 16. 1. Los hombres y las mujeres, a partir de la edad núbil, tienen derecho, sin restricción alguna por motivos de raza, nacionalidad o religión, a casarse y fundar una familia, y disfrutarán de iguales derechos en cuanto al matrimonio, durante el matrimonio y en caso de disolución del matrimonio.
2. Sólo mediante libre y pleno consentimiento de los futuros esposos podrá contraerse el matrimonio.
 3. La familia es el elemento natural y fundamental de la sociedad y tiene derecho a la protección de la sociedad y del Estado”.

Aunado a lo anterior, diversas concepciones de Familia han sido elaboradas por la doctrina. En este sentido, desde una perspectiva sociológica, la Familia se define como un grupo caracterizado por una relación sexual suficientemente definida y permanente para promover a la procreación y educación de la prole; también se le conceptúa como a la agrupación relativamente permanente y socialmente autorizada de padres e hijos (Oliva Gómez y Villa Guardiola, 2014). Otra manera de definir a la Familia es desde la esfera jurídica, por virtud de la cual se hace énfasis en las obligaciones y derechos que tienen sus integrantes y que varían en función de la normativa de cada país. Por su parte, el concepto va ligado a la

psicología si se tiene en cuenta la variable afectiva y la convivencia en un espacio específico (Salgar Cubillos, 2017).

Para esta investigación, la Familia ha sido entendida como soporte, base, núcleo, de la sociedad toda. Es el inicio de las relaciones interpersonales con respeto a la manera de pensar de cada miembro, pero los valores y principios en ella aprendidos deben permanecer como paradigma de vida, es decir que las experiencias ancestrales que han pasado de una generación a otra se renuevan para continuar en el presente, “...esto por cuanto una sociedad democrática – caracterizada por el pluralismo, la tolerancia y el espíritu de apertura– supone el reconocimiento de una familia democrática y pluralista, y en consecuencia una reconsideración de la institución familiar desde esta nueva perspectiva” (Esborraz, 2015: 26).

Ahora bien, la renovación o relectura de la Familia deviene del reconocimiento de derechos que plantean, entre varios aspectos, la igualdad entre los miembros de la Familia, ya que se ha pasado de una Familia “tradicional” comprendida por padre, madre e hijos, a una Familia con distinta tipología o pluralidad de formas; de esta manera, en opinión de Esborraz (2015), se plantean los siguientes diversos modelos familiares, a saber:

- Familia matrimonial: que está constituida sobre la base del matrimonio y responde al denominado modelo familiar tradicional (identificado además con la heterosexualidad de los cónyuges) y se encuentra reconocida expresa o implícitamente por todos los textos constitucionales latinoamericanos vigentes.
- Familia convivencial: constituida mediante una unión convivencial, libre o de hecho, y tiene como condiciones necesarias la ausencia de impedimentos matrimoniales, la durabilidad, la singularidad y la estabilidad.
- Familia homoparental: constituida por una pareja formada por personas del mismo género y vinculadas entre sí mediante el matrimonio o una unión convivencial.
- Familia monoparental: se encuentra constituida por uno solo de los progenitores y sus descendientes, a la que se puede acceder de manera originaria mediante técnicas de reproducción asistida y/o la adopción por parte de personas solteras; o en forma derivada, como resultado de la extinción de una unión matrimonial o convivencial precedente, sin que el progenitor que se ha hecho cargo de los hijos haya vuelto a formar una nueva pareja.

- Familia ensamblada: en este caso uno o ambos integrantes de la pareja aportan al nuevo núcleo familiar hijos de otras uniones precedentes sean éstas matrimoniales o convivenciales, o se suma otro progenitor a una familia monoparental originaria.

- Familia ampliada: se trata de una extensión de la familia originaria (compuesta por padres e hijos), se extiende también a los ascendientes e –incluso– a otros parientes o personas, básicamente nace de una obligación jurídica, pues al imponer a la familia (conjuntamente con el Estado y la sociedad) el cuidado de los ancianos, así como también de las personas adultas con capacidad diferente, se origina esta categoría de Familia.

- Familia indígena: por medio de ella se reconoce el derecho de los pueblos indígenas, especialmente los de América Latina o amerindios, a regirse por sus propias costumbres, tradiciones y organización social, siempre que las mismas sean compatibles con los derechos fundamentales previstos por el ordenamiento jurídico nacional y con los derechos humanos reconocidos internacionalmente.

Más allá de las diferentes tipologías de Familia, interesa resaltar que se mantienen compromisos de cuidado y protección entre sus miembros, enfatizando el hecho de las regulaciones para su funcionamiento.

En lo que respecta a los planteamientos normativos de la Familia en la República del Ecuador, es menester destacar el artículo 67 de la Constitución de la República del Ecuador (2008) que estatuye lo siguiente:

“Artículo 67. Se reconoce la familia en sus diversos tipos. El Estado la protegerá como núcleo fundamental de la sociedad y garantizará condiciones que favorezcan integralmente la consecución de sus fines. Estas se constituirán por vínculos jurídicos o de hecho y se basarán en la igualdad de derechos y oportunidades de sus integrantes.

El matrimonio es la unión entre hombre y mujer, se fundará en el libre consentimiento de las personas contrayentes y en la igualdad de sus derechos, obligaciones y capacidad legal”.

De la disposición transcrita se refleja la aceptación amplísima que tiene el ordenamiento jurídico ecuatoriano acerca de la Familia, pues de manera enunciativa expresa diversos tipos de Familia sin encasillarlos, del mismo modo contempla la institución del matrimonio –entendido como punto de partida de las Familias tradicionales– entre un hombre y una mujer, pero

reconoce sus mismos derechos y obligaciones familiares a aquellas Familias que se originan de las uniones estables o Familias convivenciales; de este modo el artículo 68 constitucional sostiene que:

“Artículo 68. La unión estable y monogámica entre dos personas libres de vínculo matrimonial que formen un hogar de hecho, por el lapso y bajo las condiciones y circunstancias que señale la ley, generará los mismos derechos y obligaciones que tienen las familias constituidas mediante matrimonio.

La adopción corresponderá sólo a parejas de distinto sexo”.

De tal manera que, la Familia es contenido constitucional, y no solo en el caso ecuatoriano pues el constitucionalismo latinoamericano la ha asumido; ante ello Villabella Armengol (2016) sostiene la siguiente taxonomía: 1. Constituciones que no abordan el tema: Argentina, Chile; 2. Textos que realizan una regulación básica: Costa Rica, El Salvador, Honduras, México, Perú, Uruguay; 3. Cartas Magnas que efectúan una normativización extensiva: Brasil, Bolivia, Colombia, Ecuador, Guatemala, Nicaragua, Paraguay, Panamá y Venezuela.

Así, en la República del Ecuador la Familia –y sus miembros-, está vinculada con una amplísima gama de derechos consagrados en la Constitución Nacional de 2008, tales como: educación (artículo 26); movilidad humana (artículo 40); equiparación de oportunidades para las personas con discapacidad y atención psicológica gratuita (artículo 47); incentivo y apoyo productivo para los familiares de personas con discapacidad severa (artículo 48); cobertura de la Seguridad Social (artículo 49); vida, vida digna, integridad personal, igualdad, libre desarrollo de la personalidad, opinión y expresión, libertad de religión, orientación sexual, libertad reproductiva, reserva de convicciones, intimidad personal y familiar, inviolabilidad de domicilio, acceder a bienes y servicios públicos y privados de calidad, vivir en un ambiente sano, ecológicamente equilibrado, libre de contaminación y en armonía con la naturaleza, identidad personal y colectiva, entre otros (artículo 66).

Hechas las anteriores consideraciones en cuanto a la variable Familia, se pasa a establecer algunos comentarios conceptuales acerca del Buen Vivir o *Sumak Kawsay* contemplado desde el Preámbulo de la Constitución de la República del Ecuador de 2008, pero

que tiene un origen mucho más ancestral, pues se trata de una terminología utilizada por los amerindios del Ecuador, cuyas connotaciones son múltiples. Desde la perspectiva del referido Preámbulo constitucional, aparece “Una nueva forma de convivencia ciudadana, en diversidad y armonía con la naturaleza, para alcanzar el buen vivir, el Sumak Kawsay”. “De esta manera el Sumak Kawsay constituye un fin primordial del Estado, donde esta nueva concepción juega un papel trascendental en tanto promueve un desarrollo social y económico en armonía con la naturaleza” (Corte Constitucional de la República del Ecuador, 2015: Sentencia 166-15-SEP-CC).

La Constitución de 2008 enarboló por vez primera el concepto y la filosofía del Buen Vivir como directriz fundamental del régimen instituido, y también como premisa de los individuos y las distintas colectividades a la hora de construir una sociedad mejor, entendiéndose, plural, justa, incluyente, en armonía con la naturaleza. Esta novedosa cosmovisión de origen indígena cristalizó en un principio constitucional de cardinal importancia, el Buen Vivir o *Sumak Kawsay*, el cual trajo consigo el reconocimiento de una serie de derechos y garantías de índole social, económica, ambiental y política (Galiano Maritán y Tamayo Santana, 2018).

En este sentido, esta investigación asume el Buen Vivir como una meta o niveles de satisfacción a alcanzar, llegar o poseer, con respeto a la naturaleza. Aunado a ello, ha sido relacionado con los indígenas del continente americano a través de sus luchas y resistencia. “Se trata de un concepto nacido en el *Abya Yala* y todo lo que ha significado la lucha de los pueblos originarios contra la exclusión y el despojo que trajo consigo el colonialismo” (Ribadeneira Aroca, 2020: 42) y tiene trascendencia indígena y urbana, pues conecta ambos modos de vida con el respeto a la naturaleza, es decir que en el *Sumak Kawsay* coinciden diferentes modos de vida para proteger a la naturaleza, haciendo de su uso un factor de respeto, que ha surgido de postulados amerindios.

“El *Sumak kawsay* (vida límpida y armónica) en el caso de los kichwa de la Alta Amazonía ecuatoriana, orienta el modo de vivir. Norma las relaciones entre las personas en base a principios igualitarios, comunitarios y de reciprocidad; se alimenta del diálogo con la naturaleza y su dimensión espiritual” (Ortíz, 2009: 79).

En este mismo orden de ideas, la satisfacción que trae aparejada el *Sumak Kawsay* sistematiza un cúmulo de derechos como vida, salud, familia, esparcimiento, pero que al ejercerlos se venere y considere a la naturaleza o Pacha Mama por su carácter vital y espiritual, en todo caso de incalculable valor. “El *Sumak Kawsay* se oficializa como política de Estado en el 2008, luego de haber sido considerado en la nueva Constitución del Ecuador” (Morocho Alija, 2017: 181).

“El *sumak* es la plenitud, lo sublime, excelente, magnífico, hermoso (a), superior. El *kawsay* es la vida, es ser estando: es dinámico, cambiante, no es una cuestión pasiva. Por lo Tanto, el *Sumak Kawsay* sería la vida en plenitud, la vida en excelencia material y espiritual” (Pérez Morón *et. al.*, 2014: 55).

Aunado a lo anterior, constitucionalmente el Buen Vivir es asumido como un conjunto de derechos, pues el Título II Derechos, Capítulo Segundo Derechos del Buen Vivir, establece los siguientes: agua y alimentación, ambiente sano, comunicación e información, cultura y ciencia, educación, hábitat y vivienda, salud, trabajo y seguridad social; ello conectado con saberes, rutinas y horizontes en los que confluyen distintas formas de pensar, actuar, vivir y convivir, en especial con la naturaleza. Cardoso Ruíz *et. al* (2016) lo engloban como se indica a continuación:

“...el Buen vivir es vida en plenitud, saber vivir en armonía con los ciclos de la Madre Tierra, del Cosmos y de la existencia, entendiendo que todo está en equilibrio. El Buen vivir significa saber existir y cohabitar, que no hay vida más que en relación con todas las formas de vida animada e inanimada, ya que la humanidad misma es naturaleza. Como todo está en equilibrio, no se puede Vivir bien si los demás o alguien vive mal, o si para satisfacer necesidades vanas se deteriora o destruye la Madre Naturaleza”.

De este modo, el artículo 3 constitucional en su numeral 5° determina como deber primordial del Estado, “...planificar el desarrollo nacional, erradicar la pobreza, promover el desarrollo sustentable y la redistribución equitativa de los recursos y la riqueza, para acceder al buen vivir”, de tal manera, que los planes, políticas, proyectos y programas de la administración gubernamental deben perfilarse hacia el Buen Vivir. De ello se desprende otro elemento más de la figura del Buen Vivir: el Estado y cada una de sus acciones, ya que ellas repercuten en la dinámica indígena y urbana, en conexión necesaria con la naturaleza. En este sentido, el

artículo 83 de la Constitución de la República del Ecuador (2008), sostiene: “Artículo 83. Son deberes y responsabilidades de las ecuatorianas y los ecuatorianos, sin perjuicio de otros previstos en la Constitución y la ley: ...7. Promover el bien común y anteponer el interés general al interés particular, conforme al buen vivir”; en tal sentido, se expande el Buen Vivir, no solo como derechos sino también como deberes y responsabilidades.

Por lo anterior, se sostiene que el Buen Vivir comprende diferentes factores, de los cuales destaca la naturaleza, es decir que cada perspectiva que pueda englobar el mismo debe corresponderse con el respeto hacia la naturaleza por ser quien ostenta los recursos de la sobrevivencia del ser humano y su entorno, en este caso la Familia. Con el devenir de los tiempos se han configurado distintos mecanismos económicos, políticos, sociales, culturales, que utilizan recursos de la *Pacha Mama* para el desarrollo humano, en todo caso se debe hacer en aras de garantizar el Buen Vivir, tal como lo establece el artículo 275 de la Constitución de la República del Ecuador (2008):

“Artículo 275.- El régimen de desarrollo es el conjunto organizado, sostenible y dinámico de los sistemas económicos, políticos, socio-culturales y ambientales, que garantizan la realización del buen vivir, del *sumak kawsay* ... El buen vivir requerirá que las personas, comunidades, pueblos y nacionalidades gocen efectivamente de sus derechos, y ejerzan responsabilidades en el marco de la interculturalidad, del respeto a sus diversidades, y de la convivencia armónica con la naturaleza”.

Como se evidencia del artículo anterior, el Buen Vivir no surge de la nada sino del esfuerzo mancomunado de personas, comunidades, pueblos, nacionalidades, con sus propios derechos y obligaciones, en aras de alcanzar las aspiraciones colectivas que permitan ejercer y disfrutar de los derechos que constitucionalmente engloba el Buen Vivir.

2. Responsabilidades de la Familia en la Constitución de la República del Ecuador

A la luz de la Constitución de la República del Ecuador (2008) la Familia tiene un cúmulo de responsabilidades que se plantean como derechos de algunos de sus miembros, lo cual implica que el resto tiene esas obligaciones; a su vez, el conjunto completo tiene obligaciones frente a personas o entes distintos a los que se encuentran dentro de la misma. “Es

una unidad social, plural y compleja, no una simple reunión de unidades, de individualidades separadas o aisladas” (De La Fuente Linares, 2012: 62).

“Cada familia es única, como distintos son sus miembros, con diferentes modos de pensar y de sentir, sin embargo, algunas de las problemáticas más comunes por las que atraviesa el grupo en términos generales, tienen que ver con el fortalecimiento de la capacidad de la familia para atender sus propias necesidades, el equilibrio entre el trabajo y las responsabilidades familiares; la reducción de la violencia doméstica y el alivio de la pobreza” (Oliva Gómez; Villa Guardiola, 2013: 14).

De cara al ser humano, la Familia es la institución que mejor cumple con las funciones esenciales para el desarrollo de todo ser humano, a saber: la función biológica (sexual y reproductiva), educativa (socializa a los niños en cuanto a conductas, hábitos y valores), económicas (alimentación, salud, habitación, vestuario y recreación) y la función protectora (seguridad y cuidados de sus integrantes) (Lepin Molina, 2014). Es posible, entonces, que la Familia se configure en el centro de los derechos y obligaciones de sus integrantes por el conglomerado de elementos que confluyen en la misma, no deja de llamar la atención que se encuentre como contenido constitucional por la relevancia de los aprendizajes presentes y futuros que se desarrollan en la misma.

Por su puesto, que dependiendo del rol que se tenga dentro de la Familia, las obligaciones cambian, excepto en el caso del matrimonio donde hay total igualdad en las obligaciones de sus miembros¹, tal como ocurre en las uniones estables y monogámicas entre personas libres de vínculo matrimonial, a tenor de los artículos 67 y 68 constitucional.

Además, la Familia tiene como responsabilidad la protección y acogida de las personas adultas mayores que sean miembros de las mismas, incluso su abandono es sancionado conforme al artículo 38 de la Constitución de la República del Ecuador (2008).

¹ Es menester resaltar, que las responsabilidades productivas y de acompañamiento se asumen bajo el criterio de la igualdad, en este sentido sostiene el artículo 333 de la Constitución de la República del Ecuador (2008) lo siguiente: “Se reconoce como labor productiva el trabajo no remunerado de autosustento y cuidado humano que se realiza en los hogares.

El Estado promoverá un régimen laboral que funcione en armonía con las necesidades del cuidado humano, que facilite servicios, infraestructura y horarios de trabajo adecuados; de manera especial, proveerá servicios de cuidado infantil, de atención a las personas con discapacidad y otros necesarios para que las personas trabajadoras puedan desempeñar sus actividades laborales; e impulsará la corresponsabilidad y reciprocidad de hombres y mujeres en el trabajo doméstico y en las obligaciones familiares.

La protección de la seguridad social se extenderá de manera progresiva a las personas que tengan a su cargo el trabajo familiar no remunerado en el hogar, conforme a las condiciones generales del sistema y la ley” (Resaltado nuestro).

Por su parte, en lo que respecta a los miembros de la Familia que sean niños o adolescentes, la institución -Familia- debe ser un entorno de afectividad y seguridad que les permitirá satisfacer sus necesidades sociales, afectivo-emocionales y culturales, con el apoyo de políticas intersectoriales locales y nacionales, ya que los niños y adolescentes tienen derecho a la atención prioritaria privilegiando sus derechos sobre los de las demás personas, tal como lo dispone el artículo 44, *ejusdem*. Del mismo modo, el artículo 45 constitucional indica que los niños y adolescentes tienen derecho a una Familia y disfrutar de la convivencia familiar, y a recibir información acerca de sus progenitores o familiares ausentes, salvo que fuera perjudicial para su bienestar; por lo tanto, los responsables inmediatos de la prosecución de tales derechos son los demás miembros de la Familia.

Por otro lado, si alguno de los miembros de la Familia posee alguna discapacidad, aquella deberá procurar la equiparación de oportunidades y la integración social de los mismos.

Ahora bien, más allá de las particularidades que puedan tener los miembros de la Familia, le corresponde como responsabilidad general participar en el proceso educativo, el cual no tiene límite de edad pues como derecho acompaña a las personas durante toda su vida, según lo dispuesto en el artículo 26 constitucional.

Por lo anterior, y para poder cumplir con las responsabilidades que a cada Familia le correspondan, el Estado protegerá a las madres, padres o jefes de familia en el ejercicio de sus obligaciones, según el artículo 69 de la Constitución de la República del Ecuador (2008).

Asimismo, sostiene el Código Civil (2005) en su artículo 14, que aún en los casos de ecuatorianos residentes o domiciliados fuera del territorio del Ecuador subsisten las obligaciones que nacen de las relaciones familiares con respecto al cónyuge y parientes ecuatorianos.

Del conjunto de obligaciones mencionadas (asistencia, cuidado, protección, acompañamiento, educación, libre desenvolvimiento de la personalidad, entre otras) se genera un entramado de relaciones interconectadas que deben manejarse desde el respeto y la consideración a la institución Familia, tanto por sus miembros como por otras personas o entes

externos a ella², incluso el artículo 81 constitucional determina que a través de la ley se establecerán procedimientos especiales y expeditos para juzgar y sancionar los delitos de violencia intrafamiliar (es causal de divorcio a tenor del artículo 110, numeral 2° del Código Civil), sexual, crímenes de odio y los que se cometan contra niñas, niños, adolescentes, jóvenes, personas con discapacidad, adultas mayores y personas que, por sus particularidades, requieren una mayor protección; de manera que la Familia tiene un carácter especialísimo en el ordenamiento jurídico ecuatoriano³.

De lo anterior se desprende, que las personas que se encuentran dentro de una Familia desarrollan lazos afectivos y que, si bien existen obligaciones dispuestas por el ordenamiento jurídico, no es menos cierto que los sentimientos especiales entre sus miembros tienen un peso importante en el cumplimiento de las mismas. La Familia como institución única y cambiante es el reflejo de las transformaciones a lo largo del tiempo, procura el bienestar de cada uno de sus integrantes desde lo biológico, psicológico, económico, social, razón por la cual la mayor responsabilidad de la Familia es la satisfacción de las necesidades, no sólo porque el ordenamiento jurídico lo determine sino por la fraternidad y sentimientos que unen a sus miembros.

3. Relación entre la Familia y el Buen Vivir como paradigma de vida

La sociedad contempla diferentes conductas que deben confluir en las rutinas económicas, políticas, culturales, sociales, que permitan el desarrollo del conjunto de instituciones, una de ellas es la Familia que debe actuar conforme a sus valores y principios, muchos de ellos ancestrales o heredados por los aprendizajes del entorno más cercano de una persona, pero al hacerlo debe utilizar factores o elementos que la naturaleza otorga, ya que se tiene como finalidad alcanzar la satisfacción de las necesidades o colmar derechos, en todo caso llegar al Buen Vivir. Por ello, los paradigmas o esquemas de vida deben confluir con respeto

² “De esta forma, el Estado va intervenir, por intermedio de la justicia de familia, cada vez que resulte necesario hacerlo, es decir, en todos aquellos casos en que las partes no logran solucionar de mutuo acuerdo sus conflictos familiares, o en los casos que sea necesario actuar para proteger a los más débiles, como en supuestos de violencia intrafamiliar o vulneración de los derechos de los niños, niñas o adolescentes” (Lepin Molina, 2014: 47).

³ En este orden de ideas, la Corte Constitucional de la República del Ecuador (2017: Sentencia 0001-17-HD) sostiene en este sentido, que “el hábeas data salvaguarda derechos como la honra, la buena reputación, la intimidad personal y familiar, entre otros, permitiendo al juez disponer el acceso, la eliminación y/o rectificación de la información”.

entre los mismos; en este sentido, tanto la Familia como el Buen Vivir tienen elementos caracterizadores que les son comunes a ambas instituciones, los cuales son descritos a continuación:

a. Ancestral: tanto la Familia como el Buen Vivir devienen de tiempos remotos, son instituciones que han sido asumidas desde la existencia del ser humano, y conllevan a jerarquías o sistemas de organización que se trasladan a otros sectores como el laboral, el económico, el social. En el caso de la Familia, si bien ha pasado por cambios, no es menos cierto que la Familia tradicional se mantiene; y, en lo que respecta al *Sumak Kawsay*, su origen amerindio implica concepciones, igualmente, tradicionales donde se siguen ideas, costumbres o normas del pasado.

b. Connotaciones o significados varios: de las consideraciones realizadas líneas arriba se evidencia que no existen un único concepto de Familia o de Buen Vivir, puesto que en cada uno hay diversas perspectivas de lo que se entiende como fundamento, sustento o núcleo fundamental de la sociedad, o meta a alcanzar o conjunto de derechos, que en todo caso deben propender a la deferencia con la naturaleza o Pacha Mama.

c. Coinciden diferentes modos de vida y/o personas: en lo que respecta a la familia, al estar constituida por personas, cada una tiene derecho al libre desarrollo de su personalidad y a ser respetado por el resto de los miembros del conjunto; así sucede también con el Buen Vivir, en el cual deben coordinarse modos de vida amerindios y urbanos, teniendo por norte obtener beneficios para todos, en especial para la Pacha Mama. Vale señalar que el respeto requiere de protección y cuidados entre los miembros; en tal sentido señala la Corte Constitucional de la República del Ecuador (2020: Sentencia 3-19-JP/20) lo siguiente:

“El derecho al cuidado refiere a las actividades que una persona requiere para ejercer derechos y reproducir la vida, mediante la construcción y el fortalecimiento de vínculos y condiciones para realizar el *sumak kawsay*.

Por el derecho a cuidar una persona cuenta con el tiempo necesario y suficiente para desarrollar vínculos con otra que necesita cuidado. El derecho a cuidar es una manifestación de respeto, consideración, y empatía a otra persona o ente vivo.

Por el derecho a ser cuidado, una persona requiere ser atendida en relación con una necesidad por carecer de autonomía, tener su autonomía disminuida o no contar con las condiciones para ejercer el autocuidado”

En todo caso, tanto la Familia como el Buen Vivir requieren de pactos de convivencia por la multiplicidad de criterios y personas que a lo interno de ellos coexisten; con dichos acuerdos se reconoce la interdependencia entre los sujetos, sin dejar de lado la atención prioritaria de los niños, adolescentes, personas de la tercera edad, personas con discapacidad, o grupos de atención prioritaria.

La Constitución Política contiene reglas de organización y estructura del Estado, lo que implica la existencia de ciertos valores, principios fundamentales, derechos y garantías de las personas, ello trae aparejadas pautas claras para una convivencia pacífica y la construcción de la democracia dentro de un marco de dignidad de la persona, justicia, libertad, igualdad y pluralismo cultural (Cardoso Ruíz *et. al.*, 2016).

Es necesario el reconocimiento de todos y de todo, es decir, admitir que la multiplicidad, que las personas y sus aspiraciones son diversas pero iguales, por lo que las sociedades deben aceptar su naturaleza pluriétnica e intercultural, y este reconocimiento debe estar garantizado en los distintos órdenes constitucionales y en la práctica cotidiana de la vida de un país (Cardoso Ruíz *et. al.*, 2016), y ello aplica tanto para la Familia como para el Buen Vivir.

d. Elemento natural: ambas figuras tienen una vinculación plena con la naturaleza, no solo por el hecho mismo de sus orígenes, sino que en su composición y desarrollo requieren de factores que nacen de la *Pacha Mama*, para transformarlos y colmar necesidades. De este modo, la Corte Constitucional de la República del Ecuador (2015: Sentencia 166-15-SEP-CC), señala lo siguiente:

“Ahora bien, los derechos de la naturaleza constituyen una de las innovaciones más interesantes y relevantes de la Constitución actual, pues se aleja de la concepción tradicional “naturaleza-objeto” que considera a la naturaleza como propiedad y enfoca su protección exclusivamente a través del derecho de las personas a gozar de un ambiente natural sano, para dar paso a una noción que reconoce derechos propios a favor de la naturaleza. La novedad consiste entonces en el cambio de paradigma sobre la base del cual, la naturaleza, en tanto ser vivo, es considerada un sujeto titular de derechos”.

Además, tanto la Familia como el Buen Vivir enaltecen valores naturales del ser humano como las conexiones entre ellos para lograr colmar necesidades, es inmanente a su crecimiento

y desarrollo, ambas figuras forman parte natural, habitual, permanente de la sociedad, aunque tienen diferentes perspectivas según quien interprete o analice a la Familia o al Buen Vivir, ostentan un lugar privilegiado en la sociedad y vitales para la existencia del ser humano.

e. Contenido constitucional: el ordenamiento jurídico ecuatoriano le otorga rango constitucional a la Familia y al *Sumak Kawsay* elevando su jerarquía jurídica, por el alto grado de importancia que ambas figuras revisten, es decir, ambos tienen supremacía constitucional.

“El constitucionalismo representa, en la actualidad, una fuerte corriente de renovación del Derecho, evidenciándose, de esta forma, lo que suele denominarse como "Supremacía de la Constitución", en donde todos los poderes públicos, así como los particulares, nos hallamos sometidos a las normas contenidas en la Carta Fundamental” (Corte Constitucional de la República del Ecuador, 2009: Sentencia 003-09-SEP-CC).

Con la combinación constitucional de las figuras bajo comentario, se genera un camino jurídico para conseguir el reconocimiento, sostenimiento y efectivo respeto de una amplísima gama de derechos en condiciones de igualdad, incentivando el Buen Vivir para lograr alcanzarlo a través del enaltecimiento del rol de la Familia y su proyección social, evitando la fractura de ambos o de alguno de ellos, ya que son importantes figuras para lograr el desarrollo y el crecimiento económico de la mano de la naturaleza, teniendo a ésta como epicentro de las decisiones individuales y colectivas. En todo caso, el modelo sería dedicarle tiempo y esfuerzos a la Familia para alcanzar el Buen Vivir.

Estos paradigmas de vida reflejan el compromiso del Estado ecuatoriano de conectarlos para mejorar las condiciones de cada ser humano, pero desde la perspectiva de la naturaleza, es decir, no antagonizan las aspiraciones de la Familia con el Buen Vivir, sino que son varios los denominadores que en común tienen ambas figuras pues son ancestrales, con varios significados, donde confluyen diferentes modos de vida, son naturales y forman parte del contenido de la Constitución de la República del Ecuador (2008). Concertar la Familia y el Buen Vivir permite dotar a las personas de condiciones para vivir en armonía con sus semejantes y con la naturaleza, sea en el medio amerindio o urbano, pero con suficiente ahínco tradicional en las generaciones del presente, para trasladar los aprendizajes a las generaciones futuras.

Aunado a lo anterior, el acercamiento entre la Familia y el Buen Vivir se puede extraer del artículo 319 constitucional, ya que da cuenta de la organización productiva y económica de la Familia siempre que asegure el Buen Vivir, la referida disposición establece lo siguiente:

“Artículo 319. Se reconocen diversas formas de organización de la producción en la economía, entre otras las comunitarias, cooperativas, empresariales públicas o privadas, asociativas, familiares, domésticas, autónomas y mixtas.

El Estado promoverá las formas de producción que aseguren el buen vivir de la población y desincentivará aquellas que atenten contra sus derechos o los de la naturaleza; alentará la producción que satisfaga la demanda interna y garantice una activa participación del Ecuador en el contexto internacional”.

De tal manera, que la conexión entre Familia y Buen Vivir debe traer aparejado el desarrollo pues para la sobrevivencia del ser humano desde el contexto familiar –derivado de las responsabilidades correspondientes- requiere de la naturaleza, enalteciéndola como factor determinante para alcanzar el *Sumak Kawsay*. El binomio Familia-Buen Vivir es indispensable para lograr el desarrollo del entorno.

Conclusiones

Considerar al ser humano como aislado, no es factible, es un ser social y natural. Cada persona debe desenvolverse en Familia, pues será la primera institución que le permita conocer y aprender valores y principios; una tarea o responsabilidad que se encamina en paralelo con el respeto al entorno, tanto del resto de las personas, como, especialmente, de la naturaleza. Conjugar acciones para satisfacer necesidades y derechos es el camino para alcanzar el Buen Vivir dispuesto en el Preámbulo de la Constitución de la República del Ecuador (2008), construido desde tiempos antiguos por grupos amerindios y trasladados hasta el presente.

La Familia y el Buen Vivir son instituciones ancestrales, diversas en sus concepciones, pero que dan cuenta de distintos modos de vida y de personas, con la naturaleza de la que nacen y amparan a través de los contenidos constitucionalmente consagrados, en aras de lograr el desarrollo.

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Essence and structure of the readiness of future primary school teachers to design the learning environment

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ABSTRACT

The purpose of the study is to determine the essence of the preparation of future primary school teachers to design the learning environment in the operation of the new Ukrainian school. The application of methods that helped to carry out theoretical research: analysis and synthesis, systematization of materials, historical and logical, comparative, systemic and structural, allowed to study the essence of the preparation of future primary school teachers to design the learning environment in the New Ukraine School. This study allowed us to determine the essence of the preparation of future primary school teachers as specialists of the new generation, to design the learning environment of primary school students. The preparation structure of future primary school teachers is determined to design the learning environment and the content of its main constructs is specified, namely: the motivational, cognitive, operational-active and emotional-volitional components.

KEY WORDS: primary school; design; Learning environment; teacher attitudes.

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Esencia y estructura de la preparación de los futuros profesores de primaria para diseñar el entorno de aprendizaje

RESUMEN

El propósito del estudio es determinar la esencia de la preparación de los futuros maestros de escuela primaria para diseñar el entorno de aprendizaje en el funcionamiento de la nueva escuela ucraniana. La aplicación de métodos que ayudaron a realizar investigaciones teóricas: análisis y síntesis, sistematización de materiales, histórico y lógico, comparativo, sistémico y estructural, permitió estudiar la esencia de la preparación de los futuros maestros de escuela primaria para diseñar el entorno de aprendizaje en la Nueva Escuela Ucrania. Este estudio nos permitió determinar la esencia de la preparación de los futuros maestros de la escuela primaria como especialistas de la nueva generación, para diseñar el entorno de aprendizaje de los estudiantes de la escuela primaria. Se determina la estructura de preparación de los futuros profesores de primaria para diseñar el entorno de aprendizaje y se especifica el contenido de sus principales constructos, a saber: los componentes motivacional, cognitivo, operacional-activo y emocional-volitivo.

PALABRAS CLAVE: escuela primaria; diseño; ambiente de aprendizaje; actitudes del maestro.

Introduction

Ukraine's integration into the world educational space requires continuous improvement of the national education system, particularly primary education, which is due to a number of orders of the Ministry of Education and Science of Ukraine and state regulatory documents, which declare the requirements for the educational process of elementary school, professional and pedagogical activity and personality of a new generation teacher - the Law of Ukraine "On Higher Education" (2014), "On Education" (2017), the Concept of the New Ukrainian School (2017), the Concept of Teacher Education Development (2018), the State Standard of Primary Education (2018) and others.

Now of particular importance is the idea of creating a learning environment that can provide a set of opportunities for all subjects of the educational process for self-development. The success of this process will affect the quality of training of primary education applicants and the professional activities of the new type of teacher, who should be distinguished by holistic, innovative thinking, goal-oriented behavior, research activity, the ability to make

balanced and constructive decisions.

The problem of professional training of future primary school teachers is variously revealed in scientific research, in particular in recent years: "Preparation of future primary school teachers for orthoepic work in a trilingual learning environment" (Sheremet, 2015); "Preparing future teachers to create a healthy primary school environment" (Osadchenko, 2016); "Preparation of future teachers for the development of creative potential of junior schoolchildren by means of art therapy" (Kovinko, 2018); "Pedagogical conditions of preparation of future primary school teachers for communicative and speech development of students" (Shalivska, 2018); "Preparation of future teachers for modeling a lesson in the conditions of variability of primary education" (Nesterenko, 2019) and other.

However, the formation of the readiness of future elementary school teachers to design the learning environment in the implementation of the objectives of the New Ukrainian School Concept is still relevant for the present and requires further study.

The aim of the study: is to theoretically justify the essence and basic readiness constructs of future elementary school teachers to design the learning environment.

The objectives of the study: to consider the essence of readiness to design the learning environment; to identify and characterize the structural components of the readiness of future elementary school teachers to design the learning environment.

1. Theory and methodology of the research

Of special importance for our study are the achievements of researchers concerning the readiness of future elementary school teachers in the context of mastering professional activity. Thus scientists define readiness as: integrated personal education, which includes a set of psychological and pedagogical, informational and methodological knowledge and skills, as well as personal qualities necessary for effective use of information and communication technologies in the educational process (structure covers motivational-valuable, cognitive, operational-activational, reflexive and evaluative components) (Andriyevska, 2019; Tigrov, 2021); holistic integrated personality quality of a future elementary school teacher, characterizes his motivation for communicative and speech students development, the combination of knowledge, skills and abilities to develop communicative and speech activity of elementary school students and ensuring

communicative and speech students development in the process of professional and pedagogical activity (structure covers motivational and value, cognitive, activity and technological and productive components) (Shalivska, 2018); complex personal formation in the structure of which the motivational, cognitive, communicative and active, reflexive components are distinguished (Sheremet, 2015); the persistent integrative personal-professional ability of a future teacher, characterized by the presence of motivation to develop the creative potential of younger students, personal-professional qualities, acquired knowledge, abilities and skills, including creative self-development and reflex (structure covers motivational-valuable, content, procedural, personal-reflexive components) (Kovinko, 2018), and others.

Researchers have considered the processes of modeling and designing a certain type of environment in the primary education applicants' training, which are components of future teachers' professional competence. M. Nesterenko clarifies the essence of the concept "design-modeling competence of future elementary school teachers", which acts as a reference result their professional training, is the awareness of pedagogical modeling personally important for their own professional activity, ability to model the lesson in a variable elementary education conditions (to plan, select resources, design a model), to reflect on the implementation of the pedagogical concept, the desire for self-development and self-improvement (Nesterenko, 2019). T. Osadchenko introduces the concept of "health preserving competence of a future elementary school teacher", is interpreted as a component formation in the structure of his professional competence, unites in one motives of professional and health preserving activity, the system of knowledge and skills of organizing the interaction of "teacher - student - parents" on the basis of health saving, the optimal combination of which on the basis of personal qualities, acquired experience and aspiration for professional self-development provides readiness and ability of a future teacher to create a health-saving elementary school environment (Osadchenko, 2016) and others.

Based on the analysis of scientific research, psychological and pedagogical literature and legal documents, the definition of the essence of readiness to design a learning environment is formulated. A content analysis was conducted to clarify and specify the conceptual and categorical apparatus for understanding the constructs of readiness of future primary school teachers to design the learning environment.

So, the main feature of readiness for professional activity is its integrative nature, which manifests itself in the internal structures orderliness, coherence of the main professional personality components, in sustainability, stability and continuity of their functioning. As an integral formation, readiness reflects a holistic state of a personality, including not only the presence of abilities and qualities necessary in future activity, but also attitude towards it, which is manifested in needs, desires, motives. Readiness for activity develops on the basis of assimilation of general and professional knowledge, abilities and skills formation, perfection of established professionally important personal qualities.

In determining the structure and content of the readiness of future elementary school teachers to design the learning environment we took into account:

- requirements for professional competence of an elementary school teacher (ability to pedagogical activity, organization of the educational process in the elementary school at the modern requirements level, ability to act effectively, effectively solve standard and problematic professional tasks arising in the teaching process, education and development of elementary school students), whose basis is the unity of theoretical and practical readiness to carry out pedagogical activities, which is manifested in the presence of systems, knowledge, skills, value attitudes to professional activity and the experience of their implementation in practice;

- professional pedagogical competencies (didactic, educational, organizational) and their correlation with the competency classification of the National Qualifications Framework (Osadchenko, 2016).

- the operation system (abilities and skills, knowledge and understanding) required to perform professional tasks;

- the peculiarities of projecting activity, found in the goals, process and results

- the peculiarities of the personal readiness phenomenon, connected with the intellectual, emotional, reflexive, volitional, motivational and activity spheres;

- dynamic model of personality structure within the framework of system-activity approach by K. Platonov, which contains substructures of directionality, experience, forms of reflection and biological conditionality.

2. The results of the study

Designing as a project creation activity is characterized by two things: the ideal nature

of the action and its focus on the appearance of something in the future. These two characteristics distinguish designing from other types of activity (Sosnytska, Kryvylova, Oleksenko, 2020).

Designing the learning environment is an important professional task of future elementary school teachers, which requires a daily solution in the conditions of the real educational process.

The main requirements for designing students' learning environment and the latest guidelines in the preparation of future elementary school teachers for the specified activity are:

- The learning environment as an object of design reflects the relationship of certain conditions of organized, two-way activity of the teacher and students aimed at the maximum assimilation and awareness of the educational material and further application of the acquired knowledge, skills and abilities in practice (Cabrera et al, 2020);

- the methodological foundations for designing the learning environment are: competency-based approach - organizing the learning process in order to form key, subject and life competencies; integrative approach - taking into account internal subject and interdisciplinary links, maximum overcoming of isolated teaching of subjects and creating fundamentally new educational programs; research-based approach - using research forms, methods and means of learning; person-centered approach - directing the learning process to the following

- understanding of the modern lesson as a project to create real conditions for the intellectual, social, moral formation of the students' personality, allows to achieve high results in learning, the process of which is built on three basic types of activity: learning (mastering cultural samples, existing knowledge, conceptual positions) practice (acquisition of skills, methods of activity); research and design (entering the subjective position in relation to reality).

- clear structuring of the interaction of participants in the educational process, which will contribute to the development of independent learning activities of students: awareness of their own role in solving learning tasks; presence of purpose, motivation and activity of implementation of activities; planning of future work, identifying its results and awareness of ways in which you can get new knowledge and skills, identify common ways of action;

control over their actions, ways of their implementation and evaluation; seeing the importance of the mastered experience, knowledge, skills, acquired personal qualities for achieving the goal;

- formation of specific professionally important qualities of future elementary school teachers to design students' learning environment: problem vision, creativity, persistence, tolerance for mistakes, tolerance, openness, accessibility and flexibility (Radyonova, S. Savelova, S. Philosophical Dictionary: the largest collection of online dictionaries).

The analysis of scientific research on the essence and structure of future specialists' readiness for various aspects of professional activity indicates the importance of motivational, cognitive, operational-activational and emotional-volitional components.

Motivation is a set of external and internal driving forces that motivate the activity and give it orientation, focused on achieving a certain goal. The development of positive learning motivation in future elementary school teachers is a condition for personal development and effective professional training. Among the various motives of learning there are internal and external. Internal motives are associated with cognitive need, pleasure from the process of learning and are characterized by activity at the stage of professional formation. External motives are associated with the needs, which are focused on material benefits, the prestige of the chosen profession, recognition and reveal a positive or negative attitude to obtain the expected result of the activity. That is, future elementary school teachers, in addition to the motivation for success, may focus on the negatives, failures and punishments in the process of mastering the specialty. In this case we can not talk about the full development of personality and formation of a professional. Inadequacy of motives of learning activity can be the reason of insufficient preparation for professional activity.

So, the motivational component of the readiness of future elementary school teachers to design learning environments is characterized as: established cognitive need to master the projective activity; interest in the process of creating a learning environment; sustained desire to update and enrich knowledge on the development of primary education based on the ideas of the Concept of the New Ukrainian School.

The cognitive component of readiness for any activity includes understanding of certain tasks, knowledge of the ways to solve them and the means of achieving the goal, analysis of possible changes in the situation. The challenges of time imply a change not so

much in the content and tools of pedagogical activity, as in thinking. The skills of integrative thinking allow solving professional problems effectively. One of the main characteristics of integrative thinking is consistency. The knowledge formed as a result of integrative thinking also have this property. Systemic knowledge ensures the ability of future elementary school teachers to identify, install, study the existing structural relations of pedagogical phenomena; the ability to see the studied phenomena in the dynamics of development; the ability to predict and model further possible transformations of phenomena. Thus, integrative thinking, its formation in future elementary school teachers is an objective necessity due to the rapid transformation of various factors in the field of education. Cognitive activity organically combines both already acquired experience (knowledge, mental skills and abilities) and the ability of further independent assimilation and application in practice. The quality of knowledge (flexibility, strength, understanding), as one of the main indicators of professional training, is central to the evaluation of both theoretical and practical learning.

Thus, the content of the cognitive component of the readiness of future elementary school teachers to design the learning environment reflects the developed properties of integrative thinking that meet the requirements of projective activity; understanding of the features of the learning environment of primary education applicants and the process of its design.

The readiness of future elementary school teachers to design the learning environment involves operating with all the necessary techniques for obtaining and processing professional information. For example, future teachers of elementary school should operate with basic didactic concepts; apply in school practice different approaches to the organization of the educational process of primary education applicants (students); distinguish types of lessons by structure and use them in accordance with the didactic purpose; comply with the basic requirements for a modern lesson; To know the methods and methods of stimulation of educational-cognitive interests of students; to determine the ways of optimization of educational activity of students; to be able to organize independent educational-research activity of students; to carry out didactic analysis of a lesson at elementary school; to apply forms and methods of diagnostics of learning results; to possess the skills of control and evaluation of educational achievements of students and so on. Of particular importance is the ability and readiness to carry out a purposeful sequence of

actions to synthesize systems or their individual components, the development of documentation necessary to implement and use objects and processes; the ability to design, construct and model pedagogical situations.

Thus, the operational-activational component of future elementary school teachers' readiness to design learning environments is characterized by the ability to create learning environments taking into account the elementary education variability and educational process resources.

Designing the learning environment successfully depends on the level of formation of the emotional-will component of the elementary school teachers' readiness. Will is the ability to self-determination and self-regulation of activity and various mental processes. The volitional personality features include self-control, endurance, patience, persistence, determination, courage, criticality (Fundamentals of Psychology). Will is manifested when a future specialist meets difficulties on the goal realization way. The final stage of will manifestation is actions related to overcoming internal or external obstacles. The importance of the emotional sphere of education applicants is noted in the Concept of the New Ukrainian School, where emotional intelligence is highlighted as one of the areas with which each graduate should be familiarized. Emotions reflect the attitude of future elementary school teachers to the world around them, to other participants in the educational process, to themselves and to their own activity results. Designing the learning environment is a rather complex, multidimensional and multifaceted process. It requires complex regulation of a whole complex of mental processes, properties, and states. For successful projective activity future elementary school teachers should know and masterfully use their emotional and sensual potential.

So, the emotional-volitional component of the readiness of future elementary school teachers to design the learning environment is characterized by awareness of their own emotional-volitional capabilities; force mobilization during the design activity; responsibility for making professional decisions to create the learning environment of elementary education applicants.

Based on the psycho-pedagogical research analysis, we interpret the concept "readiness of future elementary school teachers to design the learning environment" as a sustainable state of readiness to successfully create real conditions for intellectual, social,

moral formation of elementary education applicants, based on the mobilization of potential capabilities (motivational, operational-activity, cognitive, emotional-will) and experience, in order to obtain the expected result and further personal development in a changing environment.

Conclusions

Therefore, based on the analysis of regulatory documents, psychological and pedagogical literature and scientific research, the essence of readiness to design the learning environment of primary school applicants and for the first time formulated its interpretation in the professional formation context of future elementary school teachers as a new generation of specialists in the New Ukrainian school. Defined the structure of the readiness of future elementary school teachers to design learning environments and clarified the content of its main components, such as motivational, cognitive, operational-activational and emotional-volitional components.

For the first time, the interpretation of the readiness of future primary school teachers to design the learning environment is formulated, its structure is determined and the content of the main components - motivational, cognitive, operational and emotional and volitional is specified.

The prospect of further research in this direction is associated with the development of a model for the formation of future elementary school teachers' readiness to design the learning environment.

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Caracterización multidimensional del Programa de Estímulos a la Innovación en México

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Jorge Benjamín Tello Medina**

RESUMEN

El actual trabajo desarrolla un análisis que faculta la identificación de algunos de los resultados alcanzados por la Política de Ciencia, Tecnología e Innovación (CTI) en México, visualizado en los efectos de implementación del Programa de Estímulos a la Innovación (PEI). El análisis se realizó con el objetivo de cuantificar los resultados del PEI. Se diseñaron y calcularon dos índices multidimensionales, el primero basado en la teoría de la lógica difusa, el otro como un índice sintético. Los resultados evidencian la necesidad de plantear nuevos mecanismos en materia normativa e institucional para lograr acuerdos y asociaciones firmes entre el sector público y el privado en temas referentes al capital de riesgo, estímulos fiscales u otros, que permitan llevar a cabo objetivos claros y en común, para que la contribución de la CTI sea en pro del desarrollo económico de todo el país. Igualmente, se manifiesta la bondad del uso de conjuntos difusos en la construcción de índices multidimensionales de manera que posibilita mayor precisión debido a que su construcción se basa en la creación de un universo de datos continuo, a la vez que hace posible el manejo de un mayor número de variables.

PALABRAS CLAVE: Lógica matemática; Ciencia y Tecnología; Programa de Estímulos a la Innovación; Política Pública.

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Multidimensional characterization of the Innovation Stimulus Program in Mexico

ABSTRACT

This paper develops an analysis that enables the identification of some of the results achieved by the Science, Technology and Innovation Policy (CTI) in Mexico, visualized in the effects of the implementation of the Innovation Stimulus Program (ISP). The analysis was carried out in order to quantify the results of the PEI. Two multidimensional indices were designed and calculated, the first based on fuzzy logic theory, the other as a synthetic index. The results show the need to propose new mechanisms in normative and institutional matters to achieve firm agreements and associations between the public and private sectors on issues related to risk capital, fiscal incentives or others, that allow to carry out clear and common objectives, so that the contribution of the CTI is for the economic development of the entire country. Likewise, the goodness of the use of fuzzy sets in the construction of multidimensional indexes is manifested in a way that allows greater precision because its construction is based on the creation of a continuous universe of data, at the same time that it makes possible the handling of a greater number of variables.

KEYWORDS: Mathematical logic; Science and Technology; Innovation Stimulus Program; Public Policy.

Introducción

En recomendaciones recientes de la Comisión Económica para América Latina y el Caribe (CEPAL, 2016: 15), se ha hecho evidente la insistencia en avanzar hacia sectores más intensivos en tecnología, considerando dicha acción como clave en el logro del crecimiento sostenido.

Para ello, el país debe contar con capacidades científicas, tecnológicas y de innovación, una sólida articulación entre los diversos agentes que se involucran, así como impulsar la construcción de sistemas de innovación bajo un apropiado marco regulatorio (Dutrénit, et al., 2013: 12).

Con respecto a los sistemas de innovación, se ha insistido en su formación desde la escala nacional ¹, al existir un consenso en que la relación entre los actores implicados en el cambio tecnológico e innovación contribuye al crecimiento económico (Lundvall, 1992: 91; Nelson, 1992: 348-349; Freeman 1995: 14; Edquist 1997: 16; OCDE, 1997: 11; Etzkowitz y Leydesdorff, 2000: 110; Dosi, 2005: 33; Kaplinsky, 2011: 193).

Pero también, adquiere una particular relevancia la formación de Sistemas Regionales de Innovación (SRI) ya que, a través del vínculo y sinergia de los agentes interesados dentro de un espacio geográfico específico pueden incrementar la competitividad (Malmberg y Maskell 2002; Cooke, 1996; Cooke, Uranga y Etxebarria, 1998; Cooke, 2001; Scott, 2006; Ferreira, 2016).

La innovación y la creación de conocimiento terminan por ser procesos interactivos entre diversos agentes y organizaciones, valiéndose de mecanismos de cooperación e intercambio de información para generar nuevo conocimiento (Lundvall, 2000).

Es en este contexto, la estrategia adoptada en el país es la de impulsar programas de innovación abierta o creación conjunta, para que agentes locales tengan mayor proximidad, un mejor control de los recursos financieros destinados a los proyectos, y de esta forma, compartir los riesgos que conlleva invertir en Ciencia, Tecnología e Innovación (CTI).

Un agente involucrado e impulsor de instrumentos para estimular la inversión en investigación, desarrollo tecnológico e innovación, es el Consejo Nacional de Ciencia y Tecnología (CONACYT). Así se tienen los fondos y estrategias en busca de la interacción de todos los actores en torno al Sistema de Ciencia, Tecnología e Innovación de México (Lámbarry-Vilchis & Moreno-Jiménez, 2020).

Algunos de estos instrumentos buscan alcanzar un par de objetivos, por un lado, impulsar ICTI desde los niveles regionales, sectorial o ciertas empresas en específico, y en segundo lugar, incrementar la vinculación entre el sector productivo y el académico. Un programa presupuestario diseñado para buscar el logro de estos objetivos es el Programa de Estímulos a la

¹ Un Sistema Nacional de Innovación está constituido por: “La red de organizaciones e instituciones públicas y privadas en un estado soberano cuyas actividades e interacciones inician, importan, modifican y difunden nuevas tecnologías y modelos organizativos” (Cooke, Uranga y Etxebarria, 1998: 1570).

Innovación (PEI). Este programa ha logrado, mediante la participación conjunta del sector público con el privado, sumar una inversión total de 48 mil 541 millones de pesos en ocho años.

La implementación del PEI se da conforme a lo que marca una política pública basada en la obtención de resultados. Por tal motivo, cobra especial relevancia analizarlo en términos de si es un programa que se aprovecha mejor según las condiciones con las que cuente cada entidad federativa, es decir, si es un instrumento diferenciador de los entornos para que su implementación sea favorable e impulse a su vez la CTI.

En este sentido, es importante cuestionarnos ¿con qué condiciones cuentan las entidades federativas para favorecer la implementación de instrumentos como el PEI e impulsar la CTI?

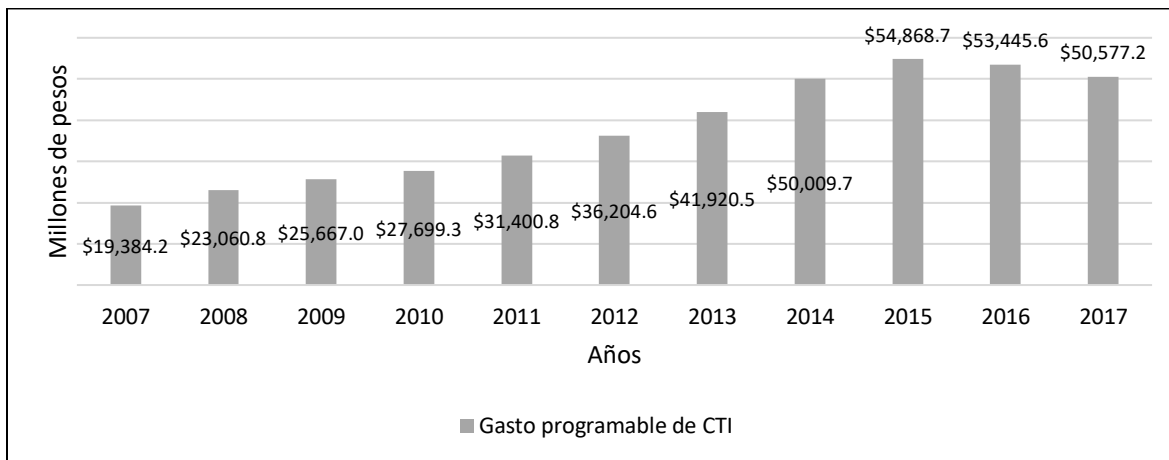
A partir de esta pregunta de investigación, surge una conjetura que sirve como eje rector de la investigación: Instrumentos para estimular la cadena educación-ciencia-tecnología-innovación, a través de la complementariedad de recursos con el sector productivo, como es el caso del PEI, crean un efecto de desigualdad entre entidades federativas, empresas, IES y Centros de Investigación, porque solo se adaptan a entornos con las condiciones necesarias que favorecen su implementación.

Derivado de todo esto, el objetivo general del presente trabajo es analizar los resultados del PEI y caracterizar las entidades federativas de México mediante diversos entornos que sean propicios para el desarrollo de la CTI.

1. Ciencia, Tecnología e Innovación en México

En México, la estructura del Sistema Nacional de Innovación constituye un entramado complejo de organizaciones, políticas, normas, programas y principios. La CTI está presente de manera notable en la agenda política de México. En términos financieros, se le ha dado tal importancia que se puede percibir en la trayectoria que ha seguido la función de Ciencia, Tecnología e Innovación, en el Gasto Programable del Sector Público Presupuestario. No obstante, tras la caída del precio del petróleo en el año 2015 se realizaron diversos ajustes, en consecuencia, en los años 2016 y 2017 disminuyeron sus montos programados, como se puede apreciar en el siguiente gráfico.

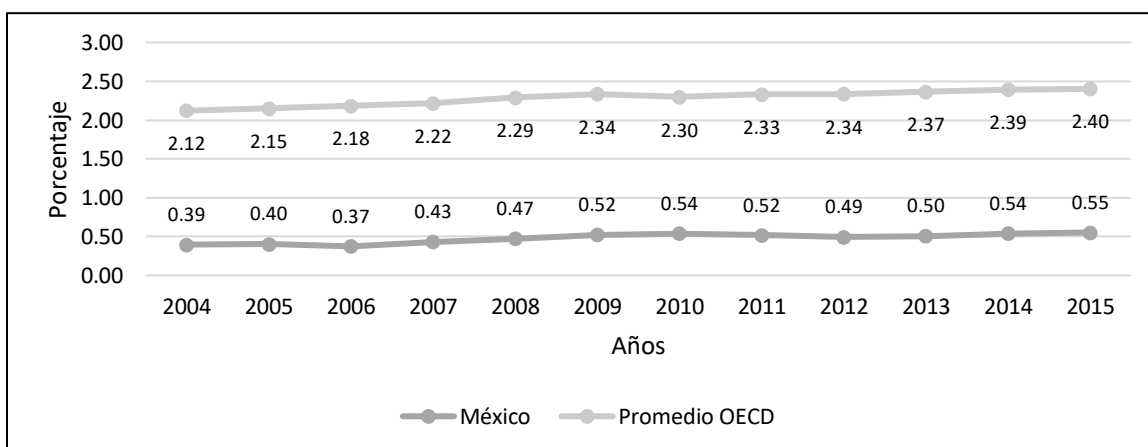
Gráfico 1. Gasto del gobierno federal en la función Ciencia, Tecnología e Innovación.



Fuente: Elaboración propia a partir de la SHCP (2018). Estadísticas Oportunas de Finanzas Públicas.

Por otra parte, mediante el Gasto en Investigación y Desarrollo Experimental (GIDE) se puede medir cuánto se destina al desarrollo de conocimiento. La OCDE (2015: 44) define al GIDE como el trabajo creativo y sistemático realizado con el fin de aumentar el stock de conocimiento, incluido el conocimiento del hombre, la cultura y la sociedad, y esto sirve para el diseño de nuevas aplicaciones mediante el uso de estos conocimientos disponibles.

Gráfico 2. Gasto en investigación y desarrollo experimental como proporción del PIB en México en comparación con el promedio de los países miembros de la OCDE.

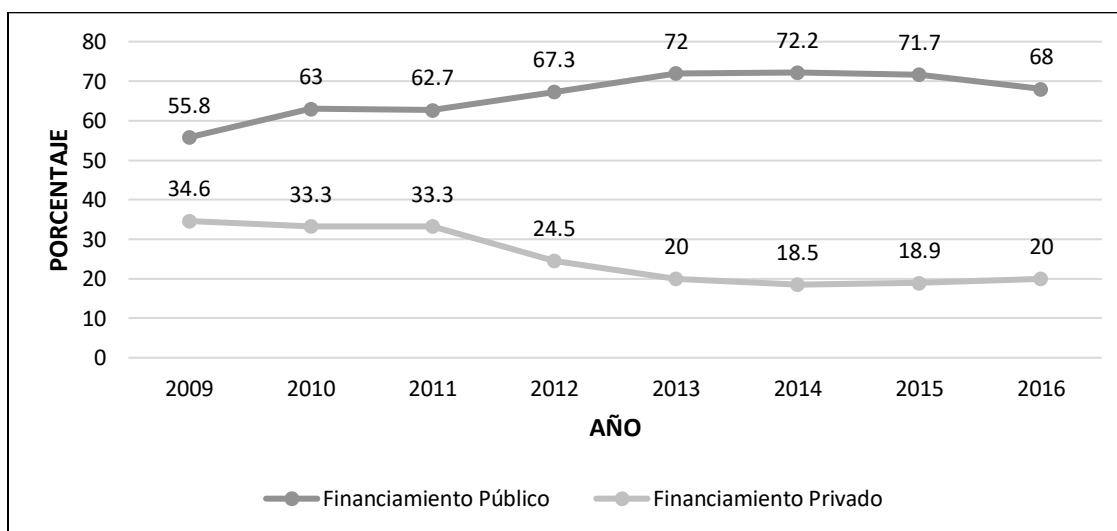


Fuente: Elaboración propia a partir de OCDE, Main Science and Technology Indicator (2019).

El supuesto del GIDE es la inversión especializada en la producción de bienes intensivos en tecnología para la generación de conocimiento. Sin embargo, como se aprecia en el gráfico 2, al comparar este gasto a nivel internacional, México se encuentra muy por debajo del promedio en los países miembros de la OCDE, el cual se ha mantenido por encima del 2% del PIB durante más de una década.

En torno a la composición del GIDE en el país, la tendencia en años recientes muestra, conforme a sus fuentes de financiamiento, un modelo cada vez más soportado por el sector público y menos participativo por parte del sector privado.

Gráfico 3. Comportamiento del GIDE según el origen de su financiamiento



Fuente: Elaboración propia con cifras de CONACYT 2016: 19. *Otros sectores lo componen: el privado no lucrativo, los hogares y las IES.

Un elemento fundamental en el desarrollo de cualquier economía y en especial de las sustentadas en la CTI es la formación de capital humano, en este sentido, se realizó la siguiente tabla comparativa entre las diferentes entidades federativas, con el objetivo de mostrar las capacidades de formación e impulso de capital humano a nivel superior con las que cuenta cada una de ellas.

Tabla 1. Formación de capital humano a nivel superior por entidad federativa.

Entidad Federativa	Egresados por cada 100 mil habitantes				Distribución % de becas CONACYT nacionales /b	Miembros del Sistema Nacional de Investigadores por cada 100 mil hab./b
	Licenciatura*	Especialidad	Maestría	Doctorado		
Aguascalientes	660.0	39.8	70.6	8.2	0.8	15.3
Baja California	509.9	10.5	71.0	9.4	4.2	23.5
Baja California Sur	410.9	2.1	36.9	6.5	0.8	35.4
Campeche	484.0	12.7	271.0	81.7	0.2	15.2
Chiapas	414.3	7.3	99.1	7.6	1.2	6.0
Chihuahua	510.4	9.4	70.6	7.2	2.0	11.9
Coahuila	514.1	6.7	56.3	5.2	2.2	12.4
Colima	682.3	18.0	79.0	4.4	0.5	28.1
Ciudad de México	898.7	61.4	138.1	12.1	31.5	91.1
Durango	423.0	10.7	73.9	6.7	0.7	10.5
Edo.México	405.8	12.7	59.9	4.7	6.0	9.0
Guanajuato	389.4	11.4	61.1	7.4	3.2	14.8
Guerrero	383.1	0.6	28.6	1.3	0.8	3.2
Hidalgo	589.6	27.7	53.8	1.6	1.1	12.7
Jalisco	476.4	26.5	60.7	7.7	5.8	16.4
Michoacán	385.5	7.0	53.2	4.9	2.9	15.5
Morelos	482.7	11.2	92.7	9.7	3.7	54.3

Nayarit	654.8	22.1	72.1	21.3	0.5	10.1
Nuevo León	504.7	12.1	142.8	15.4	5.4	20.4
Oaxaca	322.2	4.6	32.2	1.2	0.9	7.5
Puebla	531.8	22.1	115.5	12.1	5.0	15.2
Querétaro	674.4	18.1	60.1	3.4	3.2	32.2
Quinta Roo	416.4	0.5	57.4	2.2	0.5	8.9
San Luis Potosí	381.7	9.2	51.8	7.9	2.7	23.1
Sinaloa	747.6	9.9	45.3	8.2	1.9	13.1
Sonora	515.1	0.7	48.9	8.0	2.4	19.6
Tabasco	490.9	21.0	56.2	5.5	0.7	6.9
Tamaulipas	559.4	13.6	64.3	7.7	1.4	6.7
Tlaxcala	436.7	1.4	31.3	8.6	0.7	11.9
Varacruz	445.1	9.0	49.7	4.4	4.0	9.1
Yucatán	618.5	18.1	93.2	5.9	2.2	28.2
Zacatecas	397.7	8.9	46.4	8.3	0.7	12.6

Fuente: Elaboración propia a partir de: a/ Anuarios Estadísticos de la ANUIES; incluye modalidad Escolarizada y no Escolarizada, de sostenimiento Público y Particular, ciclo 2016-2017. b/ CONACYT, Actividades del CONACYT por Entidad Federativa 2016. c/ SEP, Dirección General de Educación Superior, consultado en: http://www.dgesu.ses.sep.gob.mx/Estadisticas_Basicas_de_Educacion_Superior.aspx, ciclo 2016-2017. *Incluye Técnico Superior Universitario, Licenciatura Universitaria y Tecnológica. NOTA: En el cálculo de la tasa por cada 100 mil habitantes se utilizó como fuente INEGI, Encuesta Intercensal 2015.

En torno a la formación de capital humano, las entidades con mayores tasas de egresados a nivel licenciatura por cada cien mil habitantes son: la Ciudad de México, Sinaloa, Colima, Querétaro y Aguascalientes. A nivel posgrado existen diversos cambios, por ejemplo, en especialidad son la Ciudad de México, Aguascalientes, Hidalgo, Jalisco, Puebla y Nayarit las de mayores tasas. En maestría, Campeche, Nuevo León, Ciudad de México, Puebla y Chiapas son las entidades con altas concentraciones de egresados por cada cien mil habitantes. A nivel doctorado, son los estados de Campeche, Nayarit, Nuevo León, Puebla y la Ciudad de México los más destacados en este tipo de tasa.

Con relación a los investigadores e investigadoras miembros del Sistema Nacional de Investigadores (SNI), en el año 2016 se tenía registro que había 23,647 miembros, 54.3% del total de inscritos en el Sistema se agrupó solamente en 5 entidades federativas²: Ciudad de México, Nuevo León, Puebla, Campeche y Querétaro. Todo lo anterior señala que son las entidades con elevados indicadores en cuanto al fortalecimiento de capital humano calificado.

Como parte de la infraestructura para potenciar el desarrollo de este tipo de actividades, el sector público cuenta actualmente con nueve Universidades Federales y treinta y cuatro Públicas Estatales, así como, ciento catorce Universidades Tecnológicas, sesenta y dos Universidades Politécnicas, y varios Centros Públicos de Investigación (CPI) en el país.

La siguiente tabla muestra el número de IES con las que cada estado cuenta, hasta el ciclo 2016-2017 y de carácter público y privado.

Tabla 2. Instituciones de Educación Superior públicas y privadas por entidad federativa³.

Entidad Federativa	Cantidad de IES públicas y privadas	Entidad Federativa	Cantidad de IES públicas y privadas	Entidad Federativa	Cantidad de IES públicas y privadas
Ciudad de México	290	Chihuahua	107	Sonora	66
Edo. México	290	Hidalgo	106	Tabasco	65
Puebla	282	Guerrero	105	Nayarit	63

2 Cifras extraída de: Actividades del CONACYT por Entidad Federativa 2016. Informe General del estado de la Ciencia, la Tecnología y la Innovación

3 Cifras oficiales de la Subsecretaría de Educación Superior 2017, SEP. Consultadas en: <http://www.ses.sep.gob.mx/instituciones.html>

Jalisco	226	Yucatán	95	Quinta Roo	57
Veracruz	203	Baja California	93	Campeche	51
Chiapas	177	Morelos	91	Tlaxcala	49
Guanajuato	168	Oaxaca	90	Zacatecas	49
Nuevo León	151	Querétaro	85	Aguascalientes	46
Michoacán	142	Sinaloa	81	Colima	34
Coahuila	121	San Luis Potosi	69	Baja California Sur	25
Tamaulipas	110	Durango	68		

Fuente: Dirección General de Educación Superior 2017, SEP.

Como parte de las IES, los Centros Públicos de Investigación también juegan un papel importante en torno a la generación de CTI, estos se distribuyen de la siguiente manera:

Tabla 3. Número de Centros Públicos de Investigación

INSTITUCIÓN	CENTROS/PLANTELES	INSTITUTOS	TOTAL
IPN	20		20
CINVESTAV	9		9
UNAM			49
Coord. de Investigación Científica	8	22	30
Coord. de Humanidades	8	11	19
CPI-CONACYT	23	4	27

Fuentes: Elaboración propia con cifras consultadas en:

<http://www.ipn.mx/investigacion/Paginas/directorio-centros.aspx>; <http://www.cinvestav.mx/>;

<https://www.unam.mx/investigacion/institutos-centros-y-programas>;

<https://centrosconacyt.mx/quienes-somos/>

Derivado de la política pública de fomento a la CTI, así como, buscar la interacción entre quienes participan en investigaciones científicas con el aparato productivo nacional, el CONACYT promueve desde el año 2009 el Programa de Estímulos a la Investigación, Desarrollo Tecnológico e Innovación o también llamado Programa de Estímulos a la Innovación (PEI).⁴

Mediante este programa se otorgan subsidios parciales para detonar la inversión en Investigación, Desarrollo Tecnológico e Innovación (IDTI) por parte de las empresas mexicanas (PECiTI 2014-2018). Es decir, por medio del PEI, el CONACYT destina recursos económicos complementarios sobre el monto de un proyecto que genere innovaciones tecnológicas, de productos o procesos y tengan el mayor impacto posible sobre la competitividad de la economía nacional.

Por lo tanto, la dualidad que conforma el PEI, promover la inversión y articular el sector productivo con la academia para desarrollar proyectos de IDTI, supone un instrumento de injerencia dentro del proceso de crecimiento económico del país.

En cuanto a su composición, el programa cuenta con tres modalidades, en las cuales según el tamaño de la empresa y/o la vinculación (se considera el monto presupuestado a las IES / CPI involucrados, así como su número) son determinantes para poder participar.

La primera, llamada INNOVAPYME, proporciona recursos complementarios al invertir en proyectos de innovación tecnológica dentro de micro, pequeñas y medianas empresas con la finalidad de incrementar su competitividad y la creación de nuevos empleos.

Una segunda modalidad de apoyo mediante estímulos económicos públicos es INNOVATEC, y la cual opera solo en empresas grandes, para articular cadenas productivas con actividades de IDTI. En ambas modalidades, se incentiva la generación de patentes sobre sus productos, procesos o servicios y así mejorar la competitividad de las empresas e impactar en la economía de cada entidad federativa (Moctezuma, López y Mungaray, 2017: 137).

La última es PROINNOVA, y su objetivo es impulsar propuestas de desarrollo tecnológico que se presenten en vinculación con al menos dos IES, o dos Centros de

4 En términos presupuestarios, este programa se localiza dentro del Ramo 38 como: "Programas Federales" en el grupo "Subsidios: Sectores Social y Privado o Entidades Federativas y Municipios" bajo la modalidad de "Otros Subsidios".

Investigación (CI) o uno de cada uno, de tal forma que, se puedan desarrollar proyectos mediante flujos de conocimiento, y el trabajo en conjunto lleve a concretar redes de innovación o alianzas estratégicas.

2. Metodología

El presente trabajo es sustentado bajo el esquema de los estudios observacionales, se realiza un análisis integral, construido bajo el paradigma cuantitativo al seguir los patrones de análisis del paradigma Hipotético-Deductivo (Marradi, 2007).

La obtención de los datos utilizados se realizó a partir de bases de datos del Instituto Nacional de Geografía y Estadística (INEGI), Consejo Nacional de Ciencia y Tecnología (CONACYT), Foro Consultivo Científico y Tecnológico (FCCyT), Instituto Mexicano de la Propiedad Intelectual (IMPI), Programa de las Naciones Unidas para el Desarrollo (PNUD) en México, Consejo Nacional de Evaluación de la Política de Desarrollo Social (CONEVAL).

La metodología se basó principalmente en la construcción de dos índices, uno sintético y el otro multidimensional, que fueron utilizados como instrumentos de medición de las condiciones con las que cuentan las entidades federativas.

Como resultados de una revisión exhaustiva de del estado del arte en metodología y métodos para la cuantificación de la CTI, el presente trabajo tomó como base de análisis cuatro pilares principales a partir de los cuales se desagregan los ejes de estudio y a su vez las variables a medir, estos pilares son: I) mano de obra educada y calificada, II) infraestructura de información y comunicación adecuada, III) sistema de innovación eficaz, y IV) régimen económico e institucional conductor del conocimiento y se integran por las siguiente características:

Conforme a esta composición, se desagregaron de forma tal que se pudieran ajustar la mayor cantidad posible de variables para medir e interpretar cada pilar. Todas las variables que tenían relación y de las cuales se tuvieran los datos, pasaron una etapa tratamiento y selección bajo el método de análisis factorial. Las variables recolectadas para los cuatro pilares según sus componentes fueron:

Tabla 4. Principales variables extraídas de las fuentes primarias consultadas.

VARIABLES
<ul style="list-style-type: none"> • Número de Investigadores SNI por entidad federativa • Número de PNPC por entidad federativa. • Número de Becas Nuevas
<ul style="list-style-type: none"> • Centros Públicos de Investigación en el Registro Nacional de Instituciones y Empresas Científicas y Tecnológicas (RENIECYT) • IES en el RENIECYT • Centros Particulares de Investigación
<ul style="list-style-type: none"> • Porcentaje de población en situación de pobreza • Rezago Social
<ul style="list-style-type: none"> • Inversión Extranjera Directa. • PIB por entidad en millones de pesos corrientes. • Gasto programable del sector público presupuestario por entidad federativa. • Empleo (Tasa de participación económica) • Exportación de mercancías
<ul style="list-style-type: none"> • Número de Laboratorios nacionales • Solicitudes de invenciones por entidad federativa • Empresas en el RENIECYT
<ul style="list-style-type: none"> • Porcentaje del presupuesto Estatal destinado a CTI. • Proyectos impulsados por el PEI. • Proyectos en Fondo Sectorial de Innovación (FINNOVA). • Cuenta con: Ley Estatal de CyT, Consejo de CyT y/o Secretaría de CTI
<ul style="list-style-type: none"> • Porcentaje de viviendas con Computadora. • Porcentaje de viviendas con Internet. • Porcentaje de viviendas con teléfono celular

Fuente: Elaboración propia.

Al mismo tiempo, fue indispensable establecer ejes de análisis mediante la agrupación de variables para que se pudiera explicar mejor cada constructo que se propone. Esto dio como resultado, un modelo analítico donde pudiesen coexistir las condiciones óptimas necesarias para impulsar y desarrollar la CTI en todas las entidades federativas, los ejes de análisis son : 1.- Entorno económico, 2.- Entorno Innovador, 3.- Uso de las TIC's, 4.- Infraestructura para la formación de CH y transmisión del conocimiento, 5.- Fortalecimiento de capital humano (CH), 6.- Impulso y Apoyo Institucional, 7.-Entorno Social.

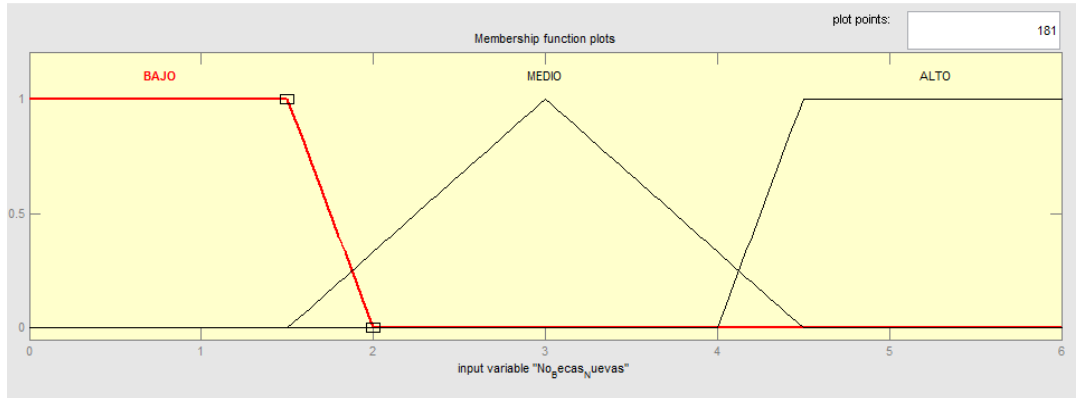
Es pertinente hacer mención que se integró un eje que no aparece en los pilares antes mencionados “el entorno social”. Esto tiene que ver con uno de los intereses de esta investigación, conocer mediante los resultados de los índices cómo se comporta este eje a nivel nacional.

El cálculo de los dos índices se materializó en uno sintético y uno multidimensional construido a partir de los elementos de la teoría de la lógica difusa ⁵, el cálculo del índice multidimensional se realizó bajo la construcción de un sistema difuso construido para la integración y cálculo para las entidades federativas.

El sistema difuso se integró de las funciones de pertenencia y sus respectivos conjuntos para el análisis de cada variable. Para el diseño, se recurrió a la ayuda del programa computacional Matlab, en la caja de herramientas llamada fuzzy, y ahí tomaron la siguiente forma:

5 Para tener mayor detalle sobre la teoría de la lógica difusa, uso y aplicación en el análisis de fenómenos sociales y en la evaluación de políticas públicas se puede revisar 1) Flores Payán, Lucio (2016). Cuantificación del desempeño económico de los gobiernos locales en México. *Región y Sociedad*, vol. XXVIII, núm. 66, mayo-agosto, 2016: 295-320. El Colegio de Sonora, Hermosillo, México. 2) Flores Payán, Lucio y Vallejo, J. Refugio (2015). Evaluación de políticas y programas sociales mediante lógica difusa. *Nóesis. Revista de Ciencias Sociales y Humanidades*, vol. 24, núm. 47, enero-junio, 2015: 82-113 Instituto de Ciencias Sociales y Administración. Ciudad Juárez, México. 3) Flores L., y Salas I. (2018). Las brechas de género en la calidad del empleo en. Una valoración basada en modelos de lógica difusa. *Análisis Económico*. vol 30. núm 75.

Figura 1. Ejemplo de diseño de un conjunto difuso en Matlab para una variable



Fuente: Elaboración propia.

Posterior al diseño de los conjuntos, para poder representar la relación entre variables se utilizaron tablas de verdad. Esta es la mejor forma para indicar las reglas que debe ejecutar al software para cada variable. Fue así que, mediante tres reglas de entrada, Bajo, Medio y Alto, se obtuvieron cinco de salida: Favorable, Aceptable, Regular, Malo y Muy Malo.

Tabla 5. Ejemplo de tabla de verdad para el EJE 1

EJE 1 Fortalecimiento de Capital Humano											
Número de SNI (BAJA)			Número de SNI (MEDIO)				Número de SNI (ALTA)				
Número de PNPC	BAJA	Número de Becas		Número de PNPC	BAJA	Número de Becas		Número de PNPC	BAJA	Número de Becas	
		B	MM			B	MM			B	MM
		M	MM			M	M			M	M
	A	M	A		M	A	M				
	MEDIA	Número de Becas			MEDIA	Número de Becas			MEDIA	Número de Becas	
		B	M			B	R			B	R
		M	R			M	R			M	R
	A	R	A		R	A	A				
	ALTA	Número de Becas			ALTA	Número de Becas			ALTA	Número de Becas	
B		A	B	A		B	A				
M		A	M	A		M	F				
A	F	A	F	A	F						

F = Favorable A = Aceptable R = regular M = malo MM = muy malo

Fuente: Elaboración propia.

Bajo estas reglas, se transforman los valores y se puede ver el efecto de la relación entre variables para cada eje en forma de un índice. Al tener los valores expresados como índice para cada eje, se colocaron en la misma tabla que los resultados obtenidos en el índice sintético.

El cálculo del índice sintético se realizó mediante el uso de una función condicionante de tipo “si entonces” para cada valor correspondiente a cada variable se multiplicó por un factor ponderado, éste según el criterio donde fue incluido. La función utilizada bajo la codificación de excel es del tipo:

=SI (CELDA<=CANTIDAD MENOR, CELDA*0, SI (CELDA<=CANTIDAD MAYOR, CELDA*0.5, SI (CELDA>CANTIDAD MAYOR, CELDA*1, n)))

Esta función fue utilizada para todas las variables, excepto para Rezago Social y Población en situación de pobreza (Eje de Entorno Social) ya que sus valores en la medida que aumentaban tendrían que ser ponderadas con una cantidad menor, por lo tanto, se puede decir que la ejecución de la función para este par de variables fue de forma inversa.

Para el cálculo del índice sintético se utilizó una hoja de trabajo en Excel. Como primer paso, fue tener de manera ordenada la información de las variables que constituyen cada eje para cada entidad federativa. De esta forma, se pudo sacar el porcentaje que le corresponde a cada entidad federativa. Según su resultado, se fueron incorporando en alguno de los tres criterios de ponderación sobre una escala de 0 a 1. De igual forma, en las variables que se introdujeron como porcentajes e índices fue tomado su promedio para la colocación en alguno de los criterios previamente establecidos.

3. Resultados y Discusión

Los resultados son presentados de acuerdo con los 7 ejes planteados, con la intención de caracterizar la condición de estos ejes en las diferentes entidades federativas.

3.1. Fortalecimiento de Capital Humano (Eje 1)

Para este primer eje, el índice sintético muestra que la entidad con mejores condiciones para fortalecer el capital humano es la Ciudad de México (CDMX), pues concentra altos niveles de programas inscritos en el PNPC, un significativo número de miembros del SNI y Becas en apoyo a niveles de posgrado. Seguido de esta entidad, podemos apreciar un grupo conformado por Jalisco, Nuevo León, Estado de México, Puebla, Veracruz, Baja California y Guanajuato,

cuyos niveles en las variables antes mencionadas, generan un entorno aceptable y como opciones alternativas a la CDMX.

Figura 2. Mapa de resultados del índice sintético para el Eje 1



Fuente: Elaboración propia.

Con respecto al grupo de entidades (14 en total) que se encuentra muy por debajo de las que obtuvieron mejores resultados, señalan no solo una marcada diferencia en términos de la escases de un entorno de este tipo, sino que su alejamiento es tan pronunciado que denota la inexistencia de una base de capital humano propensa a ser fortalecida.

La interpretación del índice difuso es más amplia, es decir, coloca como un solo grupo a las entidades mencionadas en el índice sintético. Aquí se puede apreciar la asignación de valores de pertenencia que dan como resultado un mejor equilibrio en cuanto a las entidades con mejores condiciones en el eje planteado.

Así mismo, eleva a entidades como Morelos y San Luis Potosí a un rango que se pueden considerar como alternativas. Muestra también que Aguascalientes deja de ser del grupo con

rango más bajo, esto habla nuevamente de los límites en los que se quedan ciertas entidades y que la lógica tradicional las consideraría como estáticas. Por otra parte, ambos índices coinciden en la deficiencia de este entorno en casi toda (excluyendo Veracruz y Yucatán) la región sureste del país.

Figura 3. Mapa de resultados del índice difuso para el Eje 1



Fuente: Elaboración propia.

3.2 Infraestructura para formación de Capital Humano (CH) y transmisión de conocimiento (Eje 2)

En el caso del segundo eje, se replica la situación del eje anterior. Una centralización de las mejores condiciones en este entorno en la CDMX y la formación de un grupo con entidades secundarias, arriba nombradas, Jalisco, Nuevo León, Estado de México, Puebla y Guanajuato. En relación al grupo (13 entidades) que se encuentra en un rango aún menor, revelan una condición de carácter medio, es decir, cuentan con algunos centros de investigación, ya sean públicos o privados y algunas IES inscritas en el RENIECYT.

En cambio, las otras trece entidades que se encuentran en deficiencias de infraestructura, se localizan de forma muy dispersa, lo que hace ver que a diferencia del entorno anterior, no necesariamente por ser el sur sureste se tiene implícita esta carencia, sino que es un problema que atañe a otras entidades sin importar su ubicación geográfica.

Figura 4. Mapa de resultados del índice sintético para el Eje 2



Fuente: Elaboración propia.

Los resultados obtenidos mediante el índice difuso, también guardan cierta similitud con el eje uno. De nuevo, se puede hablar de un grupo de entidades que se ubica a la par con la CDMX. Además, suben de nivel las entidades de Morelos, Michoacán y Veracruz, como regiones con potencial en las condiciones que conforman este entorno de infraestructura.

En consecuencia y por obvia razón, disminuye el número de entidades que se encontraban en un rango que tiene como límite la escala intermedia en el índice sintético. No obstante, continúa un grupo de trece entidades con insuficiencias entorno a formar capital humano y transmitir conocimiento.

Sobre este último grupo, y con respecto al índice sintético, sube de rango el estado de Oaxaca y disminuye Tabasco. La disminución de rango obedece a que en el índice difuso no basta con tener una variable con una cifra aceptable y esto ayude a mantenerse en un rango, en otras palabras, el índice difuso está en función de la relación de las variables que componen el eje, así que su resultado es proporcional y más equilibrado.

Figura 5. Mapa de resultados del índice difuso para el Eje 2



Fuente: Elaboración propia.

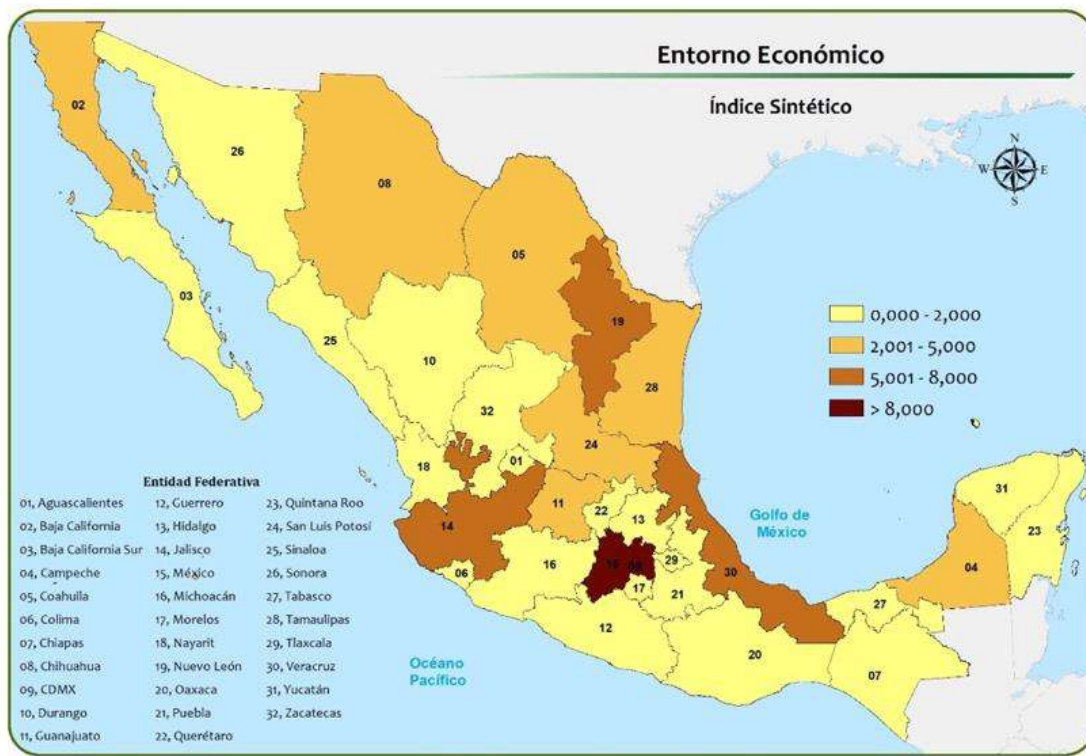
3.3. Entorno económico (Eje 3)

En el eje referente al entorno económico, el índice sintético refleja una fuerte concentración de capacidad económica tan solo en la región centro del país (CDMX y Estado de México). En un segundo plano se encuentran las entidades de Nuevo León, Jalisco y Veracruz.

Por debajo de éstas, Baja California, Chihuahua, Coahuila, Tamaulipas, San Luis Potosí, Guanajuato y Campeche, son entidades que cuentan con una condición de este tipo que va de lo regular a lo bajo.

Pero lo que sí es de llamar la atención, es como el resto de la República se sitúa en un rango mínimo en términos económicos, poca Inversión Extranjera Directa, su PIB es porcentualmente bajo en comparación con los primeros lugares de este eje y algunas tienen un aporte al PIB nacional casi marginal, y que decir de su Gasto Programable, es poco significativo si se equipara con los de otros gobiernos estatales.

Figura 6. Mapa de resultados del índice sintético para el Eje 3



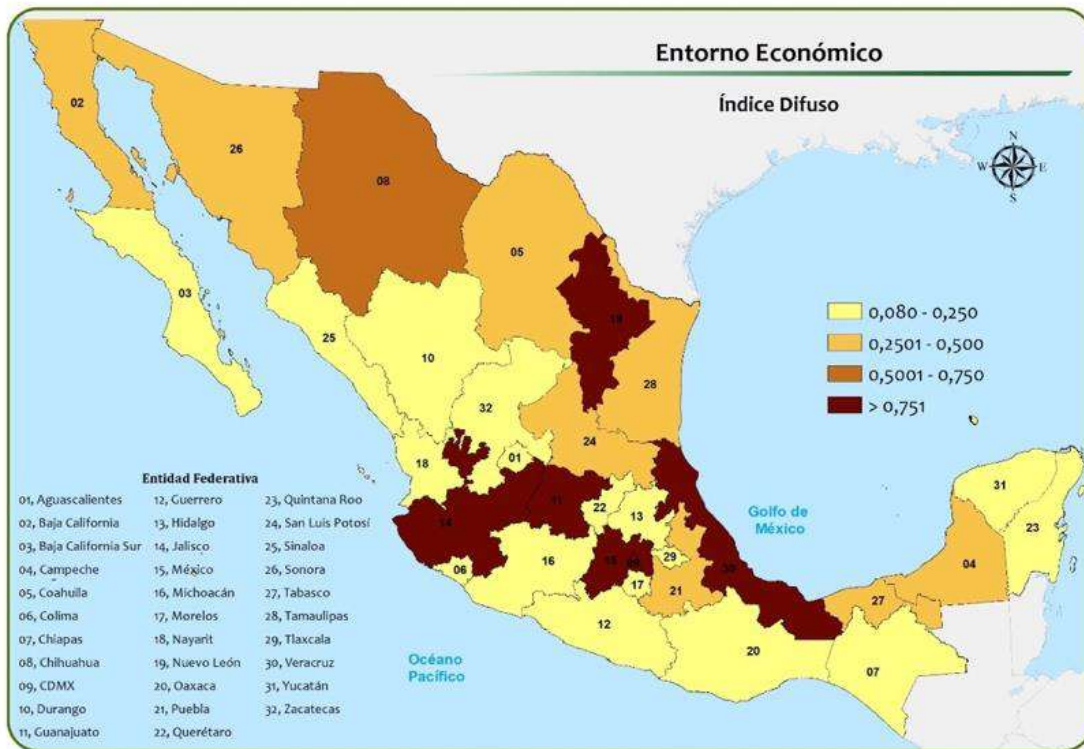
Fuente: Elaboración propia.

El índice difuso ofrece una perspectiva diferente en cuanto a las entidades con capacidades económicas importantes. Se incorporan al nivel más alto, junto con la CDMX y el Estado de México, estados como Jalisco, Nuevo León, Veracruz y Guanajuato.

También es claro el aumento de Chihuahua a la siguiente escala de medición, como ejemplo de que cuenta con condiciones económicas atractivas. Con excepción de Puebla, Sonora y Tabasco que también entran a otra categoría, ambos índices coinciden en que más de la mitad

de la República (diecisiete entidades) arrojan niveles muy bajos en materia económica, en consecuencia, no ofrecen un ambiente propicio donde se puedan aprovechar las variables involucradas para detonar actividades relacionadas con la CTI.

Figura 7. Mapa de resultados del índice difuso para el Eje 3



Fuente: Elaboración propia.

3.4. Ejes restantes

Los resultados obtenidos en los ejes subsecuentes se presentan a manera de tabla resumen para una valoración y comparación entre ambos de forma práctica.

Tabla 6. Resultados y comparación entre índices para los ejes restantes

Eje	Resultados índice sintético	Resultados índice difuso	Diferencias/similitudes
4.-Entorno innovador	<p>Este índice ubica a CDMX, Nuevo León y Jalisco como las entidades más innovadoras.</p> <p>Estado de México, Querétaro y Guanajuato en un segundo plano.</p> <p>Michoacán, Morelos y Puebla en condiciones regulares.</p> <p>El resto de las entidades se ubican en un nivel muy bajo.</p>	<p>Con el máximo nivel está: CDMX, Estado de México, Puebla, Guanajuato y Nuevo León.</p> <p>Solo Querétaro y Jalisco están como entidades con rango por debajo al más alto.</p> <p>Con un entorno regular: Coahuila, Chihuahua, Morelos, Michoacán y Yucatán.</p> <p>El resto de la república en un nivel muy bajo en cuanto a este eje.</p>	<p>El índice sintético centraliza a la CDMX, Nuevo León y Jalisco como los únicos estados para llevar a cabo procesos de innovación.</p> <p>El difuso incluye a otras entidades con entornos óptimos, sin embargo, coloca a Jalisco en un nivel menor junto con Querétaro.</p> <p>Ambos índices señalan alrededor de 20 entidades con carencias en sus condiciones para desarrollar un entorno innovador.</p>
5.- Entorno social	<p>Entidades con mejores condiciones sociales: Morelos, Estado de México, Guanajuato, San Luis Potosí, Zacatecas, Nayarit Durango, Coahuila, Baja California Norte y Sur, Campeche y Yucatán.</p> <p>Le siguen Sonora, Chihuahua, Sinaloa, Nuevo León,</p>	<p>La CDMX, Yucatán, Querétaro, toda la región norte y buena parte de la centro norte (excepto S.L.P. y Zacatecas) en condición favorable.</p> <p>En un nivel aceptable, se cuenta con: Estado de México, Morelos, Tlaxcala, Tabasco,</p>	<p>El índice sintético no muestra ninguna entidad en el rango de condición regular.</p> <p>El índice difuso brinda más entidades en condiciones sociales favorables. Además, sube a otro nivel a Querétaro, Tlaxcala, Hidalgo y Puebla, estos</p>

	<p>Tamaulipas, Aguascalientes, Jalisco, Colima, Querétaro, CDMX y Quintana Roo.</p> <p>Un entorno muy bajo lo tienen: Michoacán, Hidalgo, Tlaxcala, Puebla, Guerrero, Veracruz, Oaxaca, Chiapas, Tabasco.</p>	<p>Campeche, Yucatán, SLP y Zacatecas.</p> <p>En un entorno social muy desfavorecido se encuentra: Michoacán, Guerrero, Veracruz, Oaxaca, Chiapas.</p>	<p>dos últimos los coloca en un nivel regular.</p> <p>Baja a las entidades de: Yucatán, Campeche, Morelos, Estado de México, San Luis Potosí y Zacatecas, todas ellas ubicadas en el nivel más alto del índice sintético.</p> <p>Hay coincidencias en entidades con condiciones sociales muy bajas.</p>
6.- Apoyo institucional	<p>Con un apoyo favorable se encuentra la CDMX y Jalisco.</p> <p>Hay un conjunto en un nivel de apoyo regular, formado por: Chihuahua, Coahuila, Nuevo León, Querétaro, Puebla y Yucatán.</p> <p>Los demás estados se ubican en un nivel de muy poco a poco apoyo institucional.</p>	<p>Jalisco y Yucatán cuentan con un entorno favorable.</p> <p>En un rango aceptable: CDMX, Querétaro, Guanajuato, Nuevo León y Coahuila.</p> <p>En entorno regular está: Baja California, Sinaloa, Chihuahua, Tamaulipas, Estado de México, Morelos y Puebla.</p>	<p>El estado mejor posicionado por ambos índices es Jalisco.</p> <p>En el índice sintético no existe un conjunto de entidades que se encuentren posicionadas en un nivel aceptable.</p> <p>El índice difuso coincide con el índice sintético en 18 entidades en el rango más bajo.</p>

<p>7.- Uso de las TIC's</p>	<p>Con los mejores resultados: CDMX, Nuevo León, Sonora, Baja California Norte y Sur.</p> <p>En un nivel aceptable se encuentra: Aguascalientes, Colima, Jalisco, Nayarit, Coahuila, Chihuahua, Sinaloa, Tamaulipas, Querétaro, Yucatán y Quintana Roo.</p> <p>Oaxaca y Chiapas con los peores resultados.</p>	<p>A excepción de Sinaloa, toda la región norte del país, Jalisco, Aguascalientes, Querétaro, CDMX, Colima y Quintana Roo, tienen una condición favorable.</p> <p>Las entidades con condición aceptable: Yucatán, Campeche, Estado de México, Morelos, Guanajuato, Nayarit, Sinaloa y Durango.</p> <p>Con mayor rezago en este eje: Hidalgo, Guerrero, Oaxaca y Chiapas.</p>	<p>El índice difuso amplía el número de entidades con una condición favorable en el uso de las TIC's.</p> <p>Los dos índices arrojan un grupo dentro del rango que va de un nivel bajo a lo regular, conformado por: Zacatecas, San Luis Potosí, Michoacán, Tlaxcala, Puebla, Veracruz y Tabasco.</p> <p>Hay coincidencias en Oaxaca y Chiapas con condiciones escasas.</p>
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Fuente: Elaboración propia.

Conclusiones

Es evidente la insistencia por parte de organismos internacionales de aumentar la generación de conocimiento, así como la incorporación de la Ciencia, Tecnología e Innovación (CTI) en los planes y políticas de los gobiernos, con el objetivo de obtener niveles de desarrollo social y económico sostenidos.

En México, la rectoría de las políticas públicas para el desarrollo está fuertemente centralizada en el Estado, debido en gran parte, a su tradición estatista y tecnócrata para abordar

y solucionar problemas públicos. Este ha sido el caso en el tema de la CTI, ya que su intervención obedece a solventar fallas de mercado y de información asimétrica que no permiten su aumento e impulso en los sectores productivos. En este sentido, el impulso a la CTI se considera una estrategia hacia el crecimiento económico, y por tal motivo, se encuentra en la agenda política del país y en los planes de desarrollo de las entidades federativas.

Inscrito en estos planes, el proceso para desarrollar CTI queda bajo la intervención y relación de diversos agentes, que al mismo tiempo, conforman un Sistema. Esta diversidad de agentes y la búsqueda constante de su articulación, hacen que dicho sistema se vuelva complejo de coordinar y desarrollar.

Por tal motivo, el gobierno ha implementado políticas de CTI ligadas de forma directa al problema de la productividad y competitividad en los sectores productivos. Un aspecto fundamental de estas políticas que promueve el Gobierno Federal, es el que gira en torno al financiamiento. Uno de los principios en los que se basa este mecanismo, es aumentar las capacidades de capital humano e infraestructura para desarrollar actividades de investigación, desarrollo tecnológico e innovación.

Pero a pesar de los esfuerzos gubernamentales no se ha logrado llegar a la meta de un financiamiento público equivalente al 1% del PIB como lo señala la Ley de Ciencia y Tecnología. Esto conlleva afectaciones relacionadas a la generación de CTI, porque el no poder mantener un ritmo sostenido de inversión, durante periodos de recorte presupuestal o incertidumbre económica, las condiciones previamente adquiridas, así como los procesos de vinculación entre agentes, se pueden ver frenados por la falta de recursos económicos.

El presente trabajo ha evidenciado que el financiamiento debe ir acompañado de capital humano altamente calificado, es decir, no solo contar con una cuantiosa base de individuos, sino que su formación y fortalecimiento les permita aumentar la capacidad de generar ideas para desarrollar CTI y transmitir conocimiento, sobre todo hacia los sectores productivos. Esto puede convertirse en el largo plazo en un círculo virtuoso, ya que la mejora en la tecnología incrementa la productividad del propio el sector que hace investigación.

No obstante, son muy pocas entidades federativas que cuentan con capital humano formado a nivel superior (desde licenciatura hasta doctorado) y con las condiciones necesarias

para su fortalecimiento. En términos absolutos, las entidades que sobresalen en este sentido, encabezadas por la CDMX son: Estado de México, Puebla, Nuevo León, Jalisco y Veracruz.

En términos de infraestructura, las entidades federativas antes nombradas, cuentan con un número importante de IES tanto públicas y privadas. Con respecto a los CI, los más grandes y de mayor prestigio se encuentran concentrados en la CDMX, o por lo menos la matriz, ya que se han creado algunas sedes fuera de este estado. Esto posibilita a dichas entidades, a contar con mejores condiciones para desarrollar actividades de investigación, desarrollo tecnológico e innovación (IDTI) y por otro lado, genera grandes diferencias con el resto del país, en el sentido de complicar su avance hacia el desarrollo de CTI para sus regiones.

Es evidente el avance en terminos del objetivo de la Política de innovación conjunta la cual busca un mayor acercamiento entre agentes y estimular la inversión para acelerar la incorporación de los sectores productivos en los mercados globales mediante la producción de bienes y servicios con mayor valor agregado. Pese a esta gran intención, la composición del GIDE muestra que existe un “efecto desplazamiento” es decir, el sector privado ha disminuido la inversión en CTI conforme aumenta la del sector público.

Con relación a PEI se hace visible que en el tiempo de su implementación la inversión del sector privado ha sido menor que la pública. A partir del argumento de que el conocimiento es una materia prima muy valiosa y que al incorporarla a la producción de bienes y servicios, éstos mejorarán, el esquema de complementariedad planteado en este programa, bajo el supuesto principal de la teoría de la dependencia de los recursos, no logra adecuarse a tal, porque una de las partes asume mayor riesgo durante el complejo proceso de innovación.

No cabe duda que el PEI ha beneficiado un buen número de empresas, principalmente pequeñas y grandes empresas. De los proyectos apoyados, la modalidad PROINNOVA ha sido la más recurrente. Empero, la mitad de estos proyectos en vinculación fueron realizados por tan solo diez IES, otro 30% fue en conjunto con también diez CI. Las organizaciones académicas que destacan en la captación de un mayor número de proyectos en conjunto con empresas se encuentra, el ITESM y la UANL, conocidos por sus fuertes lazos con el sector empresarial; la UNAM, el CINVESTAV y el IPN, por su prestigio y concentración de los mejores científicos del país. En cuanto a los CI, el CIATEQ y el CIMAV han fungido como las principales organizaciones

que se vinculan con mayor frecuencia por su alta especialidad en desarrollar tecnología. En consecuencia, la implementación del PEI arroja una alta concentración de proyectos apoyados en: Nuevo León, Ciudad de México, Estado de México, Jalisco y Guanajuato. Un dato adicional que se expuso y que respalda esta centralización de proyectos en conjunto con IES y CI, es el hecho de que en una tercera parte de la república mexicana se desarrollaron el 60.7% de todos los proyectos.

Los resultados del análisis mediante la caracterización de los entornos que se pueden considerar necesarios para un mayor impulso de la CTI, expusieron de forma general, las entidades que cuentan con las mejores condiciones. Los dos primeros ejes relacionados con el capital humano, la infraestructura para su formación y su fortalecimiento, señalan en ambos índices, que la CDMX, Jalisco, Nuevo León, Estado de México, Puebla, Veracruz, Baja California y Guanajuato son las entidades con entornos que van de lo aceptable a lo favorable. En el tercer eje, con excepción de Puebla y Baja California, son las mismas entidades que tienen un entorno económico aceptable o favorable.

Ambos índices ponen a la CDMX, Nuevo León y Jalisco, el difuso agregaría también a Querétaro, como únicas entidades con entornos para llevar a cabo innovación. Lo que si llama la atención es como en veinte entidades, en promedio, carecen de condiciones para que sean considerados en éste entorno. De igual forma sucede con el eje cinco, donde ambos índices coinciden en que Michoacán, Guerrero, Veracruz, Oaxaca y Chiapas (el sintético agregaría a Hidalgo y Tlaxcala) son estados que cuentan con un entorno social muy desfavorecido.

El número seis, indica que mediante el uso de ambos índices son las mismas entidades de los ejes del uno al tres con mejores entornos, y coinciden en que casi una veintena de entidades tienen niveles muy bajos de apoyo institucional. Para el último eje, gran parte del país tiene alcance a las tecnologías de la información y comunicación, pero si hay una marcada diferencia de uso con entidades como: Hidalgo, Guerrero, Oaxaca y Chiapas, si tomamos el resultado del índice difuso, mismas entidades que se repiten en las escalas más bajas de los ejes anteriores.

El uso de la lógica difusa en el presente trabajo permitió profundizar en el análisis de la caracterización realizada, se pudo observar mediante una técnica diferente un enfoque más apegado a la realidad, en el sentido de la subestimación y sobreestimación de los entornos

planteados. Gracias a la construcción de un índice difuso, se facilitó la interacción de las condiciones con las que cuentan las diversas entidades federativas para conformar sus entornos, y a su vez, al contrastarlo con otro instrumento de medición sirvió para validar su uso, ya que compartieron algunas similitudes en un tema tan complejo como el de la CTI.

Cabe enfatizar que, el PEI como instrumento de política pública denota la existencia de contadas IES y CI que logran vincularse con el sector empresarial, lo anterior es muestra de las diferencias muy marcadas entre organizaciones. Los resultados del PEI en suma con el análisis de caracterización, dejan en claro la gran desigualdad que prevalece entre entidades, ya que solo algunas terminan por ofrecer condiciones adecuadas para impulsar la CTI.

Con todo lo descrito hasta el momento, quizás tenga sentido replantear si es adecuado el actual modelo de financiamiento a la CTI, soportado en gran medida por el sector público, o si es correcto seguir promoviendo este tipo de incentivos. Lo que si se vuelve una necesidad imperativa, es plantear nuevos mecanismos en materia normativa e institucional para lograr acuerdos y asociaciones firmes entre el sector público y el privado en temas referentes al capital de riesgo, estímulos fiscales u otros, que permitan llevar a cabo objetivos claros y en común, para que la contribución de la CTI sea en pro del desarrollo económico del todo el país y no solo de algunas regiones.

El principal objetivo de la política en los estados debería estar enfocado a fomentar los vínculos entre los agentes locales bajo sus propias condiciones, es decir, conocer sus propios alcances. A partir de ello, diseñar programas diferenciadores con respecto a sus entornos e implicaciones en materia de crecimiento económico, bienestar social, productividad y competitividad empresarial. Además, es necesario que sean evaluados sus efectos e impactos en todos sus entornos y que no sean solo objetivos o metas dentro de los términos de referencia o reglas de operación de los programas.

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Cuarentena social en el contexto del COVID-19: Una mirada desde la perspectiva de docentes universitarias eméritas

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RESUMEN

El objetivo de la investigación fue describir los significados construidos por cinco docentes universitarias eméritas de la Universidad del Zulia en Maracaibo-Venezuela, respecto a la experiencia vivida con motivo de la cuarentena social, en el contexto de la pandemia por COVID-19. Se trata de una investigación cualitativa, desde la perspectiva fenomenológica. Los hallazgos se centran en dos temas: el primero referido al contexto de la cuarentena social en el país; y el segundo, a las experiencias vividas durante esta. Emergieron dos categorías: *La cuarentena en Venezuela, es diferente a la de otros países*; y *la afectación de la cuarentena social*. Se concluye que la categoría central emergente “*La cuarentena en Venezuela, es diferente a la de otros países*” en el contexto de la pandemia por COVID-19, resultó de interés conceptual para la comprensión del fenómeno estudiado, ya que reflejó la superposición de dos condiciones: la crisis humanitaria compleja y la pandemia misma; por lo que la cuarentena social tuvo un impacto multidimensional negativo, que afectó además de las ya deterioradas condiciones materiales de vida, también lo socio-emocional, y valores como la libertad, la paz, la convivencia intrafamiliar, todo ello con base a los significados construidos por las informantes clave.

PALABRAS CLAVE: pandemia; COVID-19; personal académico docente; Venezuela.

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Social quarantine in the context of COVID-19: A look from the perspective of emeritus university professors

ABSTRACT

The objective of the research was to describe the meanings constructed by five emeritus university professors from the University of Zulia in Maracaibo-Venezuela, regarding the experience lived on the occasion of the social quarantine, in the context of the COVID-19 pandemic. It is a qualitative investigation, from a phenomenological perspective. The findings focus on two issues: the first refers to the context of social quarantine in the country; and the second, to the experiences lived during this. Two categories emerged: The quarantine in Venezuela is different from that of other countries; and the impact of social quarantine. It is concluded that the emerging central category "The quarantine in Venezuela is different from that of other countries" in the context of the COVID-19 pandemic, was of conceptual interest for understanding the phenomenon studied, since it reflected the overlap of two conditions: the complex humanitarian crisis and the pandemic itself; Therefore, the social quarantine had a negative multidimensional impact, which affected, in addition to the already deteriorated material living conditions, also the socio-emotional, and values such as freedom, peace, family coexistence, all based on the meanings constructed by key informants.

KEYWORDS: Pandemics; COVID-19; academic teaching personnel; Venezuela.

Introducción

Actualmente en el mundo entero, aun se viven momentos de inquietud e incertidumbre con respecto a la pandemia producto del virus Sars-Cov-2, responsable de la enfermedad COVID-19 (por sus siglas en inglés). A finales de febrero 2020, las cifras alcanzadas de personas contagiadas, condujo a que la mayoría de los países del mundo tomaran iniciativas estratégicas para neutralizar el contagio masivo, es decir, intentar frenar su propagación y su alto impacto negativo tanto en los miembros de la sociedad, como en la estructura del sistema de salud de los respectivos países, debido a la demanda por los altos porcentajes de infectados.

Cabe destacar que el descubrimiento de los coronavirus, data de la década del 60, como un tipo de virus en cuya imagen se visualiza una corona a su alrededor; sin embargo, este "nuevo coronavirus es una cepa particular que no había sido identificada previamente en

humanos” (OMS, 2020). Al principio, se señaló que el contagio era por medio de los animales como fuente de infección humana; luego por el contacto físico, después que también podía ser por vía aérea; a pesar de esto, para ese momento se destacó que “existe muy poca información sobre la transmisión, gravedad e impacto clínico, con solo unos pocos casos notificados hasta el momento” (OMS, 2020b). Lo que sí ha estado claramente precisado es que, sin lugar a dudas, el COVID-19 es una enfermedad de alto contagio que surgió en Wuhan - China y ha alcanzado proporciones globales desde que fue reconocido por parte de la OMS.

La OMS (2021), sigue advirtiendo entre los síntomas más frecuentes del COVID-19: fiebre, dolor de cabeza, tos y cansancio; entre los menos frecuentes: dolores y molestias, dolor de garganta, diarrea, conjuntivitis, pérdida del gusto o el olfato, sarpullido en la piel o decoloración de los dedos de las manos o pies: y, entre los graves: dificultad para respirar o disnea, dolor u opresión en el pecho y la pérdida del habla o del movimiento. Es importante destacar los casos de personas que aun dando positivo para el virus en las pruebas del laboratorio, no presentaron ningún síntoma, lo que es conocido como una infección asintomática. Al inicio se reportaba que atacaba y podía generar situaciones de salud más delicadas, principalmente a la población de alto riesgo o vulnerables como personas mayores, personas inmunocomprometidas, personas inmunodepresivas o con afecciones crónicas, tales como: diabetes mellitus, insuficiencia renal, cáncer, o neumopatía crónica (OMS, 2020).

En este contexto, esta organización definió cuatro situaciones de la transmisión: ausencia de casos, casos esporádicos, conglomerados de casos y transmisión comunitaria, y enfatizó que “a medida que evolucione la pandemia, los países o zonas pasarán de una situación de transmisión a otra (en cualquiera de las direcciones) y podrán experimentar rebrotes de casos intercalados con períodos con un nivel bajo de transmisión” (OMS, 2020).

Diversas han sido las situaciones de incertidumbre y efectos generados en las personas y grupos familiares, con motivo de la cuarentena social como la estrategia para evitar el contagio masivo del mencionado virus e incluso en las organizaciones e instituciones de educación en todos los subsistemas. A ello hay que sumarle situaciones de vulnerabilidad en países en desarrollo que evidencian desigualdades sociales en diversas áreas, tales como: educación, culturales, empleo, y salud, entre otros.

Venezuela se ha caracterizado en las últimas décadas por un profundo estatismo, endeudamiento externo, devaluación de la moneda, incremento de la importación de productos y una ampliación del mercado del trabajo informal (Carrillo, 2018); así como altos índices inflacionarios, que según cifras oficiales del Banco Central de Venezuela (BCV) solo en el acumulado de los meses de enero a julio de 2020, la inflación fue de 184,5; estadísticas no oficiales reportan cifras cercanas al 10.000% en el 2019 (Daniels, 2020). Lo que condujo a la declarativa de “Emergencia Humanitaria Compleja” (Richter y Stephany, 2021), de tal manera que en la situación de la pandemia por COVID-19, los países con características y condiciones económicas y sociales frágiles como las descritas, tendrían un impacto negativo aún mayor en la calidad de vida de su población, profundizando las inequidades sociales.

De tal manera que, Venezuela en el contexto de la pandemia por covid-19, se encontraría en una situación de mayor vulnerabilidad como país que vive una crisis humanitaria, que se expresa en un elevado nivel de pobreza, condiciones insalubres, con una población infantil y adulta en estado de malnutrición y, sistemas de salud deficientes y fragmentados (Serrano, 2021), por lo que la pandemia se superpone a una crisis ya existente que ha afectado aún más el estado de deterioro no solo de la salud, sino la alimentación y nutrición de la población “en un marco de continuo detrimento social, económico, institucional y político, que no contribuye a mejorar el bienestar de las personas” (Landaeta et al. cp. Herrera-Cuenca, 2021)

Ante esta compleja trama social, se evidencia la necesidad de esta investigación, que no solo describe si no que intenta aproximarse a la comprensión y explicación de la realidad vivida por un sector de la sociedad como lo es el docente universitario emérito y adulto mayor, que vive en unas condiciones socio-económicas que se expresan en el deterioro del poder adquisitivo para satisfacer las necesidades básicas esenciales, bajas remuneraciones económicas, pérdida de la previsión y seguridad social, entre otros, conduciéndoles a una movilidad social descendente (Comisión Económica para América Latina y el Caribe, 2020), hacia niveles casi de subsistencia, al punto de impactar su calidad de vida; situación que no está alejada ni es diferente a la que viven otros profesionales y el resto de los miembros de la sociedad venezolana.

El objetivo de la investigación fue describir los significados construidos por cinco docentes universitarias eméritas de la Universidad del Zulia, en Maracaibo-Venezuela, respecto a la experiencia vivida en la cuarentena social, en el contexto de la pandemia por COVID-19.

1. Estrategias de salud pública para minimizar el contagio

La OMS (2020), estableció para todos los países algunas estrategias de salud pública y social como medidas de contención o prevención de la propagación de la enfermedad contagiosa. Es necesario precisar algunas diferencias y distinciones sobre estas. Se tiene que:

La *cuarentena*, tiene como objetivo prevenir o evitar la propagación de la enfermedad en el momento en que las personas empiezan a presentar síntomas. Consiste en la separación e implementación de algunas restricciones del desplazamiento y las actividades -por un tiempo determinado- de las personas que no están enfermas pero que están en riesgo de un potencial contagio (Sánchez-Villena y De La Fuente-Figuerola, 2020; Hawryluck, Robinson, Galea, citado por: Broche-Pérez et al, 2020), en este caso, pueden haber estado expuestas al COVID-19. El establecimiento de esta efectiva estrategia es de estricto cumplimiento, por parte de las personas que deben estar o permanecer en un determinado espacio-lugar en tanto el período de incubación de la enfermedad sea superado y poder proteger la vida de éstas (Broche-Pérez, et al, 2020). Estas restricciones se aplican cuando existe la sospecha que la persona o un grupo de personas están infectadas; en estos casos se debe garantizar, no solo la asistencia médica, sino el apoyo psicológico, un espacio como refugio y la alimentación.

El *aislamiento social*, tiene como finalidad prevenir la propagación de la enfermedad. Se debe establecer una vez que el contagio se ha confirmado; lo que implica “la separación física de las personas contagiadas de aquellas que están sanas” (Sánchez-Villena, et al, 2020). Se sugiere para una mayor efectividad, cuando la detección de la enfermedad se realiza tempranamente y la persona que ha sido infectada se aísla a un espacio determinado para poder evitar que pueda tener contacto con otros. Para Hawryluck et al (citado por Broche-Pérez, et al, 2020) depende de la voluntad de las personas.

Un aspecto fundamental que se debe tener en cuenta en la implementación de estas dos medidas –cuarentena y aislamiento–, es el costo psicológico en las personas, el cual puede ser a corto, mediano o largo plazo y puede observarse en el comportamiento frente de las personas en situación normal (Dong, citado por Broche-Pérez, et al, 2020). Este autor, enfatiza la necesidad de monitorear las reacciones psicológicas cuyo origen estén vinculadas tanto a la cuarentena social como al aislamiento social en el contexto del COVID-19. Sugiere atenuar el impacto negativo en la salud mental, mediante el diseño y ejecución de intervenciones especialmente dirigidos a la población vulnerable (niños, niñas y adolescentes, adultos mayores, entre otros) así como el reforzamiento al sistema de salud en general y, en especial a los de salud mental.

En cuanto al *distanciamiento social o físico*, su propósito es la separación y mantenimiento de un espacio físico determinado entre las personas; esto implica tanto la restricción de la interacción entre las personas, es decir, se toma una determinada distancia física –al menos un metro– para evitar el contacto directo entre ellas como el alejamiento de aquellos lugares concurridos. En todo caso, es una medida general –que todas las personas deberían adoptar–, que se sugiere en una comunidad específica cuando tienen personas infectadas, –que al no estar identificadas ni aisladas–, pueden transmitir la enfermedad. Cuando se establece este concepto como estrategia, conduce al cierre de lugares que convoca a mayor concentración de personas, como lo son: las universidades, colegios, la realización de eventos sociales, deportivos, artísticos, centros comerciales, oficinas, entre otros.

Con respecto al *confinamiento*, es una medida estratégica de intervención comunitaria, para minimizar o reducir las interacciones sociales; la cual implica “permanecer refugiado el mayor tiempo posible, bajo nuevas normas socialmente restrictivas” (Sánchez-Villena, et al, 2020). Estos autores señalan que, en este caso, se pueden combinar con otras estrategias preventivas, tales como el distanciamiento social, el uso de tapabocas o mascarillas de manera obligatoria, la restricción de los horarios de circulación, la suspensión del transporte público, así como el cierre de las fronteras. Como estrategia, se debe aplicar cuando las anteriores no han sido lo suficientemente efectivas en la contención del contagio de una determinada enfermedad.

Además de las señaladas, es importante mencionar otro concepto involucrado, como el de *concentraciones multitudinarias* en el contexto del COVID-19, que se entiende como “un evento con una gran densidad de personas, en un lugar específico durante un periodo determinado de tiempo, que puede amplificar la transmisión de la COVID-19 y suponer una presión adicional para el sistema de salud de un país” (OMS, 2020). Comprende actividades recreativas, religiosas, deportivas, económicas, entre otras.

De manera que, cada país en su momento asumió algunas de las referidas estrategias de contención con base en las orientaciones de la OMS y la situación epidemiológica particular que han experimentado con respecto al COVID-19: el cierre de los planteles o centros educativos de los distintos niveles de educación, restricciones en cuanto a la circulación de las personas en las calles, la protección por medio de mascarillas y tapabocas, para evitar el contacto cercano sin protecciones con personas externas al grupo familiar al ir a los supermercados a realizar las compras; la promoción de medidas higiénicas en general y, en especial la del lavado de las manos, el cierre del comercio, es decir, todo aquello diferente al comercio de alimentos y medicinas, así como la suspensión de los eventos artístico, deportivo, religioso, social, entre otros (OMS, 2020a).

A nivel mundial, para el mes de julio de 2021, se habían notificado 188.655.968 casos confirmados y 4.067.517 defunciones (OMS, 2021). Para la región de las Américas se reportaron 74.576.502 casos y 1.957.044 muertes. En América Latina las estadísticas reportadas para ese mismo mes por la Organización Panamericana de la salud (OPS, 2021), en algunos países fueron las siguientes: Brasil 19.262.512 casos confirmados, con 538.942 muertes; Argentina 4.719.952 y 100.695 defunciones; Colombia 4.583.442 y 114.833 fallecidos; Perú 2.088.143 y 194.845 muertes; Ecuador con 473.647 y 21.899 fallecidos; y en Venezuela los casos reportados ascienden a 289.362 y 3339 muertes.

Para julio 2021, el presidente de la OMS, enfatizó que se está viviendo un momento muy peligroso, debido a que se ha detectado en 98 países la rápida propagación dominante de la variante Delta –que puede seguir mutando– del coronavirus causante de la COVID-19, la cual ha sido detectada en la India; así mismo advierte por un lado, que no existe país que esté a salvo de ésta; y, por el otro, que “en países con bajas tasas de vacunación sigue habiendo

terribles escenas de hospitales saturados” (ONU, 2021; SWI, 2021). Otro aspecto importante es que se ratifica la necesidad de un seguimiento y ajuste de las medidas sanitarias y sociales de prevención, tales como: el aislamiento o cuarentena, distanciamiento social, la detección temprana de los casos, la atención clínica-hospitalaria, el uso de las mascarillas, lograr una buena ventilación en zonas cerradas, entre otros. Otra forma de afrontar consiste en “compartir equitativamente entre los países los equipos de protección, el oxígeno, las pruebas, los tratamientos y las vacunas” (ONU, 2021)

2. Venezuela en el contexto de la pandemia

Venezuela no escapa de toda esta situación mundial vinculada a la pandemia, por lo que el gobierno decretó en la segunda quincena del mes de marzo del 2020 “la cuarentena” como una medida para evitar el contagio masivo y así intentar detener el colapso de los servicios de salud, que para el momento presentaban un franco deterioro, en cuanto a cualquier situación de emergencia que pudiera presentarse como consecuencia de la pandemia. De manera que, el 13/03/2020 se confirmaron en el país los dos primeros casos de COVID-19, por lo que el presidente Nicolás Maduro decretó el Estado de Alarma (figura de Estado de Excepción contemplada en la Constitución Nacional, art. 337), en la que se ampara la cuarentena social “tras confirmarse que el virus que causa la gripe y neumonía COVID-19 comenzó a circular en el país” (Altuve, 2020), sumado a la confirmación de casos en Brasil y Colombia -países fronterizos-, lo cual representó un alto riesgo para Venezuela, fundamentalmente por las condiciones sociales y económicas de éste (Vargas-Acosta, 2018).

Cabe destacar que el gobierno agregó el *confinamiento colectivo* como prevención y contención más efectiva para detener el avance del COVID-19, y se reportó el cumplimiento de ésta en un 90% (Comisión Presidencial, cp., Altuve, 2020). Otras medidas preventivas establecidas para evitar el contagio, recomendadas por la OMS (2020), han sido el lavado continuo y sistemático de las manos al llegar de la calle y, si no es posible realizarlo de forma continua, usar un desinfectante a base de alcohol al 70%, no mostrar manifestaciones de afectos como el beso y abrazos; la manipulación de los alimentos de manera adecuada, para evitar su contaminación; y consumir alimentos pasteurizados y cocidos, entre otros.

En este contexto, se suscitan inquietudes respecto a las afectaciones que puedan generarse no solo en lo que concierne al contagio de la enfermedad, sino también otras áreas que con el establecimiento de la cuarentena social pueda impactarse, como por ejemplo la salud emocional, física y en las condiciones económicas de los miembros de la sociedad venezolana, especialmente porque “los períodos de confinamiento relacionados con epidemias han sido vinculados con impactos negativos en la salud mental en los adultos (mayor riesgo de trastornos emocionales, síntomas depresivos, irritabilidad, estrés” (Ron y Cuéllar-Flores, 2020), planteamiento que es ratificado por la Organización Panamericana de la Salud (OPS, 2020), cuando señala que en esta coyuntura es normal y comprensible que las personas puedan experimentar preocupación, estrés y miedo por la situación de incertidumbre y, aún más, si se toma en cuenta la situación de crisis social y económica por la que atraviesa Venezuela en los últimos años (Vargas-Acosta, 2018).

3. Metodología

Esta investigación se realizó con un abordaje cualitativo, desde la perspectiva fenomenológica, cuya esencia es la experiencia compartida, desde la perspectiva de las informantes clave, para describir y comprender “lo que los individuos tienen en común de acuerdo con sus experiencias con un determinado fenómeno (categorías que comparten en relación a éste)” (Creswell, citado por: Hernández, et al., 2018), con respecto a la experiencia vivida en el contexto de la cuarentena por el COVID-19 en Venezuela.

La fenomenología se concibe como “el estudio de los fenómenos tal como son experimentados, vividos y percibidos por el hombre” (Martínez, 2006:137); de allí que se caracteriza fundamentalmente por centrarse en la experiencia de las personas que “están vinculados con su mundo y pone el énfasis en su experiencia vivida, la cual aparece en el contexto de las relaciones con objetos, personas, sucesos y situaciones” (Álvarez-Gayou, 2005:86), es decir que el eje central de la fenomenología es la experiencia desde la referencia del sujeto, y contextualizada por las relaciones con las otras personas, con los sucesos y situaciones que viven y experimentan.

Las participantes de este estudio fueron docentes universitarias eméritas de la Universidad del Zulia, en Maracaibo estado Zulia-Venezuela; adultas mayores, por considerar que son parte de la amplia población vulnerable del país, lo cual fue argumentado en la primera parte del estudio.

En cuanto a la metódica, a mediados del mes de junio 2020, se diseñó y envió un guión de preguntas abiertas a los docentes universitarios eméritos de la Universidad del Zulia, utilizando plataformas virtuales tales como: correo electrónico, WhatsApp y Telegram, debido a la imposibilidad de realizar los encuentros y entrevistas de manera presencial, por la situación de las medidas preventivas, por medio del cual se pudo tener acceso a la información focalizada sobre la experiencia vivida durante la cuarentena social establecida en el país, en el contexto de la pandemia del coronavirus-COVID-19. El guión estuvo disponible durante dos semanas para ser respondido. Luego, mediante las aplicaciones WhatsApp y Telegram, se realizaron llamadas para establecer diálogos y dar a las participantes la oportunidad de manifestar o expresar ideas, sentimientos, sensaciones y pensamientos que no les fueron posible expresar de manera espontánea y extensa a través del instrumento de recolección de información.

La muestra fue por conveniencia (Battaglia, citado por: Hernández et al., 2018). Se recibió un total de 20 respuestas al guión, de los cuales fueron excluidos los extemporáneos y los que al ser revisados respondieron menos del 70% del total de preguntas, aun cuando se intentó establecer contacto con ellos para aumentar el número de participantes. Quedando en definitiva 5 informantes clave (IC). Es importante destacar que, debido a la naturaleza de este estudio y su diseño, no se pretende efectuar una generalización ni extrapolación de los resultados obtenidos, sino “conocer la subjetividad” (Álvarez-Gayou, 2005) y comprender el sentido y significado de la experiencia vivida por los participantes. Se incorporaron como instrumentos de registro de información: el archivo Word, la laptop, el internet, el teléfono móvil, la aplicación WhatsApp y Telegram.

En resumen, la metódica consistió en: - contactar a los IC e invitarlas a participar en la investigación; envío del guión de preguntas abiertas por correo electrónico, WhatsApp y Telegram; recepción del guión por parte de los docentes; - la apropiación del texto escrito; la

construcción del texto escrito; revisión de la puntuación (dotación de sentido); elaboración de tabla con cada pregunta y la información o data de cada una de las IC; enumeración de las líneas de los párrafos del texto; lectura, relectura y subrayado del texto con colores distintivos, comparación constante: ir y volver para observar, captar y subrayar los hallazgos significativos en la comparación: palabras clave o expresiones recurrentes o relevantes y palabras elocuentes (Gurdian-Fernandez, 2007), frases explicativas, similitudes, diferencias en lo expresado por cada IC; tematización; categorización; elaboración de esquemas, matrices y gráficos para la organización de la información y codificación en temas, categorías, subcategorías y propiedades; selección de palabras textuales (interlocutores) con mayor recurrencia; selección de palabras textuales con mayor elocuencia; y, por último, la construcción interpretativa de los significados expresados por las IC.

En el análisis de los datos e información desde la perspectiva fenomenológica, se pretende buscar la estructura y esencia de los significados posibles que los IC le atribuyen a la experiencia. Es un proceso como se dijo anteriormente de lectura, reflexión, relectura, escritura y reescritura, de manera que las investigadoras transformarán la experiencia vivida en una expresión textual, mediante la selección de palabras o frases que describan las particularidades sobre los significados, respecto a las experiencias vividas, durante la cuarentena social en el contexto de la pandemia por el COVID-19 en Venezuela.

4. Hallazgos y análisis

Con base en los datos recogidos, emergieron dos temas que se expresan en la Matriz 1: Contexto de la Cuarentena Social; y la Matriz 2: Experiencias vividas en la cuarentena social; ambas con sus respectivas categorías, subcategorías y las palabras textuales con mayor recurrencia y elocuencia expresadas por las informantes clave.

En la matriz 1, surgió la categoría “La cuarentena social en Venezuela es diferente a la de otros países”, y comprende las subcategorías: la pandemia le cayó como “anillo al dedo a este gobierno”, crisis económica, crisis del sector salud, crisis de los servicios públicos y necesidad de prevención.

La subcategoría: *La pandemia le cayó como “anillo al dedo a este gobierno”*, se expresa en palabras recurrentes, como “El país está enfrentando muchas limitaciones”, “En este país..., donde no hay gasolina”. Las IC, señalan respecto a la implementación de la cuarentena: “no por los casos de Coronavirus, sino por escasez de la gasolina”. Desde la perspectiva de las informantes clave, esta situación “hará colapsar a todo el país” y, “La cuarentena se extenderá mes tras mes..., mientras no tengamos gasolina” ya que, es “La mejor excusa, una pandemia, para mantener a la gente en sus casas..., evitar un estallido social”. Consideran que, en esta coyuntura, se está “sin visualizar una respuesta coherente y efectiva de parte del gobierno”.

En el análisis se observaron diversos significados que emergieron sobre la percepción respecto al gobierno venezolano. Obsérvese esto en las palabras elocuentes: “Es un Gobierno que nos ha destrozado nuestra calidad de vida, en los términos de felicidad y de satisfacción de nuestras necesidades de vida”, que “nos mantendrá así, por mucho tiempo, es decir en cuarentena”. A decir de las IC, solo “para impedir que la ciudadanía salga a las calles a protestar...” “Significó para el régimen una posibilidad de mantener a flote su deteriorado sistema de gobierno. Es por todo este significado que señalan que, aun cuando la cuarentena resulta necesaria, *“le cayó como anillo al dedo”*.”

De manera que la cuarentena social ha afectado la credibilidad en el gobierno, y es expresada en la desconfianza en cuanto a la motivación para el establecimiento de la cuarentena social en el país, la cual fue percibida -a la fecha de la investigación-, como una decisión apresurada y asumida como una imposición del gobierno, es decir, como una excusa. En este sentido, para las IC, la pandemia representó para el gobierno “una posibilidad de mantener a flote su deteriorado sistema de gobierno”. Según Álvarez (2020), en este contexto de pandemia el gobierno tomó medidas de emergencia y suspendió las garantías constitucionales fundamentales, también como una estrategia para el control sobre la población, es decir, el control social mediante las restricciones establecidas, como por ejemplo “*QUÉDATE EN CASA*”, es decir, mantener a las persona en el hogar, “para impedir que la ciudadanía salga a las calles a protestar”, especialmente cuando “*NO HAY GASOLINA*” en el país; es una manera de “evitar un estallido social”.

Matriz I. Tema: Contexto de la Cuarentena Social

CATEGORIA	SUB CATEGORIAS	PALABRAS TEXTUALES (INTERLOCUTORES) MAYOR RECURRENCIA	PALABRAS TEXTUALES (INTERLOCUTORES) MAYOR ELOCUCIONIA
La cuarentena en Venezuela es diferente a la de otros países.	La pandemia le cayó como “anillo al dedo a este gobierno”	<p>“El país está enfrentando muchas limitaciones”; “En este país, donde no hay gasolina”, “se implantó cuarentena, no por los casos de Coronavirus, sino por escasez de la gasolina”;</p> <p>“La escasez de la gasolina hará colapsar a todo el país”.</p> <p>“La mejor excusa, una pandemia, para mantener a la gente en sus casas, evitar un estallido social”.</p> <p>“es posible que el gobierno” haya temido un desbordamiento social”.</p> <p>“La cuarentena se extenderá mes tras mes mientras no tengamos gasolina”; “la gente no aguanta, hablan del malestar que les causa estar inactivos”; “sin visualizar una respuesta coherente y efectiva de parte del gobierno”</p> <p>“Hasta que la gente no soporte el encierro que les impide trabajar y, se produzca el estallido social tan temido”.</p>	<p>“Este gobierno nos mantendrá así, por mucho tiempo, es decir en cuarentena”</p> <p>“Para impedir que la ciudadanía salga a las calles a protestar”,</p> <p>“Es un gobierno que nos ha destrozado nuestra calidad de vida, felicidad y satisfacción de nuestras necesidades”</p> <p>“Significó para el régimen una posibilidad de mantener a flote su deteriorado sistema de gobierno.</p> <p>“Intenta frenar la manifestación en colectivo del descontento frente a la falta de gasolina”,</p>
	Crisis económica	<p>“No hay gasolina”; “la escasez de alimentos” “no hay dinero en efectivo”, “hay disminución de las ventas, restricciones en los horarios de los comercios”; “insuficiente dinero”; “no se recibe gasolina a precios regulares”;</p>	<p>“La inflación”; “hay un incremento de los costos”, “una sociedad donde la especulación y el robo del mismo Estado, se ha convertido en la orden del día”.</p>
	Crisis del sector salud	<p>“Las paupérrimas condiciones de los hospitales y los servicios de salud en general”</p>	<p>“La escasa dotación de medicamentos e insumos requeridos para protegernos de la pandemia”</p>
	Crisis de los servicios públicos	<p>“Cortes eléctricos”, “inexistencia del servicio del servicio público, del agua, del gas”, “inexistencia del transporte público”, “una baja conectividad del internet”.</p>	<p>“Crisis de todos los servicios públicos a nivel nacional”</p>
	Necesidad de prevención	<p>“La cuarentena es necesaria”, “La cuarentena es una necesidad incómoda”; “para prevenir contagios”.</p> <p>“Aceptación y entendimiento sobre la cuarentena”</p>	<p>“El problema de salud es real, no niego que existan casos de Covid-19”, “se inició sin ningún caso positivo en el Estado Zulia”, “El régimen ha manipulado esta situación”.</p>

También afloró una proyección “Hasta que la gente no soporte el encierro que les impide trabajar y se produzca el estallido social tan temido”. Importante el planteamiento respecto a que “No hay señales de levantamiento progresivo del confinamiento, pese a que millones de venezolanos se ven forzados a romperlo para ganarse la vida en la calle, en medio de una severa crisis, con seis años de recesión, hiperinflación y el colapso de servicios como agua y electricidad” (Parra, 2020).

En cuanto a la subcategoría *crisis económica*, se observó como una constante expresiones que aluden a aspectos que afectan tanto el entorno individual como el colectivo; la recurrencia de palabras en cuanto a “no hay gasolina” en el país; “la escasez de alimentos”, “no hay dinero en efectivo”, “hay disminución de las ventas y restricciones en los horarios de los comercios”; “insuficiente dinero”; “no se recibe gasolina a precios regulares”; y las palabras con mayor elocuencia, fueron: “La inflación”, “hay un incremento de los costos”, “una sociedad donde la especulación y el robo del mismo Estado, se ha convertido en la orden del día”.

Estas expresiones muestran, por un lado, que se está, a decir de Landaeta, et al., (citado por Herrera-Cuenca, 2021), ante la instalación de la crisis de Inseguridad Alimentaria, debido a la situación económica: hiperinflación y la caída en la producción de los alimentos por nombrar algunos y, por el otro, que “el gravísimo problema del combustible que impide reactivar la economía y puede condenar a los ciudadanos y las empresas a una paralización de su flujo de ingresos con efectos catastróficos” (Oliveros, citado por Parra, 2020).

Con respecto a la sub-categoría: *Crisis del sector salud*, las palabras con mayor recurrencia fueron: “las paupérrimas condiciones de los hospitales y los servicios de salud en general”; mientras que las de mayor elocuencia se expresaron en “la escasa dotación de medicamentos e insumos requeridos para protegernos de la pandemia”.

Es importante destacar que en el país, la crisis de este sector ha sido de larga data, es decir, desde finales del siglo pasado, pero se ha profundizado desde hace más de diez años con un marcado deterioro del subsistema nacional de salud en general, con la pérdida de personal sanitario debido a los bajos salarios y la migración: situación que se agudiza en los centros hospitalarios públicos, que ya presentan un franco deterioro en la infraestructura y fallas en

cuanto a los servicios básicos como el agua, electricidad, así como la falta de dotación oportuna de insumos médicos y medicamentos, déficit de camas (Richter y Stephany, 2021; Zelde et al, 2020; Altuve, 2020). Se destaca, además, el llamado “silencio epidemiológico”, es decir, la no publicación del Boletín Epidemiológico del Ministerio de Salud, lo cual no contribuye a la toma de decisiones oportunas sobre la prevención de la salud en la población (Altuve, 2020).

Ante la descripción de la crisis crónica del sistema de salud en el país, puede decirse que, no existen condiciones sanitarias adecuadas para atender los casos que se han estado presentado, ni para disminuir el riesgo de contagio en la población por la pandemia del COVID-19 y, aun cuando el gobierno dispuso a nivel nacional de 46 hospitales tipo IV denominados centinelas para atender los posibles casos, “no todos los establecimientos de salud cuentan con suministros de insumos ni cupos suficientes para tratar a la población afectada” (ONG Médicos Unidos, citado por Altuve, 2020).

En la sub-categoría *Crisis de los servicios públicos*, se puede observar la recurrencia de frases alusivas a ésta, referidas a los cortes eléctricos, deterioro creciente del servicio de electricidad (en el caso del estado Zulia, son horas prolongadas de cortes eléctricos y múltiples fluctuaciones de la electricidad; también en cuanto al suministro de agua potable o su inexistencia. Al respecto, señalan Zelde, et al (2020) que hay un colapso de las instituciones y, por lo consiguiente de los servicios que prestan. Estos servicios, son fundamentales en la aplicación y efectividad de las estrategias prioritarias de prevención, como son las medidas de higiene, especialmente las de “lavarse las manos”, para minimizar el contagio del COVID-19 (OMS, 2020).

Otras palabras recurrentes se refieren a la ineficiencia en el servicio de gas doméstico, así como del transporte público para la movilización y traslados. En cuanto a este último, es importante destacar que “la gasolina pesa muchísimo..., si hoy el gobierno decidiese relajar la cuarentena, la gente encontraría que no puede ir a trabajar... no hay cómo movilizarse (García, citado por Parra, 2020). A la fecha esta situación aún persiste.

En cuanto a palabras con mayor elocuencia, las IC señalan una “crisis de todos los servicios públicos a nivel nacional”, en la que se incluye la conexión a internet, caracterizada

por “una baja conectividad”. Este servicio es importante no solo en la dinámica personal y familiar, sino también en lo colectivo, ya que, para dar cumplimiento al lineamiento emanado del Estado (Presidencia de la República Bolivariana de Venezuela. 2020), respecto a la continuidad de la educación por el cierre de las instituciones educativas, es necesario para implementar la modalidad on line.

Ahora bien, con la baja conectividad del internet (Monroy, 2020) es y ha sido imposible que el proceso educativo pueda adelantarse de una manera eficaz y eficiente en la búsqueda del logro de los objetivos educativos y de la excelencia académica, que siempre ha destacado en los planes de estudios en el país. A esto se suman los significados que emergieron, sobre los niveles de estrés que se ha generado cuando las IC les ha correspondido el papel como docente contratada, o como cursantes de estudios de actualización, sin contar con este servicio.

Respecto a la subcategoría *Necesidad de prevención*, desde la perspectiva de las IC, la cuarentena es aceptada y entendida como “necesaria para la prevención del contagio masivo”. Sin embargo, consideran que esta se inició sin que en el estado Zulia hubiese un caso positivo. Algunas expresiones más elocuentes, son: “El problema de salud es real, no niego que existan casos de Covid-19”, “se inició sin ningún caso positivo en el Estado Zulia”. Se muestra la pérdida de la credibilidad con respecto al gobierno, cuando señalan que “El régimen ha manipulado esta situación”.

En este contexto, la categoría *la cuarentena en Venezuela es diferente a la de otros países*, parece estar ajustada al planteamiento referido a que “mientras en otros países conjugan el interés por la salud de la gente con el de la salud de la economía, en Venezuela la respuesta parece limitarse a prolongar la cuarentena y seguir dando la espalda a la economía” (Rossen, 2020).

También es importante en el análisis tener en cuenta la entrevista realizada a Müller - autora del libro *Pandemia: virus y miedos* en el cual hace referencia a las reacciones de indiferencia o la negación inicial ante ésta hasta el posterior terror o estallido de pánico-, quien destaca que no se puede ver la salud y la política como campos separados, ya que la toma de decisiones con respecto a la primera “son netamente políticas. Tiene que ver con las medidas que toman los

Estados, con la comunicación que dan, con la reacción de las poblaciones, con su idiosincrasia, con el estado del sistema de salud” (Müller, citado por López, 2020).

Seguidamente, se presenta la Matriz 2: Experiencias vividas en la cuarentena, en la cual emergió la categoría: Afectación de la cuarentena social establecida en el contexto de la pandemia por el COVID-19, que se expresó en las subcategorías: En lo emocional, Contexto familiar y social, contexto económico, actividades laborales y afrontamiento ante la adversidad.

En la subcategoría *en lo emocional*, la cuarentena ha afectado las emociones que afloraron expresadas en las palabras recurrentes como: los sentimientos de miedo, tristeza, ansiedad, estrés, insomnio, mal humor, “el sentir que se está presa en el hogar”, “frenada”, “sienten que están ante la paralización de la vida en lo cotidiano”. Dijeron experimentar “incertidumbre”, por un lado, respecto a la duración de la cuarentena, la situación económica y la escasez de recursos para dar respuesta a las necesidades básicas familiares y, por el otro, en relación a la afectación física y emocional, así como a las inquietudes de *¿qué hacer en el caso de contagiarse?* Sobre todo, en el contexto de crisis del sector salud y la economía del país, ya descrito.

Otro aspecto que llama la atención, son las expresiones como “el sentir que la vida se ha paralizado, el sentir que se está “sin vivir” (...) no tener libertad”. Estos síntomas que afloran en las vivencias de las IC durante la cuarentena social, coinciden con el planteamiento de la OPS (2020), Ron, et al (2020), Khan et al (2020), Ozamiz-Etxebarria, et al (2020) y Acosta (2021), en cuanto a los impactos negativos en la salud mental de la población en general y, en lo particular en los adultos mayores, es decir, que se pueden manifestar ante la situación de incertidumbre que genera el contexto de pandemia y, más aún en el contexto de crisis crónica que atraviesa el país en los últimos años (Vargas-Acosta, 2018).

Matriz 2. Experiencias Vivenciales

CATEGORIA	SUB CATEGORIAS	PALABRAS TEXTUALES (INTERLOCUTORES) MAYOR RECURRENCIA	PALABRAS TEXTUALES (INTERLOCUTORES) MAYOR ELOCUCIONIA
Afectación de la cuarentena social	En lo emocional	<p>“Preocupada”, “de mal humor”, “Miedo”, “comienzo a sentirme aislada”; “presa en mi propio hogar”, “frenada”;</p> <p>“Se presentan inquietudes: “¿cuál será la duración cierta de la cuarentena?”; ¿qué haremos?; “Todo produce: miedo, ansiedad, tristeza, pánico, stress, insomnio, desasosiego”</p> <p>“la molestia por vivir una pandemia por primera vez en mi vida frente a una escasez de recursos económicos”; “es imposible apoyar y proveer las necesidades básicas de familiares a cargo”.</p>	<p>“Incertidumbre total”; “La prolongada cuarentena afecta física y emocionalmente”; “ansiosa”, “estresada”, “Paralización de la vida”; “Sin vivir”, “es una forma de no tener libertad”.</p> <p>“Si la enfermedad se hace presente en mi núcleo familiar ¿Con que recursos contamos? Sobreviviremos”</p>
	Contexto familiar y social	<p>“El cambio en los horarios, se levantan tarde”; “no colaboran en las tareas de la casa”; “las quejas de mis hijas, no pueden salir”; “estoy coartada de acudir a realizar ejercicios”; “sin trabajar, sin estudiar, sin continuar sus tratamientos médicos, sin ir a la escuela o a la universidad”; “Se notan preocupados”; “el vehículo lo emplea mi esposo solo para el trabajo”.</p>	<p>“Hay una baja motivación e iniciativa hacia toda actividad”; “impedida de poder compartir con la familia extendida y amigos fuera de límites del hogar”, “Salir a pie a realizar las compras de lo necesario”; “Ahorro de la gasolina”</p>
	Contexto económico	<p>“Sueldos irrisorios de los profesores universitarios que no alcanzan para comprar comida solo para unos días y sin proteínas</p> <p>“no poder comprar gasolina en los mercados paralelos”.</p>	<p>“Sueldos de hambre, que no permiten satisfacer mis necesidades”; “con todos mis títulos y preparación, no tengo capacidad de respuesta para satisfacer las necesidades familiares”; “a merced de nuestras propias medidas de supervivencia ya de por si escasas y menguadas”.</p>
	Actividades laborales	<p>“Las clases on line”, “carezco de las aplicaciones y el entrenamiento necesario para atender a los alumnos por esta vía”, “Baja conectividad del servicio de internet”; “con cortes eléctricos prolongados y en horarios diversos”; “No asumiré carga académica para el próximo periodo”; “oportunidad de trabajo que se esfuma”.</p>	<p>“La institución no posee una plataforma para tal fin”, “el estrés generado por tener que atender a los estudiantes online sin tener las condiciones” “donde vivo se incrementaron los cortes del servicio de electricidad”.</p>
	Afrontamiento ante la adversidad	<p>“Hago cosas para estar en paz”; “En familia, con hijos y vecinos cercanos”; “nunca me he sentido agobiada por ello, desarrollo actividades en mi casa”; “he estado ocupada con actividades docentes universitarias, eso me ha protegido de pensamientos inadecuados”; “buscar oportunidades en medio de las dificultades”.</p>	<p>“Los que afrontamos esta situación solas, no podemos dar margen a titubeos o paralizaciones, hay que seguir y sobrevivir”; “sacar algo bueno de algo malo”; “estrechar lazos de unión”; “a pesar de las adversidades que vivimos en mi familia, las cuales sobrepasan a la cuarentena social obligada por esta pandemia”; “cursos de crecimiento personal, académicos, escribir artículos”.</p>

En la subcategoría *contexto familiar y social*, las palabras recurrentes están relacionadas con los cambios y alteraciones en la dinámica familiar, como, por ejemplo: los horarios de levantarse, la poca colaboración con las tareas en el hogar por parte de los hijos, hijas o nietos; también en cuanto a la paralización de las actividades laborales, estudios, el cumplimiento de los tratamientos médicos. En cuanto a las palabras elocuentes, manifiestan un bajo nivel de motivación e iniciativa hacia cualquier actividad.

En relación con la sub-categoría *contexto económico*, en los significados construidos emergieron las palabras recurrentes: “sueldos irrisorios de los profesores universitarios que no alcanzan para comprar comida solo para unos días y sin proteínas”, y el no poder adquirir “gasolina en los mercados paralelos o legales”; mientras que las expresiones elocuentes precisaron tener: “sueldos de hambre, que no permiten satisfacer mis necesidades”, la incapacidad de poder dar respuestas a las necesidades de la familia a pesar de contar “con todos mis títulos y preparación (...)”, “a merced de nuestras propias medidas de supervivencia ya de por sí escasas y menguadas”.

Esto coincide con lo planteado por las investigadoras Richter y Stephany (2021: 8) en cuanto a “los salarios de hambre y la pérdida de los beneficios económicos y sociales (...)” de los trabajadores en general; y con Melean y Contreras (2020), respecto a la situación general en la que transitan los docentes universitarios en Venezuela, quienes viven las circunstancias producto de la crisis profunda económica del país, que como se ha señalado presenta una hiperinflación en la que “el 94% de los venezolanos vive en la pobreza y aproximadamente el 30% no puede poner suficientes alimentos sobre la mesa para cumplir con los requisitos mínimos de nutrición” (Zelde, et al, 2020: 654).

Se desprende de los textos, por un lado, la desvalorización tanto de la actividad docente como de la meritocracia por parte de los que dirigen el Estado y, por el otro, las implicaciones individuales como familiares al no tener las docentes eméritas, las condiciones para dar respuestas a las necesidades básicas familiares. Cabe destacar que, según información no oficial, para el mes de febrero 2021, la canasta alimentaria se ubicó en Bs. 535.756.684,06

(equivalente a \$281,94) (Cendas-FVM, cp. Richter y Stephany, 2021); estas investigadoras enfatizan que el salario mínimo y cesta ticket no superan los \$4 mensuales de un trabajador.

Es importante señalar que la pandemia impone alteraciones en las condiciones económicas en los hogares de las docentes eméritas; estos son efectos socio-económicos, al no recibir sueldos acordes a los méritos académicos obtenidos durante su trayectoria, es decir, que la afectación de la cuarentena ha trascendido de lo individual-emocional-familiar a lo social-colectivo.

En cuanto a la sub-categoría *actividades laborales*, expresaron de manera recurrente el no contar con las innovaciones tecnológicas necesarias, ni el entrenamiento para poder viabilizar las clases on line; además es persistente el aspecto sobre la baja conectividad del servicio del internet, los cortes eléctricos que afecta una óptima y adecuada comunicación con los estudiantes (Cardozo y Guevara, 2020). Es importante resaltar que, estos significados emergieron en la matriz anterior respecto a la crisis de los servicios públicos y que generan cierta inestabilidad en las profesoras –que aun siendo eméritas, siguen desempeñándose como docentes- poniendo en riesgo, inclusive la continuidad de su relación de trabajo (Serrano, 2021), que se manifiesta en el siguiente texto: “No asumiré carga académica para el próximo período”, o ante alguna “oportunidad de trabajo que se esfuma” por el contexto descrito.

Esta sub-categoría comprende palabras elocuentes, tales como la inexistencia de una plataforma por parte de las instituciones de educación superior para viabilizar la modalidad on line. Otro aspecto a destacar ha sido que al tener que implementar esta modalidad desde el hogar, se ha generado en las IC, el estado de estrés debido a que no tienen las condiciones para ello.

En el marco de lo anteriormente señalado, se destaca que en el cumplimiento del lineamiento sobre el cambio brusco de la modalidad presencial a la modalidad on line, es importante señalar los siguientes elementos involucrados: a) las carreras profesionales en las universidades del país han sido concebidas bajo la modalidad presencial; b) las instituciones universitarias no cuentan con la infraestructura y plataforma para construirle viabilidad a la implementación de esta modalidad; c) los profesores no tienen la formación necesaria para

liderar este tipo de proceso de formación como tampoco los recursos: internet, teléfonos de nueva generación, equipos de computadores, entre otros; d) todo esto genera en los docentes niveles de estrés por no poder cumplir con sus labores académicas como trabajo o como participantes en estudios de actualización o formación de postgrado.

En la subcategoría *Afrontamiento ante la adversidad*, emergieron significados tales como: “estar unidos con la familia y los vecinos”, “hacer actividades universitarias o del hogar, para no sentirse agobiada” o “protegerse de pensamientos no favorables”; también resalta la “búsqueda de oportunidades a pesar de las dificultades”. En cuanto a las palabras elocuentes se precisaron “(...) hay que seguir y sobrevivir”, “la búsqueda de lo bueno ante la adversidad”, “la realización de cursos académicos y de crecimiento personal”, entre otros. Se observan iniciativas para sobreponerse a las limitaciones propias de la cuarentena y el confinamiento social.

Para cerrar este análisis, puede observarse que en Venezuela la pandemia representa un problema que “tiene una dimensión universal y afecta valores tan importantes como la vida misma, la libertad, la actividad humana, la relación interpersonal, la generación de bienes y servicios para la supervivencia” (Roosen, 2020). Este autor destaca que el gobierno ha anunciado tener la pandemia bajo control y, de manera lineal ha prolongado *la cuarenta entre una semana flexible y otra semana restringida*, con “limitaciones de movilidad ciudadana, el cierre de las fronteras, algún aprovisionamiento de material médico sería suficiente para su concepto de seguridad. Incluso las carencias como la falta de gasolina o la escasísima disponibilidad monetaria jugarían a su favor. ¿Por cuánto tiempo?” (Roosen, 2020). Es decir, que la pandemia se da en el país bajo unas condiciones sociales y económicas críticas y difíciles para la sociedad en general y, en particular para la población vulnerable, como las docentes universitarias eméritas, los adultos mayores, entre otros.

Conclusiones

Con base al proceso analítico realizado desde la perspectiva de esta investigación, los significados construidos por las docentes universitarias eméritas de la Universidad del Zulia-

Venezuela, con relación a las experiencias vividas en la cuarentena social en el contexto de la pandemia por el COVID-19, se organizaron mediante temas, categorías y subcategorías.

El tema referido a “*el contexto de la cuarentena social*”, se expresó mediante la categoría “*La cuarentena en Venezuela, es diferente a la de otros países*”. En este sentido, en los datos suministrados por las IC, emergieron significados con relación a las características actuales de Venezuela y las condiciones de la crisis crónica económica, política y social que se vive en cada uno de los sectores de la vida nacional, impactándolos de manera negativa, con mayor énfasis en el sistema de salud y en los servicios públicos, esenciales para cumplir con las medidas preventivas establecidas por la OMS en el marco de la pandemia por COVID-19.

Otros significados construidos que emergieron en la data es el factor de la provisión del combustible (gasolina) y las consecuencias que conlleva en la paralización del sector productivo, el comercio en general, la movilización de la población para abastecerse con los alimentos, medicinas, entre otros. También sobresale el elemento político, vinculado a la pérdida de credibilidad en el gobierno por parte de las IC, asociado a la percepción que tienen respecto a la toma de decisiones con el establecimiento de la cuarentena social en el país.

El segundo tema que emergió fue las “*Experiencias vividas en la cuarentena*”, reflejada en la categoría: “*Afectación de la cuarentana social*”, que permitió visualizar el impacto en diversas dimensiones; una de ellas en lo emocional, que se evidenció en los cambios experimentados en los sentimientos y estados anímicos, como el estrés, preocupaciones, tristeza, mal humor, ansiedad, miedo, angustia, insomnio, desasosiego, aislamiento y pánico, entre otros. También se generaron cambios en el desenvolvimiento de la vida cotidiana del núcleo familiar y social.

Otros significados se refieren a la economía familiar y a las actividades laborales. La primera está vinculada a la no satisfacción de las necesidades básicas de subsistencia de los miembros de la familia; situación que contribuye a elevar los niveles de estrés y ansiedad, toda vez que los sueldos que reciben en su actividad como docentes universitarias eméritas, no están acorde con los méritos académicos logrados durante la trayectoria laboral, ni con la hiperinflación que vive el país y, por ende, con el costo de la canasta básica alimentaria. La segunda, referida a la realización de actividades laborales académica en condición de

contratada, para lo cual en el contexto pandemia, se exige la implementación de “la modalidad de clases on line”, y ante las condiciones críticas de los servicios de electricidad, baja conectividad del internet, equipos obsoletos y la débil formación en el manejo de las innovaciones tecnológicas para el proceso de aprendizaje, generan una mayor complejidad que elevan los niveles de estrés ante el compromiso y responsabilidad en el trabajo a realizar.

Finalmente, con base en los significados construidos por las IC, y desde la perspectiva de las investigadoras, puede decirse que la categoría central emergente “*La cuarentena en Venezuela es diferente a la de otros países*” en el contexto de la pandemia por COVID-19, es de interés conceptual para la comprensión del fenómeno estudiado, ya que reflejó la superposición de dos condiciones: la crisis humanitaria compleja y la pandemia, teniendo un impacto multidimensional negativo, que afectó además de las ya deterioradas condiciones materiales de vida, lo socio-emocional y valores como la libertad, la paz, la convivencia intrafamiliar, entre otros.

Los resultados de esta investigación arrojan luces que pueden servir de sustento para el diseño de estrategias de intervención social, dirigidas a las personas y familias en condiciones de vulnerabilidad en el contexto ya descrito, contribuyendo así a la mitigación de los impactos en la calidad de vida de las personas afectadas.

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Desafíos epistémicos de las Ciencias Sociales: movilidad social, territorialidad y poder

Elizabeth Beatriz Arámbulo Santiago *
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RESUMEN

El objetivo fundamental de este análisis es el reconocimiento y la legitimación de las prácticas ancestrales de saberes territoriales como parte de los desafíos epistémicos contundentes de las Ciencias Sociales, a fin de reivindicar los lugares, la territorialidad y la movilidad social como ejercicio propicio para la descolonización del saber social. Se pretende develar que las formas de ocupación del espacio por el hombre y su organización en sociedad han surgido de las prácticas hegemónicas de la modernidad. El principio de territorialidad que emerge desde las diferentes manifestaciones del poder tiene una incidencia muy notable en la construcción de saberes. En tal sentido, se estudian las categorías de movilidad social, territorialidad, saberes y poder, en el contexto latinoamericano, para identificar su complejidad histórica. El abordaje del conflicto político-histórico se analiza desde el posicionamiento epistémico del eurocentrismo. De esta manera, se visibilizan las determinaciones socioculturales de los saberes territoriales como dinámicas en conflicto, entre resistencias y poderes locales que generan un contraste de la diversidad epistémica de la territorialidad y el sentido de movilidad social, como necesidad de un saber subalterno.

PALABRAS CLAVE: Filosofía; Epistemología; Ciencias Sociales; poder político; movilidad social.

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Epistemic challenges of the Social Sciences: social mobility, territoriality and power

ABSTRACT

The fundamental objective of this analysis is the recognition and legitimation of ancestral practices of territorial knowledge as part of the overwhelming epistemic challenges of the Social Sciences, in order to claim places, territoriality and social mobility as an exercise conducive to decolonization of social knowledge. It is intended to reveal that the forms of occupation of space by man and the organization of him in society have emerged from the hegemonic practices of modernity. The principle of territoriality that emerges from the different manifestations of power has a very notable impact on the construction of knowledge. In this sense, the categories of social mobility, territoriality, knowledge and power are studied, in the Latin American context, to identify their historical complexity. The approach to the political-historical conflict is analyzed from the epistemic position of Eurocentrism. In this way, the sociocultural determinations of territorial knowledge are made visible as dynamics in conflict, between resistance and local powers that generate a contrast of the epistemic diversity of territoriality and the sense of social mobility, as a need for a subordinate knowledge.

KEYWORDS: Philosophy; Epistemology; Social Sciences; political power; social mobility

Introducción

El ejercicio hegemónico del poder constitutivo, la ciencia emanada de la labor civilizatoria del denominado Nuevo Mundo, cuyo imaginario reinó los atributos del modelo hegemónico europeo -para la formación de escenarios de desarrollo y conformación de nuevos estatutos en las nacientes naciones latinoamericanas-, devino en la implantación de regulaciones y organizaciones, en torno a un modelo de progreso y desarrollo, que en la historia acarreó la expulsión de las sociedades originarias; propiciando, en consecuencia, un desarraigo de los espacios y el territorio, como posicionamiento para la instalación de nuevas estructuras en la dinámica del poder, representado en lugares que habían sido históricamente propios de una dinámica socio histórica autóctona.

Los desafíos actuales en relación a la ciencia ponen en evidencia la interpelación, la crítica y posibles alternativas ante las emergencias del siglo XXI; el posicionamiento de la geopolítica del conocimiento ha generado ciertos enclaves que se definen en los imaginarios

y permiten el reconocimiento y establecimiento de prácticas discursivas; ejemplo de ello lo podemos precisar en cómo ha sido ejercida la concepción del territorio, la dinámica del poder y el tratamiento que se le ha otorgado a la geografía en cuanto a ciencia que busca determinar el espacio como ejercicio interpretativo del ordenamiento jurídico y geopolítico del poder, en sus diferentes formas de imposición y justificación, accionadas en una lógica de la razón omnipresente europea; de esas prácticas discursivas devienen categorías impositivas llenas de ideología: tiempo, espacio, progreso, desarrollo, subdesarrollo, riqueza-pobreza, todo lo cual se estableció y se fue instituyendo mediante una línea del tiempo que ha permitido la estratificación y divisiones sociales en todo el andamiaje del poder. De acuerdo con Porto (2009:20):

“hasta la misma utopía es un no-lugar, o mejor, es un lugar imaginario que se sitúa en otro tiempo mejor que nuestro tiempo, lejos del nuestro espacio del aquí-y-ahora. Hasta las mismas coordenadas geográficas –latitud y longitud- que enmarcan el espacio se hace por medio del tiempo, esto es, en grados, minutos y segundos. Consideremos, de paso, que establecer el parámetro del tiempo del mundo por el meridiano de Greenwich es un marco de afirmación de una Europa Noroccidental que así, se distingue, bajo el manto de la ciencia, de otra Europa. Según Lewis Mumford (1973), la primera máquina verdaderamente moderna, consagra la hegemonía del tiempo como categoría hegemónica de la concepción de modernidad-colonialidad”.

Al repensar la ciencia como forma de humanidad civilizatoria, que responda al bien común de los pueblos y sociedades desde su eticidad, su invención, sus lógicas y sociologías, se hace necesario retomar el pensamiento de De Sousa Santos y su propuesta de una Epistemología de Sur:

“El ocaso de la civilización, no muere con Occidente, sino que renace desde el Sur con el “Sumak Kawsay”, la distancia fantasmal entre teoría y práctica no es solamente el producto de las diferencias de contextos. Es una distancia más bien epistemológica o hasta ontológica. Los movimientos del continente latinoamericano, más allá de los contextos, construyen sus luchas con base en conocimientos ancestrales, populares, espirituales que siempre fueron ajenos al cientismo propio de la teoría crítica eurocéntrica” (De Sousa Santos, 2011).

Hablar de la movilidad social, territorialidad, saberes y poder es un asunto que permite establecer conexiones con varios elementos que se podrían conjugar para ser un abordaje concienzudo de realidades que matizarían muchos desencuentros sociales, entre lo que se destaca la desigualdades, exclusión, racismo, xenofobia; en muchas ocasiones se podría

considerar como fenómenos de tensiones que generan disputas sociales, es un asunto netamente socio histórico, sociocultural que podría otorgarnos múltiples aristas, lo cual es parte del resultado del acontecer del capitalismo y el establecimiento del eurocentrismo, que han permitido posesionarse de un imaginario, el cual ha generado caos en las sociedades, determinando dinámicas sociales diferenciadas (clases sociales) como formas de sociedad, y eso se expresa en la economía, el desarrollo y la políticas públicas, que de manera progresiva han logrado el agotamiento sorprendente de la dinámica social y han provocado una movilidad si se quiere inducida, y que se vuelve manifiesta y reveladora de un proceso forjado por un sistema instaurador de injusticia, un modelo de sociedad contemporánea que se hace inalcanzable.

La movilidad social se hace un derecho humano compartido entre sociedades diversas, es una de las realidades que se ha descuidado en el acontecer internacional; no existe un amparo internacional en sus dinámica real, que permita concretar que el derecho puede tener movilidad, que la movilidad debería funcionar como un sistema de relaciones sociales dinámico y sustentable en el tiempo y en el espacio; más que un sistema de control social, la movilidad social podría generar una nueva perspectiva en las relaciones sociopolíticas.

Resulta paradójica la categoría resistencia, que se ha venido legitimando en la narrativa de la concepción de los pueblos, como una necesidad humana (Flores, 2021) de ejercer un criterio común de humanidad. La resistencia forma parte de una lucha social compartida, que permite propiciar la construcción discursiva de un nuevo tipo referencial de ciudadanía, que se extiende como valor otorgable, generando un proceso dialéctico para disponer de nuevos miramientos contundentes de la dinámica sociopolítica, que permitan propiciar desafíos en asuntos tan cuestionables como los derechos. Para Bonfil (1991: 191): “los caminos de la resistencia forman una intrincada red de estrategias que ocupan un amplio espacio en la cultura y en la vida cotidiana de los pueblos”.

Los criterios abordados en relación a la resistencia tienen como base epistémica lo social, como modo preponderante de coexistencia, en un primer orden; pero en sí mismo encierra todo un andamiaje político que permite la organización social, la necesidad imperiosa de lucha si se quiere ambivalente, tal como ha sido la experiencia histórica de las sociedades indígenas. Según Smeke de Zonana, Yemy (2000:99): “La resistencia se mueve, cambia de lugar y puede adoptar diversas formas, desde la resistencia o lucha frontal, hasta la

resistencia subterránea. Estas formas se conectan entre sí formando parte de una sola estrategia de sobrevivencia”.

Entre los criterios para entender las relaciones de poder en el acontecer de los pueblos indígenas de Latinoamérica en disputa, se podrían considerar las lógicas de los sistemas de opresión y la categoría de interseccionalidad, esta última como una metodología que permitiría develar los fundamentos e interrelaciones de poder. Tal categoría ha sido empleada en las tradiciones epistemológicas de Estados Unidos. Hill Collins (2000) afirma que la interseccionalidad es “un paradigma alternativo al antagonismo positivismo/posmodernismo que haría parte de las dicotomías que estructuran la epistemología occidental”.

En este sentido, Hill Collins (2000) plantea que la interseccionalidad contribuye a la comprensión de fenómenos macrosociales que interrogan la manera en que están implicados los sistemas de poder en la producción, organización y mantenimiento de las desigualdades o interlocking systems of oppression (*sistemas de opresión entrelazados*), lo cual tienen relación estrecha con un proceso macrosocial ligado a la problemática de saberes en relación al imaginario del territorio y de los lugares en el marco del sistema capitalista mundial o sistema de globalización.

La interseccionalidad podría resultar parte de un sistema complementario multidimensional de los procesos de opresión, y funcionaría para disponer de amplios criterios de relacionar y correlacionar las interferencias antagónicas a las realidad social latinoamericana, en este caso la movilidad social. La concepción del territorio podría tener un sentido epistémico, con amplia correspondencia en relación al sentido histórico de lucha y resistencias; podría considerarse como un nuevo tipo de ejercicio que tiene que ver con la lucha de los imaginarios, donde se le otorga cabida a una diversidad de razonamientos emergentes (conocimientos subalternos), que justifican la necesidad de ejercer criterios epistémicos para develar la desventaja y la necesidad de ruptura de continuidad histórica del sistema capitalista mundial, que transgrede las formas societarias de coexistencia, porque los límites no son equiparables a los ritmos, ni fisonomías económicas, lo que crea un choque civilizatorio con grandes brechas sociales.

A su vez, Lugones (2005:70) presenta la interseccionalidad como una la lógica de fusión, una posibilidad vivida de resistir a múltiples opresiones mediante la creación de círculos resistentes al poder desde dentro, en todos los niveles de opresión, y de identidades

de coalición a través de diálogos complejos desde la interdependencia de diferencias no dominantes.

De acuerdo con Lykke (2011:208), la perspectiva inclusiva de la interseccionalidad debe ser utilizada con precaución, para no convertirla en una caja negra en la que todo cabe. Este riesgo puede evitarse, al menos parcialmente, contextualizando las teorías o posturas teóricas que se ponen en diálogo y sacando provecho de ellas para aplicarlas políticamente de forma creativa y crítica.

Tanto para Lugones (2005) como para Lykke (2011), la interseccionalidad tiene sus límites: por un lado podría ser considerada una fórmula para mitigar las relaciones de poder identificándolas y ejerciendo críticas contundentes; por otro lado, la disposición de la interseccionalidad permite contextualizar teorías y posturas teóricas, lo cual da cierto criterio de acción, para ejercer categorías contextualizadas que guardan relación muy estrecha con asuntos microsociales, pero entendiendo siempre que su raíz primaria tiene la interferencia de los asuntos macrosociales.

En relación con la movilidad social, podría establecerse que los fenómenos sociales forman parte de una necesidad imperiosa de ejercer ciertos criterios de libertad; esa libertad de disposición que poseen los seres sociales para lograr su autodeterminación es lo que los mueve; ciertas disposiciones se podrían determinar para mitigar y legitimar la *autonomía de las migraciones*. La movilidad social y la diversidad en relación con la disertación (saberes) sobre la territorialidad, entrarían en nuevas perspectivas sociales, que trascienden el imaginario geopolítico y trastoca el sentido de lo social como derecho necesario inalienable de la vida. Al respecto, Mezzadra afirma que (2012: 2):

“El enfoque de la autonomía de las migraciones debe ser comprendido como una perspectiva distinta hacia la «política de movilidad»: una perspectiva que enfatice la participación subjetiva dentro de las luchas y confrontaciones que constituyen materialmente el campo de esa política. El enfoque en cuestión muestra cómo la misma «política de control» se ve forzada a establecer un acuerdo con una «política de migración» que exceda estructuralmente sus prácticas de (re)fronterización. De hecho, permite analizar la producción de irregularidad no como un proceso de exclusión y dominación, administrado por el Estado y las leyes, sino como un proceso tenso y basado en conflictos, en el que los movimientos subjetivos y las luchas relacionadas con la migración son un factor activo y fundamental”.

En este sentido, en la autonomía de las migraciones se hace imperativo lo intersubjetivo en el marco del imaginario de bienestar social en una lucha controversial; la idea de movilidad lleva implícito un modo de resistencia que es ambivalente y forma parte de dos condicionantes socioeconómicas: la primera está representada por la necesidad de movilización; y la segunda por la incertidumbre ante el panorama sociopolítico, una condición fortuita y ambivalente donde prevalece la esperanza del éxito frente a las complejidades de la política migratoria, que funciona como un poder paradójico donde no existen responsabilidades legales sobre la condición del migrante.

Según Mezzadra (2012: 164), la autonomía de las migraciones plantea una relación de producción en la subjetividad de los migrantes; resulta ser un campo disputado y contradictorio.

“El excedente de movilidad en relación con este complejo dispositivo conforma el principal aspecto en las luchas y políticas migratorias. Por un lado, el capital intenta reducir el excedente de movilidad a su código de valor a través de la mediación del Estado y otros mecanismos políticos y administrativos, lo que significa que lo *explota*. Por el otro, las luchas migratorias suelen caracterizarse por la transformación de este momento de excedente en una base material de resistencia y organización”

Se hace interesante plantear que dichos estatutos en relación a la movilidad social, la autonomía migratoria y la amplitud de concepción sobre la territorialidad y el poder, podrían ser parte de un presupuesto corresponsable que comporta elementos primordiales para cualquier investigación concienzuda, que pueda generar nuevas categorías de análisis social, en cuanto a apertura de derecho y ciudadanía.

Las resistencias como formas sociales de encarar el poder, los planteamientos de la movilidad social como expresión naturalizada de supervivencia, serían parte de un proceso que permitiría ampliar los estatutos de una nueva Epistemología, donde se conjugaría el estado de cosas del imaginario latinoamericano; la “otra” Epistemología del pensamiento podría resultar uno de los principios para confrontar los desafíos del siglo XXI.

1. Diversidad de lugares

Los lugares y la memoria, categorías que definen la vida cultural; el sentido del lugar como espacio de invención, recreación, relaciones sociales, diversidad, igualmente los lugares de la memoria, son para Pierre Nora (1986:15)

“no solo a los monumentos, espacios, paisajes u objetos, sino también a las fiestas, los emblemas, las conmemoraciones, los cantos, etcétera; en definitiva, todas las representaciones materiales o simbólicas portadoras de memoria. Su función en cuanto patrimonio memorial es la transformación de la memoria del pasado en una cuestión crítica del presente; gracias a un ejercicio colectivo de reflexión. Estos lugares de memoria, que también son de comunicación y difusión, nos llevan a una toma de conciencia basada no en las sombras del olvido, sino en la necesidad de reflexión”.

La memoria de los lugares forma parte un proceso histórico complejo: la representación en cuanto a cosmovisiones, atributos, fiestas, artefactos, música, instrumentos musicales, que amplía los escenarios para el planteamiento en relación a perspectiva de tensiones, problemas, interferencias sistémicas, dentro del acontecer histórico. Las pretensiones del eurocentrismo y su geopolítica del conocimiento permitieron el posicionamiento de un tipo de vida cultural autóctona. La interpelación de la memoria de los pueblos como elemento histórico frente a su condición colonial, es interpretada por Vargas y Sanoja (2013:37) en los siguientes términos:

“La condición colonial es la característica de un proceso que está presente en la historia de muchos países asiáticos, africanos y americanos como una instancia particular de la totalidad social capitalista, en la cual se produjo la conquista, la colonización de las tierras y la reducción de las poblaciones originarias. Dicho proceso estuvo determinado por la imposición de instituciones tales como la Encomienda, los Pueblos de Misión o las comunidades indias sometidas a la autoridad de un Corregidor, las cuales establecieron el régimen jurídico de la propiedad de la tierra, de las relaciones sociales, de la producción y de la distribución de lo producido”.

Memoria y territorio están presentes en las reflexiones de Vargas y Sanoja (2013:18) acerca de las *Regiones Históricas*, espacios íntimamente ligados con una dinámica sociocultural arraigada a los valores culturales:

“existe un proceso gradual de acumulación y transformación de los logros del trabajo humano, de las experiencias sociales vividas en el transcurso de centurias o milenios que denominamos herencia histórica. Este proceso tiene una definición espacial y se fundamenta en un sentido de identificación con un territorio determinado, en el cual conviven mayoritariamente personas que tienen una ascendencia y una historia comunes y que se expresan y comunican utilizando una misma lengua, mediante el compartir las experiencias y vivencias de la vida cotidiana, se van creando rutinas e torno a la manera de hacer las cosas, de las

conductas gestuales, de los códigos estéticos que norman la forma de vestirse, las costumbre de mesa, los usos sociales etc., todo lo cual desemboca en la creación de sentimiento de identidad cultural”.

La memoria latinoamericana forma parte de un proceso de resistencia que en su conciencia histórica podría generar autonomía (inmanencia) del mundo diverso; espacios de reflexión y participación para posicionarse y construir cultura propia a lugares heterogéneos. Al respecto, Bonfil (1992: 107) reivindica la autonomía cultural: “una cultura será autónoma cuando ejerza realmente las decisiones sobre los elementos propios; y apropiada cuando estas decisiones versen sobre elementos ajenos, incorporados mediante un proceso de adopción selectiva, al que acompaña una adaptación, es decir, una resignificación y una refuncionalización”.

La memoria como ejercicio y alternativa del conocimiento histórico, se construye significativamente a través de los contextos, permitiendo inferir en las problemáticas inherente del acontecer cultural y colectivo, las identidades culturales. En este sentido, la reconstrucción de la memoria en su dinámica de relaciones, tiene la misión de hacerse de un proceso donde el contexto (los lugares) represente la vida cultural en sus múltiples manifestaciones como un saber compartido.

2. Territorialidad en su perspectiva decolonial

América Latina se propone la participación en cuanto a derecho legítimo, así como la organización de movimientos, el ejercicio del poder y la emancipación social como formas de lucha protagónica ante las pretensiones de territorialidad eurocéntricas, en sus variadas formas de dominación. Las prácticas hegemónicas de dominación territorial están imbricadas en la uniformidad de voces. Porto Gocalves (2009: 160) advierte que:

“El poder decir y nombrar lo que es y lo que no es y, así, hacer de su mundo algo propio, rigurosamente, apropiárselo, escapa a los lugares, a los de los lugares. La oralidad, esencial en regímenes políticos-culturales deliberativos y no-deliberativos que piden que la comunidad se presente (y no re-presente) implica, es claro, espacios donde las voces pueden ser escuchadas (escala local, comunitaria). Es este cuerpo a cuerpo que está siendo evitado y el contacto, sabemos, engendra sentidos y emociones muy concretas y palpables, para lo que, en la lógica hegemónica, es preciso un saber que se abstrae en una pretendida universalidad, como si fuera de ningún lugar (atópico). Como se ve, epistemes y territorios se conforman”.

La interferencia en su dinámica socio histórica, a la que ha estado sometida la vida cultural latinoamericana, ha introducido en esta la coexistencia de una dualidad cultural en las formas de humanización: por un lado, arraigada al sentir originario; y por otro a los patrones de dominación. Sus identidades y diversidad han sido muchas veces reinventadas; su esencia cultural siempre ha estado en constante tensión. Porto Gocalves (2009: 171) afirma que:

“El arraigo espacial que las poblaciones subalternizadas se vieron creativamente obligadas a conformar en contextos históricos en el límite de la sobrevivencia (genocidio, etnocidio), nos muestra que invariablemente ocupan áreas remotas o de difícil acceso o desconectadas de los circuitos mercantiles, y que hoy en día son vulnerables desde el punto de vista hegemónico debido a la revolución de las relaciones sociales y del poder tecnológico, ya que representan una gran diversidad biológica, agua, energía etc. ...”.

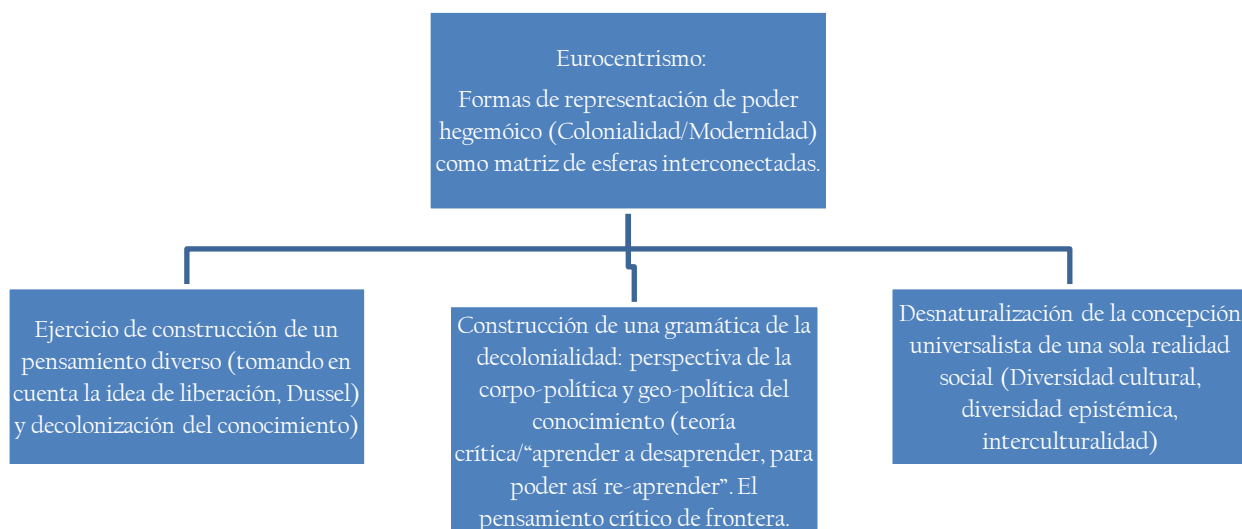
La territorialidad para Latinoamérica presenta amplios desafíos en el ejercicio de la emancipación social: encara un sistema cargado de conflictividad histórica, que se traduce en los condicionantes y antagonismos en las prácticas discursivas que hacen de la lucha por el territorio y los lugares un proceso permanente de participación activa, que ha permitido el resurgimiento de tradiciones y ha marcado un proceso de re-existencia en pleno ejercicio.

La territorialidad en el siglo XXI cobra sentido en las prácticas sociales del mundo diverso, creando espacios de lucha y emancipación; igualmente permite la superación de la colonialidad, mediante el establecimiento de la crítica, la visibilización de la hegemonía. Junto con esta, la participación es parte de la materialización – posicionamiento que permite distinguir el fallo de la dinámica hegemónica en sus expresiones: discriminación, división social y racismo.

En este sentido, el cambio profundo en América Latina, su proceso de emancipación, se fundamenta en la tesis de la pluriversalidad del conocimiento, como contrarespuesta y alternativa al bien común de los pueblos. Para Mignolo (2010), parte de la re-existencia se fundamenta en una desobediencia epistémica, que fundamente sus raíces en las formas cómo la geopolítica del conocimiento ejerció y estableció los condicionantes epistémicos para el ejercicio del poder. La pluriversalidad se ejerce para generar la descolonización del saber; toma en cuenta las razones históricas de los conflictos sociales, culturales, territoriales que

han moldeado la razón Latinoamérica. La perspectiva que fundamenta la pluraversalidad es la superación del eurocentrismo.

Figura 1. Pluraversalidad. *Desobediencia Epistémica* (Mignolo, 2010)



La pluraversalidad es una opción decolonial, la cual permite la construcción de una gramática interrelativa del acontecer y la necesidad de un cambio profundo. La tesis de la pluraversalidad genera la interpretación, para el establecimiento de un pensamiento que permita tener miramientos sobre la coexistencia ética y política; se trata de un pensamiento entre fronteras del saber, para el posicionamiento del derecho a la diversidad.

3. Territorialidades y diversidades

En América Latina existen tentativas de búsqueda de un quehacer compartido. Para ello es importante consolidar la visión del contexto de los lugares como diversidades, que permitan la autonomía en cuanto a igualdad cognitiva, y de paso a la resistencia como forma contestataria para generar un derecho pluralista, que tome en cuenta la diversidad como valor contundente de sus elementos socioculturales, donde la ancestralidad (a pesar de las circunstancias históricas del territorio, movilidad social y los lugares) tiene cabida en el quehacer sociopolítico.

En este sentido, Rogério Haesbaert (2020:268) destaca la trascendencia de la territorialidad, asociándolo a un estado de corporalidad, que requiere ser potencialmente valorado en su recorrido ancestral:

“La conceptualización de territorio en nuestro contexto, va mucho más allá de la clásica asociación a la escala y/o a la lógica estatal y se expande, transitando por diversas escalas, pero con un eje en la cuestión de la defensa de la propia vida, de la existencia o de una ontología terrena/territorial, vinculada a la herencia de un modelo capitalista extractivista, moderno-colonial de devastación y genocidio que, hasta hoy, pone en jaque la existencia de los grupos subalternos, especialmente, los pueblos originarios. Desdoblándose así, desde los territorios del/en el cuerpo íntimo (comenzando por el vientre materno), hasta lo que podemos denominar territorios-mundo, la Tierra como pluriverso cultural-natural o conjunto de mundos -y, consecuentemente, de territorialidades- a los que estamos inexorablemente unidos. Todo eso se desdobra hoy dentro de aquello que se designa como pensamiento decolonial, una búsqueda por pensar nuestro espacio y, de alguna forma, el propio mundo, considerando las bases espacio-temporales -la geo-historia, en fin- en la que estamos situados”.

Las diversas sociedades indígenas con sus saberes ancestrales, expresiones de convivencia pluriversal, que obedecen a las condiciones territoriales, son un ejemplo de la concepción de territorialidad y corporalidad. En tal sentido, el estudio de lo social y las Ciencias Sociales en Latinoamérica supone un desafío epistémico, signado por la revalorización de la corporalidad. En tal sentido, Viveiros de Castro: citado por Haesbaert (2020:275), afirma que:

“[...] los regímenes ontológicos amerindios divergen de aquellos más difundidos en Occidente precisamente en lo que concierne a las funciones semióticas inversas atribuidas al cuerpo y al alma. Para los [colonizadores] españoles [...] la dimensión marcada era el alma; para los indios, era el cuerpo. [...] El etnocentrismo de los europeos consistía en dudar [negar] que los cuerpos de los otros contuvieran un alma formalmente semejante a las que habitaban sus propios cuerpos; el etnocentrismo amerindio, al contrario, consistía en dudar que otras almas o espíritus fuesen dotadas de un cuerpo materialmente semejante a los cuerpos indígenas “Viveiros de Castro (2015, 37)

Conclusiones

Las reflexiones de este artículo abordan un proceso que marca un sentido epistémico contundente, donde el resurgir de los pueblos del Sur-global exige establecer miramientos acerca de las complejas realidades que coexisten (Balbás, 2020), logrando disponer de un

proceso que permita establecer la ruptura con los sistemas de opresión que han lesionado de manera permanente la coexistencia de los diversos mundos que integran parte importante del contexto latinoamericano.

América Latina debe transitar hacia una realidad corpo-política decolonial, que se manifiesta como categoría que merece ser analizada, con la intención de avanzar hacia un proceso dialéctico de reinterpretación desde las Ciencias Sociales, a fin de interrelacionar e interpelar nuevos escenarios que permitan confrontar sus problemáticas históricas.

La corpo-política posee principios imbricados en sistemas culturales, apostando al mantenimiento de nuevas posibilidades de invención del pensamiento, donde hablar de pluriversalidad en América Latina sería una alternativa, con plena correspondencia con su proceso histórico imbricado en la coexistencia real de un tejido social diverso y pluricultural.

De esta manera, reivindicar la movilidad social, la concepción de la territorialidad, la interseccionalidad, forma parte de un quehacer teórico heterogéneo envolvente, que pone de relieve lo controversial de las luchas sociales, y donde el principio de contingencia tiene que elevar el razonamiento circundante emergente latinoamericano.

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Activities of the Peasant Land Bank in Penza province of Russia (1883-1915)

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ABSTRACT

The reform of 1861 not only freed the peasants from serfdom, but also led to radical economic changes in the agrarian sphere. The peasantry was involved in civil and legal relations associated with the purchase and sale of land. In order to assist land-poor peasants in the purchase of land, a specialized credit institution was created, which issued loans on favorable terms against the security of the acquired land plots. The purpose of this study is to identify the features of the activity of the Peasant Land Bank in the territory of the Penza province of Russia. Based on the materials of the Penza province, the main indicators of the activity of the Peasant Land Bank are analyzed, the dynamics of credit operations, the influence of its activities on the growth of land prices are considered, regional features of the processes under study are indicated. As a result of the study, it was concluded that the creation and operation of the Peasant Land Bank was an element of the government's agricultural policy aimed at creating peasant land tenure by providing loans to buy land from private owners.

KEY WORDS: bank; credit; financing; loans; agricultural credit; institution; land; history of Russia.

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Actividades del Banco de Tierras Campesinas en la provincia de Penza en Rusia (1883-1915)

RESUMEN

La reforma de 1861 no sólo liberó a los campesinos de la servidumbre, sino que también condujo a cambios económicos radicales en la esfera agraria. El campesinado estaba involucrado en relaciones civiles y legales asociadas con la compra y venta de tierras. Con el fin de ayudar a los campesinos pobres en la compra de tierras, se creó una institución de crédito especializada, que emitió préstamos en condiciones favorables contra la seguridad de las parcelas de tierra adquiridas. El propósito de este estudio es identificar las características de la actividad del Banco de Tierras Campesinas en el territorio de la provincia de Penza de Rusia. Con base en los materiales de la provincia de Penza, se analizan los principales indicadores de la actividad del Banco de Tierras Campesinas, se considera la dinámica de las operaciones de crédito, la influencia de sus actividades en el crecimiento de los precios de la tierra, se indican las características regionales de los procesos en estudio. Como resultado del estudio, se concluyó que la creación y operación del Banco de Tierras Campesinas era un elemento de la política agrícola del gobierno destinada a crear la tenencia de la tierra campesina mediante la concesión de préstamos para comprar tierras a propietarios privados.

PALABRAS CLAVE: banco; crédito; financiación; préstamos; crédito agrícola; institución; tierras; historia de Rusia.

Introduction

The reforms of the mid-19th century radically changed the agrarian sphere of pre-revolutionary Russia. As a result, representatives of almost any class could become land owners, including the peasantry, who suffered from land scarcity. Most representatives of the peasantry could not afford to buy the required amount of land, which led to the development in the first decades of the post-reform lease relations, and subsequently the market for mortgage loans secured by land. Having become a participant in civil law relations related to the sale and purchase of land, the peasantry was able not only to process it, but also to acquire property. In economic terms, this estate was the weakest in pre-revolutionary Russia, low purchasing power limited the activity of the peasantry in the land market and prevented the solution of the pressing land issue.

The Peasant Land Bank was created as a specialized state lending institution to facilitate the purchase of land by the peasantry. The peasant land bank issued loans on favorable terms in cash secured by the land they bought from private owners, and subsequently from the bank itself. At the same time, this credit institution acted as an instrument of agrarian policy, functioning in close connection with the noble bank, another estate bank, it gradually began to realize to a greater extent the interests of large landowners, buying out land plots from them at fixed prices, thereby contributing to an increase in land prices and undermining the already low purchasing power of the peasantry.

The purpose of this study is to identify the features of the activity of the Peasant Land Bank in the territory of the Penza province of Russia during the period under review.

1. Materials and methods

Consideration of the main indicators of the activity of the Peasant Land Bank on the territory of the Penza province was carried out on the basis of a comprehensive analysis of the reports of this credit institution for the period from 1883 to 1915. The processing and analysis of this kind of sources predetermined the use of a number of historical and economic methods: quantitative analysis, statistical, comparative historical, systemic, etc.

The issues of the creation and functioning of the Peasant Land Bank in the second half of the 19th century - the beginning of the 20th century arouses quite a lot of research interest to this day; at the same time, the attention of scientists is focused mainly on the all-Russian indicators, the activities of the Peasant Bank in the territory of certain regions and provinces are covered much less often. The coverage of the main indicators of the bank's activities in the Penza province was carried out for the first time, which cannot but arouse interest among researchers who are not indifferent to the history of Russia.

2. Analysis of results

After the reforms of 1860 - 1870, land becomes a full-fledged object of sale and purchase, and all estates were included in the system of these relations, including the peasantry, which received personal freedom, albeit limited, according to the Manifesto "On the All-Merciful Granting of Serfs Rights the state of free rural inhabitants, and the structure of their life"(On the all-merciful granting, 1861) dated February 19, 1861, and the Regulations

on the peasants who have emerged from serfdom adopted on its basis (Regulations on the peasants, 1861). In particular, the Regulation fixed for the peasants a temporary obligation “for the allotted allotment ... to serve, in favor of the landlords ... obligations: work or money” (Regulations on the peasants, 1861), this led to the involvement of peasants in the system of civil law relations, from that moment they could acquire real estate, conclude transactions, including with the ground. In addition, as a result of the reform, peasant holdings were significantly reduced, which caused a significant demand for land. One of the means of solving the “land issue” was the provision of a soft loan for the purchase of land, for which the Peasant Land Bank was created, the main purpose of which was to provide peasants with long-term loans on favorable terms to assist in the purchase of land from private owners “in cases where landowners want to sell, and the peasants to buy them” (Regulations on the peasant, 1882).

Thus, the creation of the Peasant Land Bank was caused by a number of reasons, primarily the shortcomings of the Regulation on peasants who emerged from serfdom on February 19, 1861 (Regulations on the peasants, 1861). In accordance with the Regulation, it was possible to take the land owed in full, but with a ransom, or a quarter of it, but free; the presence of cuts, the traditional system of duties, prompting the landowners to strive for the peasants to buy out a smaller allotment, since in this case the redemption amount per tithe increased accordingly, as well as a number of other circumstances led to a peasant land shortage. In addition, the landlessness of the peasantry was facilitated by natural population growth, so according to A.N. Zak, the rural male population in all categories of peasants was equal to 23.1 million souls in 50 provinces of European Russia in 1860, 31.5 million souls in 1880, correspondingly, the per capita allotment for one male peasant soul decreased (Zak Peasant, 1911).

In general, establishing the Peasant Land Bank, the government pursued two goals: the development of land tenure among land-poor peasants, as well as assistance to the peasants who were stronger in terms of property, as an element more adapted to the perception of higher agricultural practices and, for purely political reasons, for the sake of creating a class of “strong peasantry”, as an element of a more conservative, therefore, and more suitable for the dominant system of government at that time (Richter Agrarian, 1917).

According to the Regulations of 1882, the Peasant Land Bank was “a government agency under the authority of the Minister of Finance”. The bank's activities gradually spread “to certain areas of the Empire, by agreement of the ministers of finance and internal affairs” (Regulations on the peasant, 1882).

Initially, the Bank's actions extended to the territory of European Russia, with the exception of the Kingdom of Poland and the Baltic provinces. The Kingdom of Poland was included in the scope of the bank from 1890, and the Transcaucasus and the Baltic provinces from 1906 (Proskuryakova, 1993). Every year the territory of its activity expanded and 52 local branches of the Peasant Bank functioned by the end of 1915, its activities extended to 68 provinces and 5 overgrowths of the European and Asian parts of Russia (however, military operations against Germany and Austria-Hungary forced the evacuation of branches from the provinces Kingdom of Poland, as well as Kholmok, Courland, Kovno, Grodno, Livonia, Vilna, Minsk and Podolsk provinces to the central cities of the Empire: Moscow, Ryazan, Penza, Oryol, Voronezh, Chernigov, Tambov, Simbirsk and Saratov) (Report of the Peasant Land Bank, 1915).

The Penza branch of the Peasant Land Bank was opened on January 31, 1884 for lending to peasants for the purchase of land and was directly subordinate to the Council of the Bank. The bank branch consisted of: its manager, appointed by the Minister of Finance, one member, appointed by the governor, and two members, elected by the provincial zemstvo assembly. In addition to the aforementioned persons, the staff in the distance included a significant number of service personnel. The list of employees in 1908 in the Penza branch of the Peasant Land Bank included: 9 permanent members, 3 clerks, 3 clerk assistants, 4 accountants, 3 accountant assistants, 1 forestry scientist, 1 forest technician, 1 scribe in the civil service and 55 scribes “for free hire” (State Archives of the Penza Region). As can be seen from the number of employees, the Penza branch of the bank was a fairly developed structure, which was due to a large number of cases on the issuance of loans. The Penza branch of the Peasant Land Bank was opened on January 31, 1884 for lending to peasants for the purchase of land and was directly subordinate to the Council of the Bank. The bank branch consisted of: its manager, appointed by the Minister of Finance, one member, appointed by the governor, and two members, elected by the provincial zemstvo assembly. In addition to the aforementioned persons, the staff in the distance included a significant number of service

personnel. The list of employees in 1908 in the Penza branch of the Peasant Land Bank included: 9 permanent members, 3 clerks, 3 clerk assistants, 4 accountants, 3 accountant assistants, 1 forestry scientist, 1 forest technician, 1 scribe in the civil service and 55 scribes "for free hire." As can be seen from the number of employees, the Penza branch of the bank was a fairly developed structure, which was due to a large number of cases on the issuance of loans. In particular, according to Article 8 of the 1892 Regulation, employees in the branches carried out: receiving applications from those wishing to buy land with the assistance of a bank, procedures for appraising land plots, assisting sellers and buyers in making transactions, issuing loans authorized by the Council of the bank, applying for benefits and installments payments in case of force majeure; measures to collect overdue debts (Regulations on the peasant, 1882). The charter, approved on November 27, 1895 and terminated the provision of 1882, additionally entrusted the bank branches with the duties "for the economic administration of the estates" belonging to the bank, for "drawing up proposals for the sale of the bank's lands. Moreover, the list of subjects of management of the branches was not exhaustive in the Charter of 1895, unlike the provision of 1882, in particular, the branches were entrusted with "the fulfillment of other duties assigned to them by the Charter, the Order and special orders of the Minister of Finance, the Council and the Bank Manager" (Charter of a peasant land bank, 1895).

Loans were issued to individual peasants, rural societies and partnerships, subject to mutual guarantees. Preference was given to the first two before 1906, and to individual householders after the start of the Stolypin agrarian reform. Initially, only persons belonging to the peasant class could use the services of the bank. Subsequently, at the request of the bank, the circle of those using the services of the bank was expanded by representatives of other estates engaged in agriculture. The bank's board was charged with managing the estates remaining with the bank and selling them. The loan term was originally set from 24 years and 6 months to 34 years and 6 months (Regulations on the peasant, 1882), and from 13 years to 51 years and 9 months from 1895 (Charter of a peasant land bank, 1895).

In general, three significantly different periods can be distinguished in the activities of the Peasant Land Bank: 1) 1883 - 1895; 2) 1896 - 1905; 3) 1906 - 1917. This was noticed by A.N. Zach in his work, published in 1911 (Zak Peasant, 1911), i.e. when the bank continued to

function. The same periods are distinguished by N.A. Proskuryakov (Proskuryakova, 1993) and S.A. Frolov (Frolov, 2004).

It should be noted that the periodization of the bank's activities looks very reasonable. Three periods are traced in the activity of the credit institution under consideration, according to the periodization adopted in the scientific literature. The first covers the activities of the bank on the basis of the Regulation of May 18, 1882 (Regulations on the peasant, 1882), when it was given the right to perform intermediary functions in the purchase of land by peasants from private owners, issuing loans for this purpose against the security of the purchased land. In fact, the bank began issuing loans on April 10, 1883, after, in addition to Regulation 1882, the rules "On the procedure for the commission of serf acts for the purchase of land plots acquired with the assistance of the Peasant Land Bank" were adopted (On the procedure for the commission, 1883). The second period includes the activities of the Peasant Bank according to the rules approved by the Charter of November 27, 1895 (Charter of a peasant land bank, 1895), which gave him the right to acquire land from private owners at the expense of his own capital for the purpose of their further resale to peasants. The amount of equity capital was limited to 50 million rubles, which was enshrined in clause 8 of the Manifesto of November 14, 1894 (On the most mercifully, 1894). The third period is associated with the implementation of the Stolypin agrarian reform, in which he was assigned one of the most important roles. In accordance with the Manifesto of November 3, 1905, the Peasant Bank had the opportunity to "more successfully help land-poor peasants in expanding the purchase of their land holdings by increasing the bank's funds and establishing more favorable rules for issuing loans" (On improving the welfare, 1905). On the same day, a decree was adopted that removed the restrictions on the size of the bank's equity capital: "to replenish the bank's equity capital, sell certificates as the actual need for amounts for the bank to purchase land" (On facilitating the task, 1905). It should be noted here that traditionally the third period of the bank's activity is associated with the beginning of the Stolypin transformations, although the reforms began with the adoption of the Decree of November 9, 1906 (On the addition of some, 1906), which legalized the withdrawal of peasants from the community, at the same time the expansion of the bank's activities was approved by the aforementioned Manifesto and Decree. Thus, if the Charter of 1895 limited

the volume of purchased land to the size of its own capital, then during the period of the agrarian reform these restrictions were actually lifted.

The activities of the Peasant Land Bank on the territory of the Penza province will be considered by us on the basis of the periodization described above.

During the period when the Peasant Land Bank was created, long-term credit was viewed as an important measure that could bring peasants out of the difficult situation in which they found themselves after the reforms of the mid-19th century.

The peasant land shortage caused a significant interest on the part of the peasants in the possibility of buying land through the intermediary of the bank in question in the first years of its activity. Thus, 692 loans in the amount of 9,529,369 rubles were issued throughout the entire territory of the bank's activity in 1884, 210,047 dessiatines of land were pledged; 1,180 loans in the amount of 13,761,978 rubles secured by 318,002 dessiatines of land were issued in 1885; 1,209 loans in the amount of 11,148,850 rubles secured by 294,688 dessiatines of land were issued in 1886. In the future, there is a gradual decline in lending to the Peasant Land Bank, the peak of which was reached by 1889, when only 922 loans were issued in the amount of 3,692,134 rubles secured by 156,347 dessiatines of land, after which the indicators under consideration stabilized. In total, for the period from 1883 to 1895, 14,925 loans were issued on the territory of Russia, on the security of 2,411,865 dessiatines of land in the amount of 82,359,684 rubles. You can see practically the same processes in the Penza province: there was a great demand for credit in 1884 and 1885, 16 and 27 loans were issued in the amount of 382,060 and 447,320 rubles, secured by 4,284 and 6,668 dessiatines of land, respectively; then a noticeable decline in indicators, the peak of which fell on 1893, in contrast to the country as a whole, when only 2 loans were issued secured by 166 dessiatines of land in the amount of 3,575 rubles. In total, during the period under study, 81 loans were issued in the amount of 1,161,880 rubles in the territory of the Penza province, 18,410 dessiatines of land were pledged. At the same time, the share of the province in question in the total volume of the bank's activities for the period under study was extremely insignificant and amounted to only 0.5% of the total number of loans issued, 0.8% of all land pledged in the bank and 1.4% of the total loan amount (Table 1).

Table 1. Loans issued by the Peasant Land Bank in Russia and the Penza province in the period from 1883 to 1895 (Report of the Peasant Land Bank 1884-1895, 1915).

Years	Penza province			Total across Russia		
	Number of loans	Amount of dessiatines of land	Loan amount, ruble	Number of loans	Amount of dessiatines of land	Loan amount, ruble
1883	0	0	0	69	18 237	861 163
1884	16	4 284	382 060	692	210 047	9 529 369
1885	27	6 668	447 320	1 180	318 002	13 761 978
1886	8	2 139	110 650	1 209	294 688	11 148 850
1887	5	2 319	122 695	1 035	219 480	7 495 197
1888	4	248	9 520	1 057	190 463	5 133 539
1889	3	633	21 450	922	156 347	3 692 134
1890	4	439	15 910	1 203	172 138	4 519 209
1891	2	220	10 500	1 186	162 940	4 438 667
1892	2	192	13 350	1 343	148 018	4 554 647
1893	2	166	3 575	1 488	157 298	5 175 814
1894	4	611	12 350	1 680	180 965	5 743 882
1895	4	491	12 500	1 861	183 242	6 305 235
Total	81	18 410	1 161 880	14 925	2 411 865	82 359 684

The significant reduction in the bank's lending operations, both in Russia as a whole and in the Penza province, can be explained by several reasons. First of all, this is the fall in grain prices due to the agrarian crisis of the early 1880s, which led to a gradual decline in the solvency of the peasantry. Secondly, the beginning of the operation of the Noble Land Bank in 1885, the volume of activity of which immediately reached an impressive size, which is explained by the desire of the landowners to transfer their estates mortgaged in private banks to the Noble Bank, which provided more favorable credit conditions (Fedoseev and others, 2019). In addition, as D.I. Richter “the nobles had the opportunity to acquire a loan on favorable terms against their collateral without liquidating their lands” (Richter Agrarian, 1917). Thirdly, the excessive activity of the Peasant Bank, which put up for sale a large amount of land in the first years of its activity due to the significant demand for it from the peasantry.

The next payments in the amount of 77,961 rubles 51 kopecks should have been received in 1887, in fact, 38,217 rubles 27 kopecks were paid. Underpayment of payments amounted to 50.1%, and if we take the entire territory of the bank's activity, then the situation was worse only in the Orenburg province, where the underpayment was 72.3% (State Archives of the Penza Region). All this led to an increase in arrears, and Penza province was

one of the leaders in this indicator. As noted in the bank's report for 1890, "the reason for the accumulation of these arrears is very varied; one of the more important between them, covering a significant part of Russia, must be considered a number of poor harvests, as well as the fall in prices for agricultural products" (Report of the Peasant Land Bank, 1890). The above circumstances naturally influenced the activities of the Bank's Council, which was forced, due to the growth of arrears and the resulting need to sell many land plots, to be particularly cautious about approving new requests from the bank's branches for loan permission.

Another important factor was that the bank's activity in the first two periods of its operation was focused on the issuance of loans to rural societies and partnerships, which were bound by a mutual guarantee on the issue of the payment of regular payments, on the contrary, the issuance of loans to individual peasants was a single phenomenon. Initially, the government, although it was determined to improve the provision of land to peasants, was focused on preserving communal land tenure, therefore the Peasant Bank provided more favorable credit conditions to rural societies and partnerships than to individual households (Proskuryakova, 1993). Beyond the general direction of government policy, the bank's focus on "collective" clients is partly due to purely practical reasons. It is difficult to find small plots of land at an affordable price in order to subsequently meet the demand from individual peasants (Ruziyeva and others, 2019). It is also obvious that the larger the size of the purchased plot, the lower the average price of 1 dessiatines of land, further reselling the land to the peasants in small shares, the bank could receive great benefits.

This fact is confirmed by the data contained in Table 2. Considering the methods of land acquisition by peasants through the mediation of the Peasant Land Bank in the period from 1884 to 1895, it can be seen that the most active peasants of the Penza province acquired land as part of rural societies. 14,567 dessiatines of land were acquired in this way. The total amount of the loans was 968,635 rubles. As part of the partnerships, almost 4 times less were purchased - 3,799 dessiatines, the size of the loans was 191,245 rubles, and only 45 dessiatines were purchased through the intermediary of the bank by individual peasants with a loan of 2,000 rubles, and this opportunity was used only in Saransk and Penza districts. Most of the land was acquired in the Gorodishchensky district - 4,800 dessiatines (26.1% of the total for the province), followed by the Penza district, where 3,127 dessiatines (17.0%) were

purchased. Least of all, the peasants of the Kerensky district used the services of the bank, where only 28 dessiatines of land purchased as part of the partnership were laid. It is interesting that, in general, the peasants in Russia were more willing to buy out land as part of not rural societies, but partnerships. So, as part of the latter, they bought 1,417,493 dessiatines of land, with a total loan of 47,877,993 rubles. Whereas in the composition of rural communities there are 950,237 dessiatines of land and 33,421,500 rubles, respectively (see: Table 2).

Table 2. Ways of acquiring land by peasants through the mediation of the Peasant Land Bank in the Penza province in the period from 1884 to 1895 (Report of the Peasant Land Bank 1896).

County	Rural societies		Partnerships		Peasants	
	Amount of dessiatines of land	Loan amount, ruble	Amount of dessiatines of land	Loan amount, ruble	Amount of dessiatines of land	Loan amount, ruble
Gorodischensky	3 582	150 795	1 218	19 625	0	0
Insarsky	2 185	150 365	168	9 350	0	0
Kerensky	0	0	28	1 800	0	0
Krasnoslobodsky	435	10 000	0	0	0	0
Mokshansky	1 654	148 660	372	22 155	0	0
Narovchatsky	1 244	74 650	0	0	0	0
Nizhnelomovsky	546	44 260	381	18 850	0	0
Penza	2 595	243 955	502	33 675	30	1 250
Saransk	1 680	87 000	431	17 890	15	750
Chembarsky	646	58 950	699	67 900	0	0
Total for the province	14 567	968 635	3 799	191 245	45	2 000
Total for Russia	950 237	33 421 500	1 417 493	47 877 993	44 214	1 097 067

In a situation where one of the members of the corresponding society or partnership could not contribute their share of the funds, they were distributed among the other members, which had a negative impact on the development of economically active part of the peasants who were part of these collectives, causing a decline in interest in obtaining a loan as part of a particular group of peasants. “Large sums are issued on a mutual guarantee to a significant number of borrowers, sometimes not related to each other by anything except participation in the purchase, among which, therefore, very often disputes and troubles arise, making it difficult for the correct receipt of urgent payments. This inevitably entails the

confiscation of land by the bank and their sale at public auction” (Report of the Peasant Land Bank, 1889).

Among other things, the organization of the bank's activities was aimed at ensuring that it would resort to government assistance as little as possible. Accordingly, the loan issued for the initial expenses of the bank was repaid as soon as possible and in the future the bank could manage with its own funds. Based on this, the bank began to issue 5.5% of the certificate, and also set a fee of 1% for management costs. In addition, short periods were set for peasants to repay the debt (24.5 and 34.5 years), while payments were charged from 1 to 2% per year. Thanks to this, annual payments were 7.5% for a loan for 34.5 years and 8.5% for a loan for 24.5 years (Hertsenstein Nationalization, 1905). But despite the relative high cost of credit, the peasants began to actively buy up land through the bank. As can be seen from Table 1, 10,952 dessiatines of land were laid on the territory of the Penza province in 1884 and 1885, which was 59.5% of the total number of dessiatines of land laid in the period from 1884 to 1895 (18,411 dessiatines). The total loan amount was 829,380 rubles, or 71.4% of the total amount of loans issued for the entire analyzed period of time (1,161,880 rubles). At the same time, the demand for credit here was much higher than in Russia as a whole, where in 1884 - 1885, 528,049 dessiatines of land were purchased through the intermediary of the bank, which amounted to 21.9% of 2,411,865 dessiatines of the total amount of land purchased in the period from 1883 to 1895. The total loan amount was 23,291,347 rubles, or 28.3% of the 82,359,684 rubles issued in that period.

However, the negative consequences of an expensive loan and unjustified acquisition of land plots soon emerged. Many transactions turned out to be extremely unprofitable, due to which up to 15% of all loans were unviable, the peasants stopped cultivating the purchased land, despite the fact that they made additional payments when buying it. Payments were made irregularly, and the bank faced big problems in the sale of the remaining land on its balance sheet. As noted above, the growth of arrears began, and Penza province was one of the leaders in this indicator.

Under the influence of these unfavorable factors, mainly due to the fact that a large amount of property was transferred to the bank's ownership, views on peasant credit began to change (Zapariy Antoshin Strategies, 2020). However, the bank embarked on the path of curtailing its activities, instead of carefully examining the reasons for the massive

abandonment of land purchased through the bank, and immediately begin to lower payments (Hertsenstein Nationalization, 1905). In particular, in the period from 1887 to 1895 inclusively, 383 land plots from 120 192 dessiatines of land, on which there was a capital debt in the amount of 6,914,655 rubles, came into the ownership of the bank from faulty borrowers, there were 27 such plots in the Penza province, the amount of land is 9,800 dessiatines, the amount of capital debt is 599,205 rubles (Report of the Peasant Land Bank, 1895).

Thus, the activities of the Peasant Land Bank on the territory of the Penza province in the period from 1884 to 1895 were carried out in the general course of the credit policy pursued by it on the territory of Russia, but had a certain specificity. Thus, the peasants of the province were more willing to take out loans for the purchase of land as part of rural societies, rather than partnerships, as was the case in the country as a whole. The high cost of credit led to the non-viability of many transactions and to an increase in arrears, as a result, to a reduction in the number of transactions. During the first period of the bank's activity on the territory of the Penza province, 81 loans were issued in the amount of 1,161,880 rubles, 18,410 dessiatines of land were pledged. At the same time, the volume of the bank's activities in the surveyed province was insignificant, accounting for only about 1% of the total volume of operations carried out by it in the country as a whole. With the help of the bank, the peasantry of the province acquired just over 18 thousand dessiatines of land, while according to official statistics in 1877, all private land owners in the province owned 1,287,473 dessiatines, of which 53,854 dessiatines (Statistics of land tenure, 1905), were owned by peasants. Therefore, it becomes obvious that the Peasant Bank for the first 12 years of its activity on the territory of the province could not solve its goal - the development of land tenure among land-poor peasants. At the same time, it should be noted that the very fact of the creation of a specialized credit institution, whose activities were aimed at providing the peasantry with a soft loan for the purchase of land, thereby contributing to the reduction of land shortages among this class was of great importance.

The second period of the Peasant Bank's activity, as we have already noted, dates from 1896 to 1905, while the reform associated with giving the bank the opportunity to independently purchase land was caused by purely economic reasons. The agrarian crisis, aggravated in Russia in the early 1890s, forced the government to take measures to support

large landownership, giving it the opportunity, along with the already existing right of pledge of land in the Noble Bank, to sell part of its allotments to the Peasant Bank, which would help in making payments arrears on loans and support for their farm, while contributing to land provision for peasants who could subsequently acquire this land (Zak Peasant, 1911).

So, after the adoption of the Charter of 1895 (Charter of a peasant land bank, 1895), the second period of its activity began, the status of the Peasant Bank changed significantly. He received the right to buy land from his own capital for resale to the peasants. Moreover, it was essentially an "exclusive" right, because neither the Noble Land Bank, nor the joint-stock land banks had such a right, only having the opportunity to keep on the balance sheet the lands of "faulty borrowers" that were not sold at auction. However, it should be noted that the bank already had the experience of acquiring land at its own expense: the bank acquired the Pesochensky estate in the Ryazan province in 1893, but this was a one-time case "on the basis of the Imperial command of August 26, 1893" (Report of the Peasant Land Bank, 1896).

The bank began to provide three types of loans from that moment: 1) loans secured by land purchased by peasants from private owners; 2) loans secured by land purchased from a bank; 3) loans secured by land purchased without the assistance of a bank. In addition, the new Charter, of 1895, provided the right to use the credit of the Peasant Land Bank to all bourgeois landowners living in rural areas, constantly engaged in agriculture (Charter of a peasant land bank, 1895). At the same time, the vast majority of the bank's clients continued to be peasants. From 1895 to 1905, the bank sold 626 181.87 dessiatines of land, of the indicated amount of land sold to peasants 603 259 dessiatines, which was 96.3% of the total area of land sold (Proskuryakova Land, 1993).

Changes in the legal status of the Peasant Bank could not but affect the volume of its activities, which began to increase rather quickly. So, only 3 loans for the purchase of 573 dessiatines of land in the amount of 32,940 rubles were issued in 1896 in the Penza province. Just two years later, there were already 35 transactions, 11,824 dessiatines were purchased for the amount of 751,179 rubles, a little less in 1899 - 10,960 dessiatines of land for the amount of 781,506 rubles for 60 transactions. The bank issued even more loans in 1900 - 88, the size of the loan was 1,378,110 rubles, 18,461 dessiatines of land were purchased. The largest volume of transactions in the period from 1896 to 1905 was carried out by the bank in 1903, when 75

loans were issued, while 25,875 dessiatines of land were sold for the amount of 1,466,800 rubles. In total, for the period from 1896 to 1905, 506 loans were issued in the province under consideration, 117,050 dessiatines of land were sold in the amount of 7,984,753 rubles. A significant increase in the volume of the bank's activities on the territory of the Penza province can be confirmed by the fact that in 1900 alone, the number of loans (88), their monetary equivalent (1,378,110 rubles) and the area of land sold (18,461 dessiatines) was greater than for the entire period from 1884 by 1895, when 81 loans were issued, 18,410 dessiatines of land were sold for an amount equal to 1,161,880 rubles (see: tables 1 and 3).

Similar trends were observed in the territory of Russia as a whole. The data in Table 3 recorded a constant growth in the volume of the bank's activity since 1896, the peak of which, as in the Penza province, in 1903, when 5,539 loans were issued in the amount of 60,044,054 rubles, while 739,581 dessiatines of land were sold. At the same time, the majority of loan agreements were concluded (6 385), and land was sold (817 365 dessiatins) in 1900, however, the amount of loans issued amounted to 53 514 814 rubles, which is almost 6.5 million rubles less than in 1903. In total, during the studied period of time, 5,864,329 dessiatines of land were sold through the intermediary of the bank and 45,257 loans were issued in the amount of 409,942,136 rubles (see: Table 5).

At the same time, the share of the province in question in the all-Russian indicators, although increased, continued to remain insignificant. For example, in 1900, only 0.4% of the total number of transactions, 2.2% of the land sold and 2.6% of the loan amount, in 1903 1.3%, 3.5% and 2.4 % respectively. In 1905, i.e. at the end of the period under review 0.6% of the total number of transactions, 1.8% of the land sold and 1.6% of the total loan amount. In general, over 10 years of the second period, 1.2% of all transactions carried out by the bank (506 out of 45,257), 1.2% of the total amount of land sold with its assistance (117,050 out of 5,864,329 dess.), Finally, 1, 9% of the total loan amount (7,984,753 of 409,942,136 rubles). Thus, the statistical data presented in table 5 indicate that in the Penza province, the bank's activity after the reorganization has noticeably intensified, the volume of loans issued has increased significantly, the share of the province in the total scale of the studied credit institution has gradually increased (see: table 3).

Table 3. Loans issued by the Peasant Land Bank in Russia and the Penza province in the period from 1896 to 1905 (Report of the Peasant Land Bank 1896-1905).

Years	Penza province			Total across Russia		
	Number of loans	Amount of dessiatines of land	Loan amount, ruble	Number of loans	Amount of dessiatines of land	Loan amount, ruble
1896	3	573	32 940	1 783	208 658	7 254 782
1897	9	1 511	84 454	2 230	356 314	20 894 698
1898	35	11 824	751 179	3 859	590 229	36 472 530
1899	60	10 960	690 920	5 621	717 386	44 569 437
1900	88	18 461	1 378 110	6 385	817 365	53 514 814
1901	75	16 995	1 254 180	5 792	775 251	54 270 422
1902	74	13 983	1 085 160	6 056	695 514	55 737 824
1903	75	25 875	1 466 800	5 539	739 581	60 044 054
1904	66	9 511	746 790	4 729	567 628	46 152 170
1905	21	7 357	494 220	3 263	396 403	31 031 405
Total	506	117 050	7 984 753	45 257	5 864 329	409 942 136

The increase in the volume of loans issued created the basis for a significant increase in prices for land purchased through the intermediary of the Peasant Bank. So, in 1896 in the Penza province the price was set at around 60 rubles per 1 dessiatine, and by 1905 it reached 85 rubles per 1 dessiatine, an increase of 29.5%. At the same time, in Russia as a whole, a much more noticeable increase in prices was observed, from 1895 to 1905 the cost of 1 dessiatine of land purchased with the assistance of a bank more than doubled from 49 to 111 rubles (see: Table 4). Thus, the more the bank increased the volume of its activities, the more expensive it had to buy land for its clients. The increase in prices was influenced by both the preferential nature and ease of obtaining a loan, and the activities of the bank itself, because when applying for a loan, its size directly depended on the bank's assessment of the land plots against which the loan was issued. And although the bank began to publish the estimated statistics of land acquired with its assistance only since 1898, looking at the data in Table 5, one can see that the average valuation of land in the second period of its activity, as well as the purchase price, increased quite significantly, and it even was larger than the latter in 1898, 1899 and 1900 in the Penza province.

The opportunity given to the Peasant Bank to buy land from its own capital for resale to the peasants gave rise to a number of negative moments, since most of the land was acquired from the nobles and the bank was largely guided by their interests. So, for the period

from 1893 (when the Pesochenskoye estate was acquired) and up to 1905, the bank purchased 504 estates in the amount of 961,487 dessiatines, while from the representatives of the "upper class" they bought 308 (61.1%) estates in the amount of 660 934 dessiatines of land (68.7%) (Report of the Peasant Land Bank, 1883-1905). As F. Turner pointed out, "in most cases giving preference to the nobles over sellers belonging to other estates, the bank thereby sought to provide the nobles with the opportunity to sell economically weak estates, which, without such assistance from the bank, would be subject to unprofitable and often forced sale" (Turner State, 1901).

Table 4. Average price of 1 dessiatines of land purchased through the mediation of the Peasant Land Bank in the period from 1895 to 1905 (Report of the Peasant Land Bank 1900, 1905).

Years	Average purchase price of 1 dessiatines of land (ruble)		Average estimate of 1 dessiatines of land (ruble)	
	Penza province	European Russia	Penza province	European Russia
1896	60	49	n/a	n/a
1897	64	71	n/a	n/a
1898	69	76	74	72
1899	71	78	78	72
1900	85	83	86	76
1901	85	91	83	81
1902	92	108	87	93
1903	67	108	64	93
1904	98	112	89	95
1905	85	111	78	96

The purchase of unprofitable and loaned land began, for which there was no demand from other potential buyers, as well as land that, according to its economic characteristics, did not suit the peasants. So, A. N. Zak noted that "for owners of estates, especially those burdened with debts to land banks, this opportunity to sell their land directly into the hands of the Peasant Land Bank is sometimes very, very serious help: after all, there are not always buyers at all and peasants in particular; it is not uncommon for private buyers to refrain from entering into a transaction with the owner of the land, waiting either for the most unfavorable time for him or the moment of the forced sale of the owed estate, from public auctions for debts to banks" (Zak Peasant, 1911).

Thus, the second period of the Peasant Land Bank's activity in the Penza province was marked by a significant increase in both the total number of transactions (from 81 to 505), as well as the size of land acquired by peasants through its intermediary (from 18,410 dessiatines to 117,050 dessiatines) and, accordingly, the amount issued loans (1 161 880 rubles to 7 984 753 rubles). But along with an increase in the volume of loans issued, the number of estates remaining in the pledge of the bank, estates transferred to its balance sheet from non-payers, and, more importantly, there was a significant increase in land prices (from 1896 to 1905, an increase was 29.5%), which hardly contributed to the growth of the well-being of the peasant population. But low interest rates (the maximum decrease dates back to 1898, when loan payments were lowered to 4% per year, both for loans already issued and for loans issued later) (On the reduction of payments 1898), as well as the availability of loans, right up to the beginning of agrarian unrest, nevertheless increased the demand for credit.

As noted above, with the adoption of the Manifesto of November 3, 1905 (On improving the welfare, 1905), the third stage of the activity of the Peasant Land Bank begins and this credit institution becomes an even more important instrument of the government's agrarian policy. As N. A. Proskuryakova justly noted: "The Peasant Land Bank occupied a special place in the system of land credit. This was determined by the role he played in the government's attempts to solve the peasant question. After the beginning of agrarian unrest, a gradual transition from a passive instrument of conservation of the existing system of land relations in the 80-90s of the 19th century to active intervention in the process of mobilizing land ownership at the beginning of the 20th century began" (Proskuryakova Land, 1993).

The reasons for the significant reorganization of the bank, in our opinion, were aptly noted by A. N. Zak, who wrote that "If before the main motivation for the sale of land were purely economic reasons, now it is joined here, and sometimes displaces the rest, a political motive. It is precisely the fear of the possibility of complete expropriation, the hope to appease the peasants, partially satisfying their hunger for land and, finally, the desire of the landowners to use the moment to sell the land before it's too late" (Zak Peasant, 1911).

At the same time, changes in the legal status of this credit institution were not limited only to the Manifesto of 1905, during 1906 another 14 different legalizations and orders were issued regarding its activities. The main changes concerned the following: on March 21, the Peasant Bank, along with the Noble Bank, stopped issuing loans in cash, replacing them with

the issuance of mortgage sheets (On changing the grounds, 1900); On April 26, the bank in question was granted the right to take over debts on the estates mortgaged in the State Noble land and joint-stock land banks, with the release of the corresponding estates from the pledge to the indicated credit institutions (On granting the Peasant Land Bank 26.04.1906); On August 30, the right of the Peasant Bank to take on debts on estates mortgaged in other credit institutions was extended to the Special Department of the State Noble Land Bank, to which the affairs of the Mutual Land Credit Society, liquidated in 1890, were transferred (On granting the Peasant Land Bank 08.30.1906); On November 15, perhaps the most important decree followed, granting the Peasant Bank the right to issue loans on the security of allotments. The decree was adopted "in view of the forthcoming, from January 1, 1907, the release of allotment lands from the redemption debt lying on them" (which was established by the Manifesto of 1905). As expected, "with the prudent use of the new type of state credit provided to the peasants, this measure will make it easier for them to obtain the funds necessary for expanding land tenure and improving land use". The loan was issued "to cover the costs of land use improvements: a) during the transition from communal ownership to household property, b) during the resettlement of societies into separate settlements or farms" (On the issuance of loans, 1906), c) when individual householders were assigned to one place, this greatly contributed to the achievement of the goal of the Stolypin reforms - the transition from communal land ownership to household land ownership, at the same time creating a basis for increasing the number of loans issued by the bank. Since the main clients were not rural societies and associations, but individual householders who had the opportunity to obtain a loan on the security of their allotment lands.

So, initially, the main task underlying the activities of the Peasant Land Bank was to assist peasants in acquiring land plots offered for sale, which is why the bank's operations were limited to issuing loans for the purchase of land by peasants under a voluntary agreement with individuals and various institutions. Subsequently, the bank was allowed to issue loans secured by the land plots acquired by the peasants without its assistance, to pay off the debts arising from the purchase of this land. Further, the bank was given the right to buy estates at its own expense, with a view to their subsequent resale to peasants. Finally, the decree of November 15, 1906, allowed the issuance of loans to peasants on the security of allotments.

Thus, from the end of 1906, the Bank's lending operations were divided into the following categories: 1) loans issued on the security of land plots purchased by peasants from private owners and various institutions; 2) loans secured by land plots acquired from estates owned by the bank; 3) loans secured by land plots purchased without the assistance of a bank 4) loans secured by allotment land (Report of the Peasant Land Bank, 1906).

Considering all of the above, as well as the fact that the Decree, adopted on November 3, 1905, removed the restrictions on the size of the bank's equity capital (On facilitating the task, 1905). From 1907, the scale of its activities will begin to increase. This circumstance can be confirmed statistically by analyzing Table No. 5. Unfortunately, the report for 1907 at our disposal does not contain the provincial data, but even without this we can clearly see the dynamics towards an increase in indicators up to 1910, when the volume of the bank's activities in the territory Penza Governorates reach their maximum value not only during this period, but also for the entire period of its operation. So, if in 1906 29 loans were issued in the province, then after two years 1 144, in 1910 - 4 824 (for comparison, only 586 loans were issued in the first two periods of the bank's activity in the Penza province). The sharp increase in this indicator is associated, first of all, with the reorientation of the bank to issue loans to individual householders, and not to societies and associations of peasants.

As for the amount of land sold on a loan, as well as the volume of lending, there was also a significant increase, so in 1906 peasants purchased 13,469 dessiatines of land through the intermediary of a bank, the loan amount was 1,415,300 rubles, which is not much different from the indicators of the previous period. But already in 1908, these indicators surpassed those for any separately taken year of the previous two periods: 36,770 dessiatines of land were sold, the loan amount was 4,388,920 rubles. In 1909-1910, 78 696 and 79 636 dessiatines of land were sold through the provision of a loan, 9 321 970 and 9 845 220 rubles were issued on credit, respectively. In the future, there is a decline in indicators, reaching their usual values by the beginning of the First World War. In general, for the third period, the Penza branch of the bank issued 13,137 loans in the amount of 33,086,729 rubles secured by 282,891 dessiatines of land. Considering that in 1905 the peasants of the province owned only 118,156 dessiatines out of 1,264,091 dessiatines of privately owned land (Statistics of land tenure in, 1905), it becomes obvious that during the third period of its activity the Peasant Bank became the main instrument for solving the land issue.

Similar trends were observed in the all-Russian scale of the activity of the credit institution under consideration. Since 1906, a fairly significant increase in all indicators has been recorded, which, since 1908, significantly exceeded the indicators of previous decades. At the same time, in percentage terms, the share of the Penza province in the all-Russian indicators has increased quite significantly. So, in 1910, when the size of the bank's activities reached its maximum, in the province under consideration, 6.9% of the total number of transactions were concluded, 5.1% of the total amount of land sold by the bank was sold and 5.8% of the total amount was issued. issued loans. In general, from 1906 to 1915 on the territory of Russia, the bank issued 337,848 loans, sold 9,461,003 dessiatines of land to peasants, the total amount of the issued loan capital amounted to 1,026,033,849 rubles. The contribution of the Penza province to the total "piggy bank" amounted to 3.9% of the number of loans issued, 3.0% of the amount of land sold through the bank, 3.2% of the amount of loans issued (see: Table 5).

At the same time, during this period the negative aspects of the bank's activities were most clearly manifested. First of all, even greater inflation of land prices, if in the second period of the Peasant Bank's activity the maximum price of 1 dessiatines of land in Penza province reached 98 rubles, and in Russia as a whole 112 rubles, which was recorded in 1904 (see: Table 4). Already in 1908, the cost was equal to 130 rubles / dessiatines in the province under study and 116 rubles / dessiatines throughout the territory of the bank's activity (Report of the Peasant Land Bank, 1908), and in 1910 - 132 rubles / dessiatines and 136 rubles / dessiatines, respectively (Report of the Peasant Land Bank, 1910). Such a strong rise in prices was largely due to speculative manifestations in the land market, when the purchase and sale of land was carried out not for the sake of increasing peasant land ownership, but for the benefit derived from the difference between the prices at which land was acquired and alienated.

In addition, a sharp increase in the volume of the bank's activities in the third period led to an increase in the number of estates that passed into its ownership from non-payers. So, on January 1, 1906, 114 estates remained on the bank's balance sheet, transferred to it from defective borrowers, which included 60,662 dessiatines of land and the remainder of the capital debt in the amount of 3,657,397 rubles (in the Penza province 2 estates, 1,088 dessiatines of land and 95 458 rubles of debt) (Report of the Peasant Land Bank, 1905). In

1906, 217 land plots with 51,550 dessiatines of land and 3,490,713 rubles of capital debt (4 plots, 2,735 dessiatines, 194,364 rubles of debt in the territory of the Penza branch) were transferred to the bank from non-payers (Report of the Peasant Land Bank, 1906). In general, for the period from 1906 to 1915, the indicators are even more impressive: on the territory of Russia, 5,198 loans with 415,773 dessiatines of mortgaged land and the amount of capital debt equal to 33,683,660 rubles turned out to be unviable. Moreover, the share of the Penza province in the all-Russian indicators was quite significant: 9.9% of the total number of loans (517 out of 5,198), 3.4% of all land transferred to the bank (14,290 out of 415,773 dessiatines), 4.5% of the amount capital debt (1,526,200 out of 33,683,660 rubles) (Report of the Peasant Land Bank, 1906-1915). Such a sharp increase in the number of defective borrowers' estates transferred to the bank's ownership can be explained by a number of socio-economic reasons. First of all, these are agrarian unrest and the subsequent reorientation of the bank to issue loans to individual clients. If earlier loans were issued to societies or partnerships, which could include several dozen peasants, but such a collective was counted as one loan, then since 1906 each householder was counted separately. In the second - the beginning of the First World War, as a result - a significant increase in insolvency.

Table 5. Loans issued by the Peasant Land Bank in Russia and the Penza province in the period from 1906 to 1915 (Report of the Peasant Land Bank 1906-1915).

Years	Penza province			Total across Russia		
	Number of loans	Amount of dessiatines of land	Loan amount, ruble	Number of loans	Amount of dessiatines of land	Loan amount, ruble
1906	29	13 469	1 415 300	3 115	522 751	54 309 290
1907	n/a	n/a	n/a	5 379	932 849	107 831 578
1908	1 144	36 770	4 388 920	19 377	1 019 014	116 283 714
1909	4 191	78 696	9 321 970	50 719	1 227 114	144 497 534
1910	4 824	79 636	9 845 220	69 710	1 549 720	169 558 320
1911	1 693	36 426	4 013 080	65 327	1 397 637	147 327 586
1912	418e	12 629	1 299 299	43 933	917 313	97 139 333
1913	371	11 005	1 239 850	40 107	894 141	92 000 030
1914	269	8 142	851 090	27 967	673 946	68 274 773
1915	198	6 118	712 000	12 214	326 518	28 811 691
Total	13 137	282 891	33 086 729	337 848	9 461 003	1 026 033 849

In general, for the period from 1884 to 1915 on the territory of the Penza province, the Peasant Bank issued 13,723 loans, secured by the 418,351 dessiatines of land sold to the peasants, the amount of loans issued in this case was equal to 42,233,362 rubles, which amounted to 3.4% of the total the number of loans issued in Russia (398,030), 2.3% of all land sold through the bank (17,737,197 dess.), 2.8% of the total amount of loans issued (1,518,335,669 rubles). The least activity of the bank was observed in the first period of its activity, when only 81 loans were issued, which amounted to 0.6% of their total number, 18,410 dessiatines of land or 4.4% of its total volume were sold to peasants for the entire study period, finally, the size of the loans was only 1,161,880 rubles, or 2.7% of their total amount. We see similar indicators in Russia as a whole, so during the first period of the bank's operation, 14,925 loans were issued (3.7% of their total for the entire time), the bank's clients, with its assistance, purchased 2,411,865 dessiatines of land (13.6 % of its total volume), the amount of money issued was 82 359 684 rubles. (5.4% of their total). The second period is characterized by an increase in the number of transactions, in particular, on the territory of the province, the bank issued 505 loans (3.6% of their total number), the object of the bank's operations was 117,050 dessiatines of land (27.3% of its total number), the amount of loans issued amounted to 7 984 753 rubles (18.9% of the total for the 32-year period of activity). Nevertheless, the largest volume of the bank's activities falls on the third period, when from a largely passive tool for the development of land ownership among land-poor peasants, it moved to active intervention in the processes of redistribution of land ownership. From 1906 to 1915, the Penza branch of the bank issued 13,137 loans (95.7% of their total number), in the amount of 33,086,729 rubles (78.3% of their total amount) secured by 282,891 dessiatines of land (67.6% of its total size). Almost 4/5 of all the bank's activity fell on the last period of its activity (see: Table 6).

Table 6. Loans issued by the Peasant Land Bank in Russia and the Penza province in the periods 1883-1895, 1896-1906, 1907-1915 (Report of the Peasant Land Bank 1983-1915).

Periods	Penza province			Total across Russia		
	Number of loans	Amount of dessiatines of land	Number of loans	Amount of dessiatines of land	Number of loans	Amount of dessiatines of land
1883-1895	81	18 410	1 161 880	14 925	2 411 865	82 359 684
1896-1905	505	117 050	7 984 753	45 257	5 864 329	409 942 136
1906-1915	13 137	282 891	33 086 729	337 848	9 461 003	1 026 033 849
Total 1883-1915	13 723	418 351	42 233 362	398 030	17 737 197	1 518 335 669

Conclusion

Thus, the creation and operation of the Peasant Land Bank was an element of the government's agrarian policy. On the one hand, it was aimed at creating peasant land tenure by providing loans to buy land from private owners, and on the other hand, it was aimed at maintaining large land tenure through the intermediary function of selling surplus land property. After the reorganization of the bank in 1895, it was through the direct purchase of land by the bank from private individuals, of course, primarily from landowners. In the first two periods of its operation, the bank took a rather passive position. This was due to statutory restrictions, at first performing only an intermediary function, and then being limited in the amount that he could spend on the purchase of estates (only 50 million rubles). To a greater extent, meeting the needs of large landownership, which, after the reforms of the 1860s, could not fully adapt to the new economic conditions and was forced to give up a significant part of its land ownership, in connection with which the bank had an important national economic importance, softening the most acute moments of mobilization processes taking place in the land market. At the same time, the bank did not solve the tasks set before it until the beginning of the agrarian unrest of 1905-1907, because the volume of its activities at best compensated for the natural increase among the peasant population. The main reason for this was that the bank's activities were almost exclusively aimed at meeting the needs of large landowners, often even to the detriment of the interests of the peasantry, and all the main reforms in its activities were based on the economic interests of the local nobility.

A radical change in agrarian policy in general and in approaches to the organization and activities of the Peasant Bank took place at the beginning of the Stolypin reform, when the government became concerned about the development of strong individual peasant farms, the destruction of the community began, attempts were made to modernize land use methods, including through an active credit policy. The reason for such active, mostly correct measures was the crisis of peasant land tenure and the unresolved land issue, which led to peasant unrest and demanded an immediate response from the government. In this connection, the role of the bank in the implementation of agricultural policy has increased many times, as well as the volume of its operations.

The bank's activities on the territory of the Penza province did not differ in significant volumes and peculiarities, accounting for in the first period of its activity only 0.5% of the

total number of loans issued to it on the territory of Russia, 0.8% of all land pledged in the bank and 1.4% of the total loan amount. In the second period, the activity of the credit institution under consideration in the Penza Territory slightly increased, which resulted in an increase in its share in all-Russian indicators: 1.2% of all transactions carried out by the bank, 1.2% of the total amount of land sold with its assistance, 1, 9% of the total loan amount. But the province made the greatest contribution during the third period, when the volume of activities of the Penza branch amounted to 3.9% of the total number of loans issued by the bank, 3.0% of the amount of land sold through the bank and 3.2% of the total amount of loans provided. In general, for the entire period of operation of the Peasant Land Bank on the territory of the Penza province, 13,723 loans were issued to them, 418,351 dessiatines of land were sold to peasants, the total amount of lending was 42,233,362 rubles, in percentage terms, this was 3.4% of the total amount loans issued in Russia, 2.3% of all land sold through the intermediary of the bank, 2.8% of the total amount of loans issued.

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The influence of a passionate personality on the preservation of the ethno-cultural code of society in Eastern countries

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ABSTRACT

The authors consider new approaches to the study of the role of the passionate personality in the development of the countries of the East. The authors consider the socio-political and scientific activities of the scientist A. Zh. Mashanov as a passionary from the point of view of influence on the ethno-cultural code of the Kazakhs. The concepts of "historical process" and "political process" are clarified; the relationship between history and politics is revealed. The verbal-paraverbal methods of A. Zh. Mashanov in political activity are shown. The contribution of the scientist as a driving force during the historical process is revealed and described the role of the scientist as a catalyst for the spiritual revival of Kazakhstan in connection with the relentless struggle for the study of al-Farabi's creativity as a cultural and spiritual source is determined.

KEY WORDS: historical personality; political personality; totalitarian and authoritarian regimes; East; democracy.

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La influencia de una personalidad apasionada en la preservación del código etnocultural de la sociedad en los países de Oriente

RESUMEN

Los autores consideran nuevos enfoques para el estudio del papel de la personalidad apasionada en el desarrollo de los países de Oriente. Los autores consideran las actividades sociopolíticas y científicas del científico A. Zh. Mashanov como un apasionado desde el punto de vista de su influencia en el código etnocultural de los kazajos. Se aclaran los conceptos de "proceso histórico" y "proceso político"; se revela la relación entre historia y política. Se muestran los métodos verbales-paraverbales de A. Zh. Mashanov en la actividad política. Se revela la contribución del científico como fuerza impulsora durante el proceso histórico y se describe el papel del científico como catalizador para el renacimiento espiritual de Kazajstán en relación con la lucha implacable por el estudio de la creatividad de al-Farabi como fuente cultural y espiritual.

PALABRAS CLAVE: personalidad histórica; personalidad política; regímenes totalitarios y autoritarios; Oriente; democracia.

Introduction

Modern ethnopolitical processes are closely related to changes in the conceptual picture of the world, reflecting the dynamics of language and culture in the chronotope. The media design of countries is directly dependent on the historical process, which is a sequential change in the states of nature, society and intelligence in time and space during world development (Tyurina, 2019). A modern researcher of media texts sees that it is the anthropogenic factor, considering its "many-sidedness", that determines the linguistic picture of the world of the modern media space.

The purpose of the article is to study A. Zh. Mashanov as a historical and political personality who took an active part in historical and political processes, in connection with which it is assumed to reveal the concepts of "historical process", "political process", to establish a connection between them, to characterize A. Zh. Mashanov as a certain type of historical and political personality, to identify the motives of the scientist's participation in historical and political activities.

The idea of returning to the cultural and historical traditions of the people was raised in the works of many scientists and thinkers in different countries. This aspect is especially important for the countries of the East, which are strong in their tradition of continuity and reverence for the teacher as such. However, a Kazakh folk proverb says: "And a seventy-year-old elder will come to bow to a seven-year-old boy, if he comes from a long journey." Therefore, in Eastern countries there is a special attitude to passionate personalities who change the course of the historical process. Kazakh scientist-encyclopedist A. Zh. Mashanov made a huge contribution not only to various fields of science and culture of Kazakhstan, but also to the socio-political life of the Kazakh society. It was A. Zh. Mashanov who was one of the first who created religious studies in Soviet Kazakhstan. He promoted the philosophical ideas of Al-Farabi to revive interest in the cultural heritage of the past, which became the impetus for the creation of a new science – Farabi studies. A. Zh. Mashanov considered the cultural and historical heritage of the peoples of Central and Central Asia in the aspect of the passionarity of Asian peoples and their desire to conquer large spaces. In this regard, the analysis of the personality of A. Zh. Mashanov as a significant historical and political personality is natural and relevant in the new conditions of establishing the ethno-political identity of the countries of the post-socialist world.

At the same time, P. K. Goncharov characterizes the political process as a process "taking place in the sphere of politics, reflecting the dynamic, mobile, constantly changing side of the political system of society" (Goncharov, 2018). These processes are interrelated, since the historical process is a more voluminous concept that includes, as an integral part, the political system and the changes taking place in it. The historical process has a complex structure that includes several components. D. Easton believes that the political process acts as a part of the social system, defining it as "the continuous functioning and change of the political system of society" (Easton, 1977: 630-631). As a result of intensive influence on the addressees of our discourse, we find the transformation of "ethnocultural and sociocultural matrices of behavior" (Karabulatova et al, 2017: 7).

Selected, critically thinking individuals are the guiding star of the development of history, since they are associated with special spheres of activity in society — the sphere of spiritual production and the management system (Kazakov, 2017).

So, studying the personality of a politician, a leader of opinions, we can talk about his influence on changing the political process in the country, about his promotion of transformations of the historical process. This is expressed in the fact that the opinion leader influences the change during politics aimed at the spiritual revival of society. In his article "A Look into the Future" N.A. Nazarbayev drew attention to the restoration of the national code, the study of the historical past, indicated clear worldview guidelines (Nazarbayev, 2017). In this programmatic article, N.A. Nazarbayev showed himself as a historical and political personality, influencing the change in state policy - the modernization of the public consciousness of citizens through the spiritual revival of experience. The very return to the traditional value-semantic orientations and the spiritual heritage of the people becomes the cultural and historical nucleus of the formation of the national identity of the ethnos and plays an important role in the formation of citizenship of young states in the era of linguistic-mental wars and Post-Truth.

The relevance of the problem of studying the phenomenal personality and his role in the advancement of historical and political processes is due to a change in the methodological paradigms of the study of historical processes. Earlier, in the study of history, the objective laws of social development were brought to the fore, which were identified with the out-personality and unconsciousness of the historical process, the main emphasis was not on individual originality, originality, and uniqueness of the personality itself, but on the concentration in it of typical features and characteristics of a representative of one or another. a different class. Today, the task of humanizing history as a science, its "humanization", increased attention to the role of the individual in history is especially acute.

1. Theoretical aspects

The history is not a fatal, faceless process, but a complex and contradictory phenomenon, in which not only large masses of people participate, but also individual personalities, especially outstanding personalities, who leave the imprint of their bright and unique individuality on the entire course of events. In this regard, one of the important aspects of the knowledge of history is the disclosure of the question of the nature and degree of influence of an individual (ordinary, talented, outstanding, brilliant) on the course of historical events.

However, the thinkers of antiquity already knew that it is most convenient to do this on the examples of the activities of great personalities — rulers, generals, "heroes", etc. Hence, for example, in Ancient Rome, works that solved this problem on an empirical level were so popular: "Comparative Biographies" of Plutarch, "The Life of the Twelve Caesars" by Gaius Suetonius Tranquillus, "On the conspiracy of Catilina" by Gaius Sallust Crispus, etc. Later in the XIX century, the outstanding role of the individual in history was recognized (based on certain theoretical positions) by such thinkers as T. Carlyle, F. Nietzsche, G. Lebon and others. As a result, historians, and philosophers of the XX century also began to be interested in the personalities of the leaders (rulers).

The problem of the role of the individual in history has been posed in ancient Eastern and ancient historiography, philosophical thought. In the European tradition, it was mainly solved by ancient Greek (Herodotus, Thucydides) and ancient Roman (Plutarch, Gaius Suetonius Tranquille, Gaius Sallust Crispus, Quintus Curtius Rufus) historians at the empirical level. Thinkers extracted individual "lessons" from the actions of specific historical characters (Croesus, Themistocles, Pericles, Alexander the Great, Pompey, Gaius Julius Caesar, Nero, etc.), revealing the mistakes they made during practical activity, blamed bad deeds, etc. However, the first theoretical questions were already raised here: what place does the ruler occupy in the political hierarchy (Meng-tzu); is he an independent ruler of history (Thucydides) or a weak-willed "toy" of external forces (Herodotus); is it possible to prevent negative actions of rulers (Rufus)? (Sidney Hook 1963).

Thus, the role of the individual in history is studied within the framework of various disciplines: historical science, sociology, political science, cultural studies, etc. Hence, it is necessary to identify the place of this problem in the philosophy of history, its influence on other issues considered here; to establish the specifics (features) of its consideration in this section of philosophical knowledge.

2. Materials and methods

We see the need to use an interdisciplinary approach based on combining different approaches: anthropocentric, historical, and socio-cultural. This will assist in revealing the intrinsic value of a person in the historical process, in identifying and describing the measure of the personality's influence on changes in the political process in the country, will help to

define and describe the typology of an outstanding personality, to characterize the motives and various aspects of her activities, which have left noticeable traces that contribute to changing the course of history and changes in political processes in the country.

The diverse and interdisciplinary nature of the problems of value attitudes of choosing a significant historical person in the formation of new value attitudes in the countries of Central Asia determines the variety of various sources used in the work.

This is a contradictory result of the activities of successive generations with their own aspirations, hopes and expectations.

The methodological basis of the dissertation consists of several consistently applied means of cognition: analysis and synthesis; system, comparative, structural and functional analysis; the method of ascent from the abstract to the concrete; the civilizational approach; the theory of paradigms by T. Kuhn (1957).

Research methods: in the course of the research, the methods of biographical analysis (based on the testimony of witnesses, the restoration of facts from the life of the individual), the anthropological method (it is assumed to identify the peculiarities of the national character of the individual), the synergetic method (aimed at studying the political side of the country, the socio-political system of the individual as a self-organizing system, which is characterized by dynamism, instability, leading to a change in the political process) are used.

Therefore, the purpose of this article is to identify the role of A.Zh. Mashanov in promoting the political process at critical moments in the development of the state, assisting them in changing the state of society at one time or another of its functioning. To achieve this goal, it is necessary to solve the following tasks:

- Mashanov as a historical person;
- the significance of the scientist's activity in the political aspect;
- the role of Mashanov in promoting political and historical processes in the country;
- socio-political ideas, ethical views, views and moral values of the scientist.

To describe a scientist as a certain type of political personality, methods of anthropocentric, biographical analysis and a method of modeling are used. The essence of the anthropocentric approach is to study the influence of a person's national character and the type of his mentality on his political behavior, which is actualized in the process of influencing the course of the political process. To do this, one should first identify the type

of personality of a scientist who takes an indirect or direct part in political activity. The classification of policy actors is carried out in different ways. The classification of the personality of a politician proposed by M. Weber is widely known.

These questions can be considered based on the published epistolary heritage of A. Zh. Mashanov.

The authors consider the published scientific works and speeches of the scientist in the periodical press. In addition, we used the available archival materials.

The participation of the individual in the course of history lies in his actions aimed at the development of the historical process. These include the scientist's historical research: 1) the creation of historical works: "On the study of the heritage of al-Farabi", "Aristotle of the East", "Great scientists of Central Asia and Kazakhstan", "Al-Farabi and Abai", etc .; 2) the publication of scientific research in the mining and mineralogical sciences - according to the method of searching for minerals, several gold deposits were discovered (Nurpeisova, 2016), copper-pyrite ores, the publication of more than 80 scientific works devoted to the development of mining; 3) study of the ancient history of Kazakhstan. In his books "Secrets of the Earth" (Almaty, 1948), "The Structure of the Earth" (Almaty, 1949), "The Mystery Enclosed in Stone" (Almaty, 2006), the scientist describes the way of life of ancient people who inhabited the territory of Kazakhstan (central and eastern regions), the ways of their economic activities, types of crafts, introduced readers to their beliefs, expressed his thoughts about the stone statues found on this earth.

3. Results and discussion

The mystical connection exists as a given and a person cannot know it. Outstanding personalities, huge masses of people, entire peoples, historical epochs are just tools of the world mind, which secretly and secretly controls them and implements its goals through them.

Akzhan Zhaksybekovich Mashanov is considered one of the founders of geomechanics in the Soviet Union. As a passionary of the Kazakh society, he promoted his ideas through Kazakh popular science fiction. A. Zh. Mashanov is the ancestor of Kazakh science fiction. His novels such as "Journey into the Depths of the earth", "The Secret of the Earth" have gained special popularity. A. Zh. Mashanov is also known as a historian-researcher, especially as a

popularizer of the ideas of Al-Farabi. The multifaceted talent of A. Zh. Russian Russian and Russian - Kazakh dictionaries on mining, geology and metallurgy, a researcher of the scientific heritage of the great scientist of the East al-Farabi, was also manifested in his original scientific field-both Kazakh-Russian and Russian-Kazakh dictionaries on mining, geology, and metallurgy (Nurpeisova, 2016).

Akzhan Mashanov (Mashani) was a surprisingly versatile and talented person, his long and fruitful life was almost always connected with one university – the Kazakh Mining and Metallurgical Institute, now it is the Kazakh State National University named after K. I. Satpayev.

In 1939, A. Mashanov graduated with honors from the university with a degree in mining engineer-geologist. In the same year, he became the first graduate student of this institute. Even the Second World War could not tear A. Zh. Mashanov away from geological exploration because he understood the military strategic importance of minerals. In 1943, A. Zh. Mashanov successfully defended his PhD thesis "The structure of the Turgay ore field", in 1945 he published a scientific monograph "Fundamentals of a new methodology for studying the structure of ore fields". Just three years later, in 1946, A. Zh. Mashanov defended his doctoral dissertation "Study of the structure of ore fields by the method of subsurface geometry". A new look at the problem field of science provided a high level of A. Zh. Mashanov's reputation capital, and in 1946 A. Zh. Mashanov became one of the initiators of the opening of the Academy of Sciences of the Republic of Kazakhstan (Nurpeisova, 2016).

A. Zh. Mashanov personally participated in the discovery of the Akbastau-Kusmurinsky, Leninogorsky, Zyryanovsky, Torgaysky, Zhezkazgan and Karatau deposits. The versatility of the scientist's life interests was provided by encyclopedic knowledge, as well as rich scientific erudition. A. Zh. Mashanov was able to capture new scientific and pedagogical ideas, successfully using them in his activities. The results of Akzhan Mashani's in-depth research have become widely known abroad. Deep knowledge in the field of geology, mathematics, geometry, mechanics, and mining allowed him to create a new scientific direction in mining – geomechanics (Tuleubaev, 2006).

A wide scientific outlook, knowledge of the Arabic language allowed Akzhan Zhaksybekovich to do one of his main things – opening the role of the great scientist Abu Nasir al-Farabi to the world (Nysanbaev, 2011). A. Zh. Mashanov proved that the origins of

the culture and science of Kazakhstan were the works of al-Farabi, thereby the name of this great scientist was forever entered into the history of science of the Republic of Kazakhstan. For the in-depth research of al-Farabi's legacy, Arab scientists assigned him a new surname al-Mashani. By the decision of UNESCO, 2006 was declared the year of the centenary of al-Mashani. East Kazakhstan State Technical University named after D. Serikbayeva was the organizer of the scientific forum, where the prospects for the development of mining and geological affairs in Kazakhstan were discussed. Akzhan Mashani devoted his life to this (Nysanbaev, 2011).

The essence of the personalist paradigm is revealed by the following theses: a) the activity of an individual cannot be completely determined by objective factors of the historical process; b) any trend of social development bears the imprint of a certain historical figure (i.e. it is personified); c) the "replacement" of a historical personality is not neutral. It can lead to both positive and negative consequences.

It is known that a passionate personality plays the role of a transformer of ideological, ethnosocial and cultural matrices in society. This problem is of the utmost importance today because the multipolar world is balancing on the edge, each time choosing new points of support (Khachmafova et al, 2017; Parra Contreras, 2020). The problem of determining A.Zh. Mashanov to this or that type of personality is one of the intractable since the scientist carried out many-sided fruitful activities in many spheres of public life. There is no doubt that the encyclopedic scientist belongs to the elite type of personality (Ostrovskaya et al, 2015), since he left significant traces in the field of mining, astronomy, theolinguistics, made a significant contribution to the development of translation studies and literature.

In the Western and Eastern philosophical traditions, the essence of the tendency to mythologize (sacralize) a historical person is reduced to endowing it with supernatural qualities. At the level of scientific knowledge, it has found a complete expression in the concept of the "charismatic personality" by M. Weber. Personality desacralization is the process of considering it as an ordinary person with high creative abilities or broad powers of authority. In the latter case, the qualities of such a person established in European philosophical thought are revealed: cruelty, purposefulness, cunning, restraint of emotions.

Particularly noteworthy is the selfless activity of the scientist in the historical and political spheres of public life. This led to global changes in socio-political attitudes and

changes in the ethnosocial and cultural consciousness of the population (Grushevskaya et al, 2018). Thus, the attribution to a historical person is due to his performance of actions that affect events of a historical nature.

L.E. Grinin refers to the historical personality of the individual in the case when “due to his personal characteristics, or chance, or social position, or the specifics of the time, any person can show by the very fact of his existence, his ideas, his ideas, action or inaction , directly or indirectly, during his life or in the period after his death, such impacts on his own or other people's societies, which can be considered important, since they left a noticeable mark in history and influenced the course of the further development of societies (positively, negatively or unambiguously not definable) ”(Grinin, 2017).

The participation of an individual in the course of history lies in his actions aimed at the development of the historical process (Nurpeisova et al., 2006).

According to D.S. Zhahiyayly, A.Zh. Mashanov, in the process of studying ancient monuments (balbals), tried to decipher the rock carvings, described the features of the ancient system of the Huns and Saks (Zhakhiyakly, 2018, electronic resource), cited evidence that some cities: Jun-Bulen (Junn), Gun-Guan (Gunn), Hua (Donghu), located on the territory of modern Mongolia and China, are Turkic (Mashanov, 2006); 4) scientists have thoroughly studied the history of medieval Kazakhstan (the history of the Karkaralinsky and Bukeevsky khanates and their rulers), studied stone statues in the Sary-Arka region. According to the testimony of M.B. Nurpeisova, B.M. Zharkimbenov, Baigurin, the historian A.Zh. Mashanov collected information about the stone statues of Sary-Arka, carried out excavations of medieval structures (Nurpeisova et al., 2006). He carried out archaeological research and compared them with the data of the ethnocultural code of the region.

In the Karagailly tract, he dug up two (Turkic) enclosures with statues (Mashanov, 2006). It is noteworthy that A.Zh. Mashanov tried to interpret archaeological sites using his knowledge in the field of astronomy (Kasenova, 2019).

Within the framework of the theory of driving forces, a historical person can act as such a force, and is characterized as one of the most important among them. The passionate personality acts as a driving force, affirming by its existence the idea that the future can change because of the activities of not only large political forces, but even individual groups

and their leaders, it also depends on the actions of a variety of people, for example, scientists (Zimina, 2009).

The merit of the scientist A. Zh. Mashanov is that he played a significant role in determining the direction of the political process in the future of post-Soviet Kazakhstan. This goal was served by his socio-political ideas regarding the study of the creative heritage of al-Farabi, which A. Zh. Mashanov expressed back in 1959. In the process of tireless creative search, selfless activity, the scientist set himself the task in 1956: to start researching the legacy of al-Farabi. In 1960, the scientific initiative of A. Zh. Mashanov was supported by the President of the Academy of Sciences of the Kazakh SSR K.I. Satpayev, who imposed a resolution on the scientist's memo on the need to study the legacy of al-Farabi "I agree. Implement" (Central State Archives of the Republic of Kazakhstan, fund 2285, inventory 1, file 152).

All the activities of A. Zh. Mashanov can be considered as a window of discourse (or the so-called Overton Window), which shifts the bifurcation point of assemblage of personality and society, first acting as a potentially dangerous discourse, and then acting as a potentially desirable discourse of development (Karabulatova, 2020) ... For example, A. Zh. Mashanov, on his own initiative, "traveled in the footsteps of al-Farabi to the grave of a scientist in Damascus" (Central State Archives of the Republic of Kazakhstan, fund 2285, inventory 1, file 152). According to A. Mashanov, "being a lone scientist, my father began to correspond with the libraries of Syria, Turkey, London, Stockholm, and others. At his expense, photocopies of the works of Eastern scholars were sent to him. Investigating these sources, my father constantly expanded the circle of searches" (Mashanov, 2017: 297). In search of materials on the work of al-Farabi, the scientist repeatedly traveled to Syria (Damascus, Sham and other cities). During 35 years devoted to the study of al-Farabi, scientists have published more than 20 articles, published monographs: "Great scientists of Central Asia and Kazakhstan" (Almaty, 1969), "On the translation of al-Farabi's works into Kazakh language" (Almaty, 1969), "Farabi and education of youth" (Almaty, 1972), "Al-Farabi" (Almaty, 1970), "Al-Farabi zhane Abay" (Almaty, 1994), "Al-Farabi and modern sciences" (Almaty, 2007).

A. Derbisaliev noted the great role of A. Mashanov in the development of the course of history. This role was as follows: the scientist, even though al-Farabi entered the history of

Arab culture, managed to prove to the whole world the Turkic origin of the great thinker, returned him to his homeland, published many books dedicated to al-Farabi of historical significance, waking up thereby our sleeping spirit” (Derbisaliev, 1996).

As you can see, A.Zh. Mashanova belongs to this type of historical personality, which, according to Z. Hook's classification, actively influences events. Z. Hook in his theory of personality divides historical figures into people who influence events and people who create events (Hook, 1993).

The study of the personality of A.Zh. Mashanov as a political subject that influenced the change in the political process.

M. Weber identified three types of personality of a politician. He attributed to the first type those individuals who are engaged in politics "on occasion", when a person occasionally makes an expression of his will, without thinking about the nature of political actions. The second type is a person who is constantly engaged in professional political activity. The third type of politician is an individual who is involved in politics “in combination” (Weber, 1990).

Typically, researchers classify policy actors on the basis of participation or non-participation in politics. At the same time, persons with political status are distinguished, as well as social communities (classes, nations, political elites). The second group includes states and public organizations (Gorbunova, 2012; Shulman, 2015). The third classification of a political personality is based on the allocation of such political personalities as a political subject and a political person. A political person in the narrow sense is understood as a person who acts in politics as a leader, a politician, a person involved in politics (Shcheglov, 2012).

A political subject is specifically a political bearer of a variety of political activities aimed at conquering, protecting or using power in order to realize vital interests. The totalitarian regime itself compelled to select linguistic means so that the author could promote his ideas using metaphorical models of euphemization and windows of discourse (Vorozhbirova et al, 2019; Weber 1990; Malevinsky et al, 2019).

The fourth classification of a political personality is determined by the type of political participation. N. Baranov proposed a model of the political participation of a subject in the political process: a) a model of political participation, when there is a balance of relationships between political participants, civil influence, and power structures; b) a model of political

participation, when the state only partially reacts to the will of citizens. Here, political participation is curtailed, limited; c) formal participation, a model of political participation that creates only the appearance of mass activity of the population; adaptive participation, when forced to show loyalty to the political regime. This model was improved and refined by E.S. Adulova (2009).

Determination of the personality type A.Zh. Mashanov, based on political personalities identified in the above classifications, shows that the scientist can be attributed to the personality of a politician "by chance", since the main activity of A.Zh. Mashanov is associated with his scientific, educational, and pedagogical activities. He turned to politics "on the occasion", when it was necessary to defend ideas related to the implementation of the idea of national policy to protect the cultural heritage of al-Farabi. His participation in politics is limited, since he does not actively participate in political activities, but to a certain extent affects the change in the political process in the country.

The effectiveness of the synergetic approach in the study of socio-political ideas A.Zh. Mashanov lies in the possibility of considering the system of the worldview of a scientist as a self-organizing open system capable of undergoing changes. E.S. Adulova, analyzing the synergetic specifics of the evolution of modern political processes, believes that "complete stability and balance in society is stagnation, dead ends of the process, when the flow and use of external and internal resources becomes constant. Society is becoming an authoritarian, not an open system. At the same time, a controlled instability, a small revolutionary, in its essence, reform can act as a condition for a stable, dynamically developing society (Adulova, 2009: 19).

The goal of the political process was to ensure deterministic stability and constancy in the political sphere in the era of the totalitarian regime and the opposition of regimes in the information war (Barabash et al., 2019), while the scientific, journalistic and media discourses were clearly regulated to cover any material from the position of "We and Other" (Karabulatova, Lyausheva et al., 2018). Thus, during the functioning of the Soviet state, the history of the people and their culture were consigned to oblivion. In the political sphere, communist ideology prevailed. In the period from 1921-1953. totalitarianism manifested itself in the fact that "the state represented by the Communist Party played a huge role in the life of society, striving to control all spheres of its life through the created system of mass

organizations (Pioneer, Komsomol organizations, trade union committees, local committees, women's councils, associations of scientists, artists, athletes, etc. etc.) (Petrov, 2011; Vorozhbitova et al., 2019). During the reign of N.S. Khrushchev and L.I. Brezhnev, an authoritarian regime took place (1955-1980), from 1989 to 1991 democratic principles of the organization and functioning of state power were implemented, the task of building a legal state was set” (Rybakov, 2016).

The main period of scientific and social activities of A.Zh. Maschanov took place during this difficult Soviet period of total control. For courageous statements of social and political ideas, the scientist was persecuted, accused of political illiteracy, adherence to the Islamic religion. The intellectual genius of the researcher as the driving force of the synergetic matrix for the generation of the scientist's innovative discourse (Vorozhbitova, 2020) forced A. Zh. Mashanov to develop Islamic theolinguistics, which made it possible to anticipate the distribution of Arabic studies into scholastic as the language of the Koran and artistic (as the language of artistic creativity in Arabic) (Dubinina, 2018, Tyurina, 2019). The use of the biographical method in politics allows us to reinforce statements about the ideas of A.S. Mashanov, according to the testimony of scientists and colleagues, who emphasize that under the dominance of communist ideology, it was necessary to have extraordinary courage to express such views. Therefore, we consider it natural that A. E Mashanov for a long time was persecuted by the Soviet authorities as a true Muslim, one of the few experts and interpreters of the Koran.

In his opinion, Islam is a deep concept that requires comprehensive education and humanism. The scientist expressed his understanding of Islam in the books "Tabu", "Al-Farabi zhane Abay", in the manuscript "Scientific Foundations of Islam". In 1953, the newspaper Pravda published an article about K.I. Satpayev and A. Zh. Mashanov, accusing them of studying a mineral deposit. In 1956 A. Mashanov was one of the first to raise the issue of studying the heritage of Abu Nasr al-Farabi. The scientist wrote about this in the following way: “Does anyone forbid us to study the scientific heritage of al-Farabi and is this not a direct and honorable duty of scientists of Kazakhstan - his homeland? This is our duty to the people and to the memory of one of his great sons. And I set myself the task: to start researching the legacy of al-Farabi” (Mashanov, 2017: 166). A.N. Nysanbayev emphasizes that “Mashani was the first in Kazakhstani science to pay attention to the study of the encyclopedic heritage of

a medieval thinker, which for Kazakhstani researchers personifies the deep roots of Kazakh culture, its Turkic and Islamic origins, spiritual and moral content” (Nysanbayev, 2011).

Mashanov's contribution to changing the political process of the future consisted of: 1) predictive expressive discourse with the articulation of ideas about preserving the cultural heritage of the past; 2) imperative calls for the preservation of historical memory; 3) explanations about ethno-confessional ethics as the basis of humanistic and moral views; 5) carried out actions influencing the mood in the society; 6) developed the foundations of theolinguistics. During the years of authoritarian rule (1973) he completed the manuscript "Al-Farabi and Modern Science", which was not allowed to print by the censor. A. Mashanov did a lot of work to restore the name of al-Farabi on the Kazakh land. For this purpose, scientists made trips to Turkestan, Tashkent, Leningrad, Moscow, Ufa, Arabia, Syria. And Mashanov laid the foundations of a new science - theolinguistics during the years of stagnation. In his unpublished manuscript "Scientific Foundations of Islam", the scientist wrote that the Islamic faith is the purest religion with a scientific basis, the greatest duty of Islam is science (Zakhiyauliy, 2018).

Scientists testified that their thorough knowledge of the theory of Islam A.Zh. Mashanov accumulated in the process of studying the cultural heritage of al-Farabi. He contributed to the study of the scientific foundations of Kuran-Karim from the standpoint of new approaches in modern science, interpreted the main provisions of the holy book in the context of the Turkic mentality, and introduced the Turkic world (Suyerkul, electronic resource; Toleubaev, 2006).

During the years of the authoritarian regime A.Zh. Mashanov was also persecuted. In the 80s, after the world conference dedicated to the 1100th anniversary of al-Farabi, A. Mashanov's ill-wishers made sure that the study of al-Farabi's work on the Kazakh land was consigned to oblivion, because al-Farabi is a native of Central Asia. In this regard, the study of the legacy of al-Farabi was now carried out in Uzbekistan, and this was due to the policy of the state aimed at inciting ethnic hatred between peoples. In 1975, A. Mashanov received a denunciation in which the scientist was accused of inconsistency between his views and the communist ideology and its dogmas” (Amrina, 2018).

History is known to be driven by the motives of individuals. Any person becomes a subject of politics when, self-organizing and expressing his views, he finds himself in

confrontation with other social groups (with power during the period of actualization of totalitarian and authoritarian regimes), comes into conflict with the power that exists at one time or another of the scientist's activity. In this case, the scientist enters into subject-object relations, presenting, on the one hand, as a subject expressing his views, ethical views in the process of research activities, on the other hand, as an object of influence from the authorities. Subjects and objects of politics enter into political relations. Such relationships are characterized by the presence of a certain content and form of being. The content of political relations is manifested both as a certain activity of the subjects of politics, their political behavior, and as a political process. The existence of political relations is expressed in forms and principles. Political norms and principles as a form of being of political relations are divided into political and legal (laws, decrees, bylaws, international treaties, etc.), political and moral (customs, traditions, polities, etc.) and political and religious. Through these norms, especially legal ones, politics is expressed, within the framework of these norms, political subjects' function.

A.Zh. Mashanov enters the political processes of his time as a political subject, entering political relations based on the observance of political and religious norms. The political behavior of the researcher manifested itself in open opposition to the current government by studying the work of al-Farabi, a medieval thinker and founder of the doctrine of Islam. During the times of the totalitarian regime and during the years of authoritarianism, the political processes of society did not undergo significant changes, since in the Stalinist period all political relations, processes were controlled by the state (power) and its party, which was implementing the ideological guidelines of the government. During the years of implementation of the totalitarian regime and in the years of perestroika, the construction of a democratic state (1985-1991), the political process was characterized by four features: 1) it is universal, since it covers the entire society with its influence; 2) exercise control over the actions of an individual or another person; 3) its right to make binding decisions that are considered legitimate; 4) its decisions are authoritarian-imperious.

Currently, changes in the political process are associated with the implementation of the country's course for spiritual revival, modernization of the country's political system through the study of the historical experience of the people and an increase in interest in the historical and cultural heritage of the people. Such transformations have been brewing for a

long time, since the mid-70s, from the time when individuals raised the problem of studying the cultural heritage of the people. A. Mashanov, who was engaged in the study of the work of the medieval thinker al-Farabi, was the first to raise the question of the revival of the spiritual sources, the national roots of culture through the study of the experience of the past.

The name al-Farabi is now becoming a symbol of the spiritual culture of Kazakhstan. Therefore, A.Zh. Mashanov can be considered one of the personalities who promoted back in the 60s of the last century the idea of reviving the national culture, the idea of returning to the history of the Kazakh people. The idea, promoted for 37 years, is reflected in the modern historical process in Kazakhstan.

The role of Mashanov as an indirect political personality was manifested in the fact that he gradually, through the study of the work of al-Farabi, the return of his name to his homeland, the popularization of the thinker's ideas, the publication of monographs, articles contributed to the passing of the idea of the spiritual revival of the cultural past of the people. Such ideas, put forward by many thinkers (Abai, Shakarim, Mashhur Zhusup Kopeev, etc.), accumulated gradually, can influence the evolution of the political system and contribute to a change in the political process. Such changes, which are not related to the direct political activities of individuals, indirectly influencing politics, mean the transformation of properties that do not affect the basic structures and mechanisms of power (for example, leaders, governments, individual institutions may change, but the leading values, norms, ways of governing power remain in the previous quality), and the modification of the bearing, basic elements, which together contribute to the achievement of a new quality state by the system.

Changes made to the political process of the country by such "occasional personalities" as A. Mashanov do not represent cardinal transformations in politics but relate to changes in the spiritual sphere of society. But they help to move the political process. The gradual accumulation of external and internal changes in the political system leads to the renewal of the political process. And this is due to the resonant coordination of the interests and goals of individual groups, people, parties, organizations that create the dynamism of the political process.

The political system is a self-organizing, open and dynamic system, characterized, on the one hand, by stability, on the other - by dynamism. It is the combination of stability and dynamism of the political system that ensures the change in the political process.

Conclusion

The historical personality imposes a certain “seal” on the social processes, at the head of which it stands. An outstanding personality accelerates the course of events. The power of the influence of a talented person on the course of history development is so great that it gives rise to the erroneous opinion among people that the entire course of historical events depends entirely on it. G. V. Plekhanov called such a phenomenon "optical deception". In this regard, the role of an outstanding person cannot be overestimated since no person is able to change the course of history (Plekhanov, 1938). Historical practice shows that those historical figures who did not consider the objective laws of history, with the urgent problems of society, inevitably failed.

Applying the principles of heterogeneity and openness “any manifestation of political disagreement was ruthlessly eliminated and rooted out. This is the main rule for the functioning of a totalitarian regime” (Petrov, 2011: 15). During this period, A.Zh. Mashanov could not openly express his convictions regarding the study of the cultural heritage of the people, the revival of the spiritual experience of the past (the study of the monuments and culture of the Kazakh people, the study of the heritage of al-Farabi). All statements of the scientist were criticized, denunciations were written against A. Mashanov, the approval of the doctoral dissertation was delayed. According to the archival data of the Russian Federation, fund R 9506, op. 6a, d. 248, it is known that the motion to award A.Zh. Mashanov's degree in geological and mineralogical sciences was rejected (October 11, 1947). In document 249 there is information about the denunciation of A. Mashanov, received from geologists and young scientists of Kazakhstan. However, A. Mashanov did not stop his research on the work of al-Farabi. It was during the years of stagnation that he, in search of traces of al-Farabi in the Kazakh and Arab lands, made repeated trips abroad at his own expense, corresponded with leading scientific foundations in France, Moscow and other countries and cities, openly visited the mosque and expressed his views on the purity and scientific nature of Islamic teachings. These speeches by A. Mashanov and other leading

figures, scientists (K. Satpayev, M. Auezov, O. Suleimenov and others) contributed to the manifestation of the nonlinear thinking of the citizens of the USSR. The gradual accumulation of episodic, not entirely open speeches of individual scientists and the intelligentsia led to the destruction of the stability of the political system. Although under the rule of totalitarian and authoritarian regimes, stability in politics was recognized as order in the political system of the state. The open speeches of the citizens of the union republics (Latvia, Georgia, Kazakhstan, etc.) were the action that led to the explosion: the dismantling of the old political system and the formation of independent states.

In the ideological and political system of views of A.Zh. Mashanov also shows signs of self-organization and dynamism. In the initial period of his scientific career, the scientist, like all citizens of the USSR, took a compulsory part in politics, but gradually, as interest in the heritage of al-Farabi manifested itself, the study of his works, the study of his worldview in the scientist, a protest was brewing against the existing political system, which prohibited freedom of thought, to engage in scientific research on the historical origins, national culture of the people. The role of A.Zh. Mashanov is great in the political process of Kazakhstan since he acted as one of the catalysts for the spiritual renewal of the country's political system.

Thus, the analysis of the historical and political activities of A.Zh. Mashanova showed that the scientists carried out many-sided activities: along with the main, geological and mineralogical activities, he was engaged in historical research, studying not only architectural monuments, but also exploring the work of the medieval thinker al-Farabi. A.Zh. Mashanov in his political activities of an indirect nature is due to his selfless activities in the name of restoring the name and cultural and historical heritage of al-Farabi. The influence of A.Zh. Mashanova as a "political personality by chance" for forty years led during the period of democracy and functioning of independent Kazakhstan to the realization of the need to study the cultural heritage, past, ethical views of the people.

The revealed process of objective "selection" of specific historical figures allows us to recognize the thesis of the "neutrality" of replacing one historical character (actor) with another for the course of social development as untenable.

An outstanding historical person is not alone, there are certain social forces behind her, on which she relies and interests which it expresses and protects. The role of the

individual is directly dependent on the degree of activity, and, most importantly, the historical perspective of the social community on which it relies (Zimina, 2009).

Whenever the conditions for a certain historical discovery arise before society — technical, social, scientific, cultural — there are people who carry them out. The more clearly a person realizes and fully expresses the need for certain changes and actions, the greater is his role and the more significant is his contribution to the treasury of world culture. Only such an outstanding person is truly free, she consciously recognizes the surrounding historical necessity and implements it in the interests of the entire people and even humanity.

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Parallels of cultural renaissance and dynamics of ethnic cultures of Russia in the era of cultural globalization

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ABSTRACT

The objective of paper is to assess the time-compressed dynamics of the culture of the ethno-national region of Russia, to identify its regularities and to draw parallels with the stages of European and Russian cultural processes. The article identifies the quality and modernization potential of the current state of ethnic culture, which is under the pressure of assimilation of cultural globalism. The methodology is revealed by the definition of the Renaissance culture as the ability to operate with symbolic forms and the consistent transfer of the well-known properties of the European and Russian Renaissance to the modern ethnic culture of the Russian region as isomorphic processes. The paper identifies the state of regional culture as result of a double reflection of the cultural renaissance, called as the "Yakut Silver Age". The criteria for that is the presence of a creative paradigm of ethnomodernism, manifested in the field of art.

KEYWORDS: Modernization; Cultural heritage; Ethnic identity; Cultural innovations; Cultural dynamics; symbol; Modern art; arts; Russia; cinema.

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Paralelismos del renacimiento cultural y la dinámica de las culturas étnicas de Rusia en la era de la globalización cultural

RESUMEN

El objetivo del trabajo consiste en evaluar la dinámica comprimida en el tiempo de la cultura de la región etnonacional de Rusia, identificar sus regularidades y establecer paralelismos con las etapas de los procesos culturales europeos y rusos. El artículo identifica la calidad y el potencial de modernización del estado actual de la cultura étnica, que está bajo la presión de la asimilación del globalismo cultural. La metodología se revela por la definición de la cultura renacentista como la capacidad de operar con formas simbólicas y la transferencia consistente de las propiedades bien conocidas del Renacimiento europeo y ruso a la cultura étnica moderna de la región rusa como procesos isomorfos. El documento identifica el estado de la cultura regional como resultado de un doble reflejo del renacimiento cultural, llamado como la "Edad de Plata Yakut". El criterio para ello es la presencia de un paradigma creativo del etnomodernismo, manifestado en el campo del arte.

PALABRAS CLAVE: Modernización; Patrimonio cultural; Identidad étnica; Innovaciones culturales; Dinámica cultural; símbolo; Arte moderno; artes; Rusia; cine.

Introduction

The subject of the research is the cultural process in the ethno-national regions of Russia, its dynamics, the current state and the possibilities of future modernization transformations. The author problematizes the issues of contact interaction of cultures, studied on the basis of the phenomenon of cultural renaissance, drawing parallels between the European Renaissance, the late Renaissance of Russian culture, the so-called Russian Silver Age and the closely studied cultural processes in the national regions of Russia, such as the Republic of Sakha (Yakutia). Taking into account the methodology of contact cultural renaissance developed by Russian philosophers and culturologists, the author of paper sets the task of transferring and adapting this methodology to the level of national regions of Russia. This problem, which is promising for the philosophy of culture, has not yet been solved by Russian anthropology for the case of processes in ethnocultural regions that have gone through a fleeting and unique way of inorganic

modernization at the end of the 19th and throughout the 20th centuries. To date, no detailed assessment of the results of inorganic modernization of ethnocultural regions has been carried out on the example of the state of their art, which makes it possible to notice the contact transfer of cultural achievements. This task is explicated in detail on the example of the cultural paradigm "ethnomodern" in the cinema of Yakutia.

The *objective* of the paper is to qualitatively assess the cultural dynamics experienced by the ethnic cultures of Russia in the era of cultural globalism, which experienced inorganic reflected modernization transformations in the 20th century. The indicated dynamics took place during the transition from the before- and pre-modern era to modernity under the influence of active European acculturation in connection with mass education, arts, science and technology. The changes that took place were fleeting. In about 200 years, the Yakuts have experienced fundamental worldview upheavals in public consciousness from myth, acquaintance with world religions, to modern culture and a model of mass culture of the global world, which did not happen to every nation.

1. Theoretical aspects

The work attempted to look at the Russian culture of the Silver Age more broadly, given the possibility of a contact transfer of the cultural renaissance from one culture to another. In domestic humanitarian thought, attempts to consider the cultural renaissance as a universal event were carried out by philosophers, historians, literary scholars of the Soviet era (Kulizade, 1983; Losev, 1978; Nutsubidze, 1967; Chaloyan, 1963), as well as philosophers of contemporary culture. V.I. Kondakov in book (Kondakov, 2018) notes the works of the historian and philologist of the East N.I. Konrad, who gave the term "Renaissance" a universal character inherent not only in European culture, but also in the cultures of the countries of the East, including the Far East (Konrad, 1966). Indeed, a European-centric view can narrow the understanding of the laws of historical and cultural analysis. A broad view of the phenomenon of Renaissance gives heuristics, changing ideas about the European Renaissance as a particular case of the universal phenomenon of culture on a global scale.

Meanwhile, the problem is to draw a parallel between the European Renaissance, the late Renaissance of Russian culture (Russian Silver Age) and cultural processes in the national regions of Russia as Yakutia (Sakha Republic). Taking into account the methodological decisions of Russian philosophers and cultural scientists, this becomes a promising task for the philosophy of culture.

According to N.A. Berdyaev, Russia at the turn of 19-20 centuries was marked by Renaissance creative redundancy, suggesting the highest rise and, at the same time, cultural overheating. Revealing the features of the "reflected" cultural renaissance, it should be noted the "multisectoral" manifestation of cultural passionarity, embodied at the beginning in symbolic forms of art - the vanguard of culture, and then in the "softwear" and "hardware" of scientific and technical creativity. According to contemporaries of that time, "all of Russia awakened, dreamed of some fabulous, rainbow dreams" (Platonov, 1997). The term "renaissance" becomes not just a literary metaphor drawing parallels with the European Renaissance, but a logical stage (Konrad, 1966), coming after the Russian Middle Ages, continuing to stretch after the Petrine modernization.

It should be noted the methodological indistinguishability for us of the terms "Silver Age of Russian Culture" and "Russian Cultural Renaissance", "Russian Renaissance". Those criterion differences of the Russian renaissance, which are noted by some researchers (Voskresenskaya, 2015), can be described as an attempt to differentiate a homogeneous phenomenon, "formatted" by the language of aesthetics (silver age) and the language of science (cultural renaissance). The general spiritual and creative rise among the cultural elite, interested in idealistic, romantic world representations and spiritual values, naturally inexhaustible only by them on a common cultural background, expressed a turn of view of the intelligentsia on the ideas of national Russian culture and its spiritual values forgotten by political radicalism of the left intelligentsia (Voskresenskaya, 2015). It was a conditional religious, aesthetic and socio-cultural protest against the callousness emerging in Russia. In our interpretation, this is the return of the possibility of operating in a symbolic form of culture that has been distorted in the social and political life of the state.

Since 1861, emancipated generations began to emerge, on whose shoulders the flame of the Russian Renaissance flared up. This terminology is used by both Russian philosophers and cultural scientists, in particular N.A. Berdyaev (Berdyaev, 1990) and D.S. Likhachev (Likhachev, 1985). There is one more important methodological addition, which will possibly strengthen and make the identification of the Renaissance distinct, for which the same N.I. Konrad. In whose works, according to contemporaries, it is difficult to separate the Middle Ages from the Renaissance in the East. This is the emerging bourgeois socio-economic formation, which has presented itself to the world as a paradigm of modernity, which is coming "on the heels" of the European Renaissance. For the Renaissance East, this addition naturally somewhat diminishes attention to the "Eastern Renaissance", therefore, another criterion of Renaissance should become a methodological addition, carried out from the standpoint of the ontology of the culture in question, which we propose, explicating it on the example of the ethnic culture of the Yakuts (the self-name of the people is Sakha).

What can become a universal criterion for the Renaissance? The usual analogies of the content aspects of the Renaissance are often contradictory or completely absent due to the unique uniqueness of historical events (Berdyaev, 1923). We believe that the essential criterion of the Renaissance can be considered the ability of a culture to master the symbolic and metaphysical apparatus of a certain culture, often lost culture of the past. In other words, the ability of a culture to master the symbolic form of another culture or an autonomous exit to a new symbolic nature is the defining criterion of the Renaissance. In European culture, it coincided and to some extent intensified the socio-economic change of social formations.

Thus, the rejection of the iconic formalism of culture and the return to the symbolic, compensating for the "loss of the culture of connection with the primary conditions of symbolization of consciousness" (Mamardashvili and Pyatigorsky, 1997: 192-193), a kind of symbolic archaization of culture, as M.K. Mamardashvili and A.M. Pyatigorsky, in fact, is a criterion for the renaissance of culture. Analysis of parallels carried out by N.I. Konrad confirms what was said in the language of the history of cultures. He writes in his work "Renaissance": "the rebirths of China and Italy converge, which means that the struggle to free the human intellect from the shackles of dogmatism - religious in Italy, philosophical in China - constitutes

the main ideological feature of the Renaissance in the region" (Konrad, 1966: 252). The Renaissance campaign against dogmatism, exegesis and scholasticism with the identification of new rationality, in the words of a historian and philologist of oriental texts, was the essence of isomorphic cultural processes called the Renaissance. The same thing in philosophical terminology sounds like an attempt to reanimate the meanings of culture through familiarizing with symbolic consciousness, which means a return in such an ontology to man, recorded in the anthropocentrism of the Renaissance. In the East and West, it sounded like the formula "ren=humanitas" (Konrad, 1966: 256).

2. Methodological foundation

Therefore as a methodological approach, we will use the term "rebirth" in the sense of removing the totality of the sign, and hence dogmatism and scholasticism, revealing the symbolic layer of a productive metaphysical culture that gives rise to a new rationality. At the same time, it should not be forgotten that as the totality of the sign is removed and the symbolic foundation of productive culture emerges, art, the aesthetic experience of the symbolic, becomes a tool. In this process, the symbolic apparatus of religious teaching is lost or distorted under the pressure of secularization and emancipation of anthropocentrism of the revivalist sense, a return to the pagan takes place. This is clearly recorded in the history of Russia with Orthodox Christianity at the beginning of the 20th century and in the history of aesthetic reminiscences in art. This is a return on the aesthetic wave to the secondary mythologically conceived symbolism (Konrad, 1966).

The methodological approach in our study appeals to the ontological criterion of the Renaissance culture, the ability of a given culture to operate with the symbolic constructs of another culture, its symbolic consciousness. This is an authentic way of rediscovering symbolic nature as opposed to sign culture, it is a way of multiplying one's own culture with new forms through aesthetic and philosophical reflection.

The strategy of our research comes to the fact that the enumerated substantive aspects of the Yakut culture are revealed on vivid examples of style in modern cinema and art, there are shown the peculiarities of the cultural paradigm of ethnomodern in contemporary art of Yakutia.

Being made in parallel, deductive theoretical generalizations about the possibility of describing the bright ethno-regional cultural phenomena of Russia as a cultural renaissance, conclude that the ongoing cultural process of the national region can be identified as the Silver Age of Yakut culture, having drawn a semantic parallel to the Russian Silver Age as a reflected European Renaissance.

3. Results

The relatively short era of the European Renaissance, refracted by Russian culture, an even more compressed spring of spiritual tension, splashed out a galaxy of prominent world stars, repeating in basic coordinates an interest in art and science, as it happened in the European Renaissance with emancipation and secularization, interest in anthropocentric humanistic ideas, non-scholastic education, scientific and technical creativity and the corresponding worldview, the playing in Russian culture of all significant styles of art that followed from the Renaissance - from baroque to realism.

The high intensity of cultural tension, set by the flight of art thought and embodied by scientific and technical creativity, was expressed by Russian literature through "rebellious modernity", hope, despair, expectation of changes to freedom. The "Golden Age" of Russian literature and poetry was supplemented by world classics: A.P. Chekhov, B.L. Pasternak, A.I. Kuprin, I.A. Bunin, D.S. Merezhkovsky, M. Gorky, Z.N. Gippius, V.S. Soloviev, V.Ya. Bryusov, K.D. Balmont, A.A. Blok, A. Bely, F.K. Sologub, L.N. Andreev, N.S. Gumilev, A.A. Akhmatova, O.E. Mandelstam, V.V. Mayakovsky, S.A. Yesenin, M.I. Tsvetaeva, A.N. Tolstoy. It is worth mentioning the phenomena of the Russian drama theater, Diaghilev's Russian ballet and the music of the "Russian ethnomodern". Prominent world scientists and technicians from Russia became an undoubted addition (Aronov, 2020).

At the same time, the Russian Renaissance in the literary metaphor is no longer "golden", but "silver age. It is dominated by a secondary value and an indication of decline. Leaving Russia, Berdyaev noted: "that after the Renaissance comes the "new Middle Ages" fraught with a sharp rollback, the death of cultural values and the foundations of civilization, the apotheosis of reaction and obscurantism, persecution of intellectuals and cultural figures, the collapse of

humanism, escalation of violence and terror” (Kondakov, 2018: 429). The analogy with the European counter-reformation can be drawn here quite transparently. Berdyaev in his writings reveals the potential contradiction of the humanism of the Renaissance, stating a natural decline after the spiritual rise: “the possibility of self-denial of a person and his fall lurked in the very fundamental principle of humanistic faith ... a person broke away from the spiritual center of life, he broke away from the depths and moved to the periphery” (Berdyaev, 1923: 23).

Decadent thoughts appear in the tension of the hopelessness of civilizational backwardness and the high aspiration of a symbolically filled culture. These were words that convey the impotence of reason and consciousness in front of the inertia of the tradition, which is entrenched in the subconsciousness and mentality of the masses.

So, F. Sologub wrote:

“We are captive animals,
We vote as best we can.
The doors are deafly locked,
And we dare not open them”
(Sologub, 1908).

Peter's the Great modernization in the next two centuries could not overcome the medieval feudal essence of Russian civilization. The subject of modernization was not formed, therefore, according to culturologists, “all subsequent stages of the cultural and historical development of Russia in the New Time were formal, artificially stylized and had the character of a secondary system (Kondakov, 2018: 415).

The metaphysical potential of the culture of European modernity began to be conquered by its own cultural forms precisely in the era of the Russian Silver Age. The culture of the Russian Renaissance was able, on its own cultural grounds, to “digest” European modernity and everything that had happened before it, producing new forms, modulated by the Russian symbolic spectrum of consciousness, which absorbed Orthodoxy and Russian folklore.

Attention should be focused on the process of cultural synthesis, where the synthesis of the symbolic was played within the framework of the aesthetic form. According to researchers of Russian ballet, it was the theatrical form that made it possible to effectively play out the synthetic function, combining the religious and philosophical symbolism of the era with the

pagan symbolism of the folk tradition: N.A. Benua expressed that "... our ballet is the most perfect synthesis of all existing arts" (Vedernikova, 2016: 109). In the plots of M.M. Fokin, V.F. Nijinsky successfully intertwined the religious ideas of the Symbolist poets, and the musical themes of I.F. Stravinsky absorbed the atmosphere of folk holidays and natural liturgy (Vedernikova, 2016). God-seeking with God-building, on the one hand, is neo-paganism, on the other, it is a synthetic result of Russian Renaissance. This is a confirmation of the return to life of the living sources of Russian culture, which continues to draw them to this day from the symbolic sources of folklore and living Orthodoxy, encoded in the symbol of faith.

At the same time, as noted, the Russian Renaissance opened up an abyss that opened a civilizational gap as a result of "skipping the Renaissance as a stage in the normal cultural and historical process in Russia. Here is the gap between the West and the East, between freedom and slavery, between the Enlightenment and the despotism of autocracy, between the people and the intelligentsia" (Kondakov, 2018: 430). Petr Chaadaev stated: "Once a great man ... threw us a cloak of civilization; we raised our cloak but did not touch enlightenment. Another time, ... returning home from a triumphal march through the most enlightened countries of the world, we brought with us only bad ideas and disastrous delusions, the consequence of which was an immeasurable disaster that threw us back half a century. We have something in our blood that rejects any real progress" (Chaadaev, 1836). We still continue to build a cultural bridge over the "civilizational abyss" separating the Russian Renaissance of the Silver Age from the natural Renaissance missed by Russia (Kondakov, 2018:433). It should not be forgotten that a cultural program for the production of new higher values was laid in the poetry of the Symbolists, with a deep belief in the fact that it is art that is capable of renewing the worldview and life of people.

The figure of Chaadaev marked the questioning of a modern man who was destined to be born several decades ahead of schedule. However, he, in fact, anticipated the Russian Silver Age, Russian Art Nouveau in art, the fruits of which are still used all over the world. He could not yet see, but he sensed the impending tasks that Russian culture needed to solve. He began to solve them from the Silver Age, following a special path.

Spiritual flesh and being demanded, but the "muscles of culture" in terms of the educational level were not enough. It was then that the inner need for self-education arose. The

pathos of the lack of knowledge was transmitted to the national outskirts of Russia, becoming an impetus for the emergence of a national intelligentsia. It is worth mentioning their names, which chronologically coincided with the “cultural thaw” of the national regions of the Russian empire. Vasily Nikiforov, Prokopy Sokolnikov, Alexey Kulakovsky, Anempodist Sofronov-Alampa, Nikolai Neustroev, Gavril Ksenofontov, Semyon Novgorodov, Platon Oyunsky, Ilya Vinokurov, Isidor Barakhov, by the date of their arrival in the world, successfully coincided with this period in the history of the fatherland.

The main problem was the lack of mass education and the quality of higher education, including science and technology. At the level of zemstvos, ideas were voiced for the legal consolidation of universal primary education, which did not find support in certain circles. By 1914, there were 10 universities and 105 high institutes in Russia, a state textbook became a mandatory minimum, and acquaintance with the originals was not required. Talented students studied in several faculties. Self-education was in demand among young people, which took the form of self-education circles in secondary and higher educational institutions.

By the way, the need for self-education for a modern ethno-national region is becoming one of the important criteria for the renaissance of a culture experiencing overheating and in need of self-development and the production of new forms in which the ideas of a new generation would be realized. Today, we can state the presence of a “branch” cultural overheating, realized in the theatrical and cinematic life of Yakutia. These are the author's theater of Sergei Potapov, Yuri Makarov, the Olonkho theater, the successes of Yakut drama and cinema at international and all-Russian forums. There are high hopes for the cultural paradigm of ethnomodernism in Yakut art (Pudov, 2019).

When did the Yakut Renaissance happen, its “Silver Age” of culture? Or has he already imperceptibly slipped into the Yakut graphics of the 70s and 80s, the work of symbolist poets like Ivan Arbita, the successes of modern Yakut filmmakers on international platforms? Undoubtedly, sporadically, bright stars in the culture of Yakutia lit up representatives of the “Silver Age” during the 20th century in various forms of art.

Drawing parallels between the current state of Yakut culture and the culture of the Russian Renaissance and noting characteristic coincidences, we can state the onset of the “Silver

Age" of Yakut culture. Fine arts, theater, the Yakut film boom, the successes of Yakut cinema in recent years, the source of which is not only increased skill and objective technical capabilities, which cannot be ignored, but rather a passionate surge of culture, which, by the way, can scatter. Art workers act in these avant-garde forms according to an internal message, which is read from the tension of ethnic culture. The latter gives them this quality. Here passionarity is an irrationality similar to that described by L.N. Gumilev in his theory (Gumilev, 2019), but he had it as a biological force of natural origin. In this case, the passionarity of culture as a supranatural spiritual system that turned its gaze from the conquered position of modernity to the symbolic capital of the traditional era, disappearing under the pressure of mass culture of unifying globalism of the world capitalist system and leaving a feeling of the disappearance of something important in the life of a modern ethnophor.

If we talk about the qualitative assessment of "cultural renaissances", the Russian cultural renaissance of the late 19th and early 20th centuries became a symbolic synthesis of European modernity with Orthodoxy and Russian folk culture. The Yakut Silver Age or the Yakut Cultural Renaissance (Pudov, 2020) is based on the synthesis of European modernity and ethnocultural symbolic forms of the Sakha people, its ethno-symbolic capital. We call the latter the conservative bosom of the national culture. It is, it was and should be preserved. Its main function is protective, it remained for the ethnos as a legacy of ancestors, the cultural basis of traditional and modern society. In cultural discourse, it is also called the "genetic code of culture" or simply "the code of culture". It is interesting to note that ethno-symbolic capital, some kind of unknown knowledge, manifests itself more vividly as the "ethnic person" develops modernity. This is how the constructive possibilities of one's own and foreign culture are revealed.

The West, experiencing an acute spiritual crisis, is "subconsciously" interested in institutions capable of reproducing traditional values. There are almost none of them left. Therefore, the West is interested in the lost experience of cultures that still preserve traditional values in the 21st century. These are societies that have preserved elements of the traditional way of life and beliefs, which means a mythological worldview (before- and pre-modern). Success on international venues in the field of art, in particular cinema, confirms this fact. Therefore, cinema, as well as theater, performing a protective function for traditional

institutions, at the same time becoming an ethnocultural avant-garde, designated ethnomodern (Pudov, 2019a; Pudov, 2019b).

According to culturologists, Russia at an accelerated pace passed the main cultural stages of Europe, reflecting in stylization at the level of mass culture the styles of baroque, classicism, sentimentalism, romanticism, realism, etc. In the case of the evolution of the Yakut art and culture of the 20th century, these styles of art were “converted” into types of art and culture, which became a cultural avant-garde at each stage of self-development. These are literature, theater, music, painting, sports, graphics, premodern theater, ethnomodern theater, fine arts, cinema, these styles “losers” in themselves.

The main criterion for attributing art forms to the Yakut Silver Age was for us the belonging of works of these types to the cultural paradigm of ethnomodernism. The latter can be called a productive part of modern Yakut culture. What is its nature? Sakha were able to master modernity, and through this intuitively feel the advantages of their ethnic, let us note the symbolic culture, and at the same time reflect on the weaknesses of modernity and the futility of a totally desymbolic postmodernity. Therefore, ethnomodernity is seen as the ability to intensify ethnocultural symbolic capital, the development of its cultural capabilities, taking into account the use of forms of modern culture. At the same time, the symbolic capital of ethnic culture “appreciates” nature-proportionality, environmental friendliness, morality, health and life-giving physical capacity. The ability to operate with the symbolic opens up the possibility of creating a culture, even one that is alien in quality. This is the criterion for its development. Ethnomodernism is at the same time a new version of socio-cultural modernization, different from the usual models of modernization (Fedotova, 2000).

What does ethnomodernity do? Philosophers have a term “large thought of nature”, such, for example, is the idea of a “wheel”, which carries in its horizon of thought the absolute principle of movement and the symbol of solarly. A major thought for the North, in addition to the moral universals of tradition, can be “northern nature”, which sets the horizon of thoughts like snow, ice, water, frost, fog, the natural bosom of human life, their harmonious coexistence, but also expanding this range to new ideas. In other words, the Yakut Silver Age and the ethnomodern

paradigm reveal the possibility of living in a value-semantic space, born today by the very same ethnoculture.

Summarizing, we can say that the criterion of the renaissance of the Yakut culture, its "ethnomodernity" is the ability to unpack and make spiritually and materially useful ethno-symbolic capital in modern life (Pudov, Koryakina et al. 2020). The way to intensify the symbolic capital of ethnic culture, to develop its culture-producing capabilities in the current conditions of mixing modernity, postmodernity and altermodernity expresses the renaissance of a particular culture.

A striking manifestation of ethnomodernism in the worldview can be, for example, the advancement in culture of the phenomenon of cold, which from time immemorial carried a respectful but negative connotation among the Sakha ancestors, opposing the traditional values of heat, light, the sun and natural abundance. In other words, this is the transformation of natural sagacity and observation into the potential of an unusual economy, and then the economy. The perception of the idea of "cold" as a constructive concept becomes a criterion for the development of modernity. The impossibility of perceiving such concepts is an indicator of the presence of a conservative, traditional worldview for an ethnos. In the Eurocentric paradigm, this is given by a constructive assessment of the technogenicity and innovativeness of culture, which was not the case in the traditional era among the Yakuts.

In connection with the above, the rise of the Yakut cinema is more than the technical equipment or the increased skill of regional filmmakers, the mastery of the external, iconic side of modernity. Primary is the state of regional culture, which is experiencing a passionary upsurge, the essence of which is the aforementioned assimilation of modernity at the level of metaphysics of its symbolic forms and the preservation of the symbolic capital of ethnic culture, which is necessary for its transformation into sociocultural capital and the social code of the modern ethnos and its culture.

Not every modern Yakut filmmaker can be called representatives of ethnomodernity in cinema. It is necessary to have certain qualities - having absorbed the traditional, to be receptive to the universal, subtly feeling the rift in the regional culture. Not everyone fits into this form either by age, not caught up in tradition, or insensitive to the creative potential of modernity.

Nikita Innoketyevich Arzhakov was originally a man of the theater, retrained at VGIK. He had government orders from the Sakhafilm film company, full-length heartfelt stories about the war, a portrait of the Yakut generation of the 20th century in artistic and documentary performance.

Nikita Arzhakov's new work, "Tygyn Darkhan" in 2020, addressed the task of returning the original cultural codes of the Sakha people. The film fits into the paradigm of a conservative ethnomodernism, realized through a plot immersion in the traditional era, washing away all modern connotations and clearing the space for building an original construct that revives lost meanings. The film has become a kind of time machine that transports the viewer into the era of feudal fragmentation at the turn of the 16th-17th centuries and is sharpened to trigger long-dormant meanings in the subconscious of the Sakha viewer, which return him to understanding of his place and role in modern life. Genre film meditation is designed for the Yakut viewer, who must remember what he "knew" for a long time at the level of cultural memory but was not aware. Cinema, in the role of a modern form of culture, having absorbed the ethnosymbolic spectrum, realizes the reanimation (Pudov, 2014) of its meanings in the minds of the modern viewer.

Sergei Stanislavovich Potapov in his films "Small Motherland - Doydu" and "The Deity of the Horse - Desegei Aiyy" uses the expansion of mythological consciousness and the corresponding sociocode with universal symbolic constructs - philosophy and Christianity. The cinema form designed by the author allows to experience the new in the passing everyday life. This topic can be described as the fate of a culture that did not have time to digest the rapid pace of the era. The author has realized the aesthetics of ethnomodern synthetic symbolism. The author's technique was to use the attributes of the material and spiritual culture of the Sakha, presented in the rituals and ceremonies of the summer holiday Ysyakh, introduced into the new metaphysical space created by cinema. There was a symbolic overlap with plots from the Gospel, a new understanding of the meanings of Yakut culture was born, capable of synthesizing universal metaphysics from the mythological tradition.

Sergei Potapov went through the school of acting, theater directing in Moscow with Mark Zakharov. He is a representative of the author's cinema of Yakutia. Freedom of a creative

person in the special conditions of a breakdown in the socio-cultural environment is an existential task that the director solves in regional art, testing the theme of combining the universal language of the soul and national mentality. The synthesis of the latter gives rise to new cultural opportunities, serves as an instrument for preserving the ethnic symbolic spectrum, which is finding a living bosom in mass culture. Potapov drew a parallel between the viscous ideological subconscious and rational conscious experience. Conceptual searches for the metaphysical go through the director's work in the Yakut synthetic art. Embodying the modern generation of artists, the director made a successful attempt to conquer a cultural space that transcends the echoes of the ideological. Tragic fun, special Potapov's irony and skillful telescopic approximation of the historical past became his tools and hallmark.

An example of the cinematic success of Yakutia at several international film festivals will seem remarkable. Eduard Novikov's film "The Tsar Bird" of 2018 refers to ethnopremodernity in our classification of aesthetic paradigms. In contrast to ethnomodernity, the borderline of ethnic premodernity is capable of arousing mass interest from other national cultures, reflecting on their pagan origin.

Based on the literary tradition of the "golden age" of Yakut culture, a galaxy of filmmakers has formed, who have staged their films based on the work of the Yakut literary classics. These are the founders of the cinema of Yakutia Alexei Romanov, Nikita Arzhakov, Prokopiynogovitsyn, Vyacheslav Semyonov and the young author Mikhail Lukachevsky. Separately, mention should be made of the names of those who took up cinematic reflections from the perspective of the conquered modernity to the outgoing era of traditions. Playwrights and screenwriters Aisen Doydu and Semyon Ermolaev became a prominent representative of this phenomenon. The directors of this niche include Tatyana Everstova, Lyubov Borisova, Prokopiynogovitsyn and others.

Yakut horror and mystic films deserve special mention in revealing a specific mythological layer of Yakut culture. This is an inexhaustible source of creative inspiration for Sakha, seasoned with the fears of a modern layman. Films become a kind of excursion into the Yakut subconscious, which is inhabited by mythological characters from the other world and this world. These films can be included in the cultural paradigm of ethnopremodern and

premodern. This paradigm should include some works by Alexei Romanov, Gennady Bagynanov, Anatoly Vasiliev, Elley Ivanov, Kostas Marsan, Stepan Burnashev, Procopius Burtsev and other, younger filmmakers.

Dmitry Davydov, known today in Russia, being a representative of Russian culture, but having absorbed from childhood the social codes and mentality of the Yakut culture, skillfully uses the elements of ethnomodernism, which are included in his films through the social life of the modern Yakut village in the film "Fire in the Wind" and "There is no God, except me" or charismatic characters, such as the ethnic singer Valentina Romanova-Chyskyyrai in the film "Scarecrow". Davydov's author's film studies always go along the fault line in Yakut culture between the disappearing tradition, shackled by social ailment and the "civilization" represented by the sociality of the Yakut village or city. Yakut cinema makes it possible to actively fund the ontological conquests of cultural paradigms - ethnopremodern and ethnomodern, revealing the potential for self-development of culture.

In connection with the above, the modern task is associated with solving the problem of preserving and prolonging the existence of an ontological basis in the issue of ethnic national identity. This is the task of "expanding the world" at the point of an ethnic symbol, namely, the need to combine ethnic symbolism with universal symbolism, represented in the conquests of the universal metaphysical culture of philosophy and world religions. The establishment of conjugations, the emergence of ethnic symbols into universal symbolism are the main cultural dominants in the era of leveling cultural globalism, in other words, the change from the stage of self-institutionalization to the stage of ethnocultural modernization. Globalism appears as a way of usurping symbolic forms, reducing their metaphysical significance and rank, down to the level of a sign, and the practice of outdated models of catch-up modernizations leads to secession and the growth of fundamentalist attitudes. In the era of global capitalism and cultural decline, we must oppose the free and all-round development of Russia's national cultures by developing the ethnic cultural capital of the peoples inhabiting the state, the basic basis of which should be socio-cultural modernization, conquering the achievements of modernity on its cultural grounds, returning to the West new meanings of modernity.

4. Discussion

Using the poetic allegory of the "silver of the age", one may ask, why is it not the "golden age"? We believe that the "golden age" in the Yakut culture should include an authentic ethnic culture with the spiritual heritage of the heroic epic Olonkho and material economic activities - Yakut cattle breeding and herd horse breeding, hunting and fishing. If you try to stretch the Yakut golden age in time until the Soviet era of the 20th century, then it can be synchronized in a broad context with the beginning of active creative development and processing of the culture of Russian and European modernity not only in the field of art, but in the introduction to literacy, higher education, science, technology and Olympic sports. This should include the constellation of the first wave of the Yakut intelligentsia with literary and social creativity, almost coinciding in time with the Russian Silver Age even by date of birth, ending with the classics of the Soviet era, the period of the appearance of the great Yakut novel, scientific historiography, the Olympic triumph of Soviet Yakut wrestlers of the 70s.

Modern Yakut culture demonstrates the uniqueness of the presence of both modernity, ethnomodernity and premodernity. The originality of the Yakut ethnomodern lies in the synthesis, and not simply in the mixture of mythological and metaphysical. The synthesis gives rise to an ethnocultural renaissance that did not exist in history. The Russian renaissance of the Silver Age was a product of a synthesis of Orthodox Christianity, Russian folk culture and modernity. A similar quality occurred in the 15th-17th centuries in Europe, which in fact was a historically noticeable Renaissance symbolic production against the background of the dominance of scholastic medieval culture, the Renaissance, which returned to the philosophical symbolism of the ancient era, which held on to the "empty form" of three philosophical pillars, preventing the Greeks from assimilating into barbarians - the Olympic Games, the ancient theatrical tragedy and the question of a man who conquers a centaur in himself.

The advantages of an unspent mythological worldview of a traditional society for ethnocultures lies in the fact that it encoded the consciousness of the representatives of the ethnic group in the absolute coordinates of the morality of Good and Evil, while modern global culture, actively using the mythological method of coding society, relativizes absolute concepts, removing the moral component, replacing it with the ideologemes of the consumer society.

Do not forget that the ancient Greeks carried out a "zero cultural renaissance" on the substrate of their ethnic mythological worldview, producing not variations of mythological symbols of consciousness, but qualitatively new symbolic constructs, philosophical symbol forms.

Confirming the onset of the "Silver Age" of Yakut culture, one should also recall the decline of any renaissance. In the case of the Russian cultural renaissance, it was the emergence of a "gaping chasm between culture and civilization". The cultural renaissance ended with a revolution that clearly marked in its socialist stage the destruction of the symbolic nature of consciousness. It led to a distorted substitution of the formal-symbolic for literal cash. So, the symbolic metaphysics of Christianity began to be perceived not in its symbolic abstraction but replaced by the iconic reality of political ideology.

The destruction of the symbolic nature of ethnoculture for Sakha can occur under the pressure of assimilation by mass culture, the social codes of the global faceless postmodernism, which emasculates the moral basis of man. The breakdown that occurs after the "Silver Age" of culture can be weakened by opposing the pop culture industry, in addition to the creative industries of ethnomodernism and the conservative symbolism of tradition, the social form of the institution. This is the need for socio-cultural practice, a practiced social cult of a metaphysical order, supplemented by a new social normative ethical sense.

In the aggregate of the results the regional ethnoculture is experiencing counter-directional currents. At the same time, the counterproductive cultural assimilation that all ethnic cultures of Russia experience under the influence of mass culture is significant. Meanwhile, there are conservative and productive trends:

a) the preservation of ethnic symbolism (Pudov, 2014) both in contemporary art forms, and its consolidation in traditional folklore genres;

b) the transformation of ethnosymbolism in modern forms of culture.

Counter directional assimilation and conservation have formed a cultural rift. Thus, the mass culture of industrial civilization is semiotic (iconic), and the traditional agrarian culture is symbolic. In principle, a rift arose in any culture and was traced back to the times of Ancient Greece, when, for example, the mythological tradition already split by the metaphysics of

philosophy could follow the path of Socrates-Plato (the symbolic nature of consciousness) or the path of Aristotle (the iconic nature of consciousness). The culture has chosen the second option – an iconic (Mamardashvili and Pyatigorsky, 1997).

With the total expansion of the symbolic formalisms of culture, a kind of "reset" or revitalization of the living principles of culture takes place by turning to symbolic form, often through religious and philosophical practices, art and even physical exercises, for example, in yoga.

The general institutional interest in the symbolic gives rise to new cultural forms, which we call the cultural renaissance. It happened in the opinion of Russian culturologists (Aronov, 2020; Kondakov, 2018) in Russia at the turn of the 19th and 20th centuries, in the East at the middle ages (Konrad, 1966), but it can happen "compactly" and not so vividly, within the framework of the ethnocultural complexes of modern Russia, which we illustrated by the example of the culture of the Sakha people at the turn of the 20th - 21st centuries.

Flexible multinational forms of Russian culture are vital than the proposed Western models of multiculturalism (Zhizhek, 2005). The world of globalist profit-making cannot in principle produce them, offering only "digital totalitarianism". Russian culture can draw strength through the creativity of regional Russian cultures. The implicit potential of multinationality can be claimed through ethnocultural practices. Until now, multinationality has been held together by the ideas of paternalism and statehood. The power that feeds the culture of Russia must come through the gathering of streams of modernized ethnocultural multinationality.

Historically, the Russian egregor was in the spreading of the power of the statist-type state from the metropolis. Now, the rays of culture must come from the regions and they go, which have historically accumulated this spreading force, absorbing modernity, making it their own being and feeding the wasted Russian egregor through their roots. In a cultural context, ethnocultural regions will be able to return to Europe the meanings of modernity, which have been partially forgotten or wasted by the carnival and empty postmodernism. This is one of the most important functions of any cultural renaissance.

Modern and postmodern are in fact an expression of the urbanism of the urban lifestyle, its socio-cultural ties. Ethnomodernity in this vein is a product and result of "rural" modernity in the urban environment. Urban Yakuts who have lived since birth or have recently moved to the city are "spiritually" comfortable in the city because they have a "rear" as a village. Relatives live there, nourishing their cultural roots with various ties. If the village weakens and it does not have a tide of youthful strength, the rear will disappear, the roots will dry up, and the ethnic culture will assimilate and disappear in the urban environment in one generation.

Currently, a number of interesting processes are taking place in the culture of Yakutia, which draw attention to themselves with their expressiveness, primarily in art, and affect the cultural state of the Yakut ethnos. In the humanities, they are not clearly recorded or recognized. Defining this phenomenon, the author proceeds from a comparative analysis, drawing parallels with the Russian Silver Age, finding qualitative isomorphisms in the cultural dynamics of the Yakut ethnic group. Since 2000, researchers have drawn parallels between modern Yakut poetry and the poetry of the Silver Age at the turn of the 19th-20th centuries, and it has been identified as the Silver Age of Yakut poetry (Bugaev, 2000).

The author sets tasks with fixing important events of the Yakut culture, reflecting its dynamics and identified in early works. The cumulative task is associated with identifying the advantages of having a productive ethnoculture over the trend of universalization by the culture of the global world, the controversial aspects of modernity and postmodernity.

Conclusion

The ethnic cultures of Russia are faced with a Global Challenge of cultural globalism, about their place and right to exist in the modern world. In the presented material, the author brings together the qualitative trends in the self-development of the Sakha culture, defining its qualitative components - premodern and ethnomodern.

1. The main result of the analysis is the statement of the state of culture, identified as the "Yakut Silver Age", carried out by analogy with the Russian Silver Age, which symbolizes the onset of a cultural renaissance against the background of cultural globalization de-symbolizing ethnic cultures. This is the result of a double reflection of the cultural renaissance of the

European Renaissance and the Russian Silver Age on the authentic soil of pre-modern Yakut ethnic culture.

2. The criteria for the latter is the presence of a creative paradigm of ethnomodernism, manifested in the field of art. The analysis of the indicated state makes it possible to assess the possibility of disrupting the cultural renaissance and the factors influencing this event in one way or another.

3. The conditions of the cultural renaissance are the presence of mass culture of unifying globalization, which in the language of symbolology is a consequence of the total semiotization of culture and the weakening of the metaphysics of symbolic forms. Metaphorically, it is a protest of the symbolic nature of man against the totality of an all-pleasing and extra-ontological sign. The cultural renaissance is a wavy cyclical process of changing the cycle of total semiotization in culture to a cycle of symbolization.

4. The breadth of the symbolic spectrum of culture, based on the presence of metaphysical symbolism, is responsible for the influence on the surrounding cultural landscape and the ability to cause its own reflected cultural renaissance in it. The presence of the metaphysical symbolism of philosophical knowledge provides the most powerful transformative effect on contact cultures inducing their own cultural renaissance.

5. The result of the study of the topic is the fact that an ethnic person is able to return the meanings of modernity to European culture itself at era of globalism with dominated postmodernism. This is explained by the human susceptibility of the ethnomodern paradigm to two traditions, two cultural paradigms - mythological "premodern" and metaphysical "modernist". The preservation of the institutions of the tradition of premodern, the involvement and assimilation of the tradition of modernity is a transitive mechanism for the transmission of cultural traditions of symbolic consciousness, a way of deconstructing the culture of an all-pleasing extra-ethical sign.

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Heterogeneity of signs and classification criteria for compound words

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ABSTRACT

The purpose of the article is to draw attention to the fact of the development of compositology in languages of different grammatical structures and in the Iberian-Caucasian in particular. We used classification, descriptive methods, linguistic analysis techniques, which are widely used by all researchers who work with the material of specific languages or linguistic groups. The method of typological comparison used in this study should be especially highlighted, which confirms the sufficient efficiency when comparing languages of different genetic and structural affiliation. The main and easily established difference when comparing the word-formation systems of the Chechen and Russian, for example, languages, is that in the Chechen language, of the two main ways of forming words (word production and base formation), the second clearly predominates. The reliance of the Chechen word-formation on the basis is not a new phenomenon and not a specificity of the Chechen language. It is known that in many languages, word-formation affixes historically go back to the components of additions. Consequently, compounding precedes affixation. Composites in Nakh languages go back to syntactic combinations of words and the most acceptable for the Chechen language is the classification according to the method of their formation.

KEY WORDS: classification and typologization of complex words; heterogeneity of features of composites; derivational systems of the Chechen and Russian languages.

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Heterogeneidad de signos y criterios de clasificación para palabras compuestas

RESUMEN

El objetivo del artículo es llamar la atención sobre el hecho del desarrollo de la compositología en lenguas de diferentes estructuras gramaticales y en el ibérico-caucásico en particular. Se utilizaron técnicas de clasificación, métodos descriptivos, análisis lingüístico, que son ampliamente utilizadas por todos los investigadores que trabajan con el material de lenguas o grupos lingüísticos específicos. Cabe destacar especialmente el método de comparación tipológica utilizado en este estudio, que confirma la eficacia suficiente a la hora de comparar lenguas de diferente filiación genética y estructural. La principal y fácilmente establecida diferencia al comparar los sistemas de formación de palabras de los idiomas checheno y ruso, por ejemplo, es que en el idioma checheno, de las dos formas principales de formar palabras (producción de palabras y formación de bases), predomina claramente la segunda. La dependencia de la formación de la palabra chechena en la base no es un fenómeno nuevo ni una especificidad de la lengua chechena. Se sabe que, en muchos idiomas, los afijos de formación de palabras históricamente se remontan a los componentes de las adiciones. En consecuencia, la composición precede a la colocación. Los compuestos en lenguas nakh se remontan a combinaciones sintácticas de palabras y la más aceptable para la lengua chechena es la clasificación según el método de su formación.

PALABRAS CLAVE: clasificación y tipificación de palabras complejas; heterogeneidad de las características de los compuestos; sistemas derivacionales de las lenguas chechena y rusa.

Introduction

Among the numerous languages of the peoples of the Caucasus, there are languages that have been studied relatively poorly. These include Chechen and other Nakh languages.

There are still many questions, linguistic units and categories in Nakh linguistics that have not been fully studied. The sphere of word formation and especially composite word formation stands out in this group of questions.

Thus, the relevance of this study is explained by: first, the need for a comprehensive study of the poorly studied word-formation system of the Chechen and other Nakh languages in general; secondly, in the opinion of most researchers, insufficient knowledge of the

fundamental structure, which is the main way of forming words in Chechen and other Nakh (and in general Caucasian) languages; thirdly, the need to solve a number of problems of practical grammar, especially those associated with the differentiation of complex words, phrases and spelling of complex words.

The classifiability of language units varies, and according to many researchers, compound words are particularly distinguished in this regard: “We will always try to build classifications, but it should be borne in mind that compound words are not a category that meets the classification requirements well and are unlikely to be classified at all” (Marchand, 1960).

The problem of classification and typology of compound words is associated with certain difficulties of both structural and semantic order. The diversity and heterogeneity of features and criteria for classifying compound words in General linguistic terms sometimes face a similar variety of linguistic reality, which imposes additional difficulties that prevent the creation of a unified classification scheme for compound words that would fit all languages and meet the requirements for the classification of language units.

The task of the researcher is to correctly reveal the commonality and difference of elements, based on the common principles of a particular classification.

In our opinion, it is advisable to choose such of the existing classification principles that can somehow help to reveal the material nature, semantic essence and degree of cohesion of components.

To consider the classification of compound words, it is also necessary to clarify the term for the concept of “compound word”.

The main purpose of this study is to provide scientific coverage of systemic semantic phenomena in the field of the selected word-formation subsystem of the Chechen language, to identify the internal laws of the composite word-formation system and the related regularities of semantic changes in derived units and the factors that determine them. This is done on the basis of the material provided directly by the language (mainly in its written manifestation), taking into account the information accumulated in the scientific literature on the issue of compound words in the Caucasian and other languages, which made it possible to characterize the Nakh word composition system in its current state and in its development.

In accordance with the set goal, the following specific tasks have been set and solved in the work:

1) to conduct a critical review of the main provisions in the interpretation of complex formations in Russian and Caucasian linguistics and establish the state of knowledge of this problem;

2) to reveal the national-linguistic peculiarity of the identification of a complex word in the Nakh languages;

3) to analyze the classification of complex formations proposed in linguistics and determine the optimal classification option for Nakh composites.

1. Research Methods

The article used the classification method, the descriptive method, and the techniques of linguistic analysis, which are widely used by all researchers working with the material of specific languages or linguistic groups.

The method of typological comparison used in this study should be especially highlighted, which confirms the sufficient efficiency when comparing languages of different genetic and structural affiliation. The specified research method has been successfully used in research devoted to one language or a group of languages; the consideration of which against the background of as many other languages as possible often makes it possible to identify and explain such facts and features of the studied language that could not be found without such a background.

2. Results and discussion

2.1. Classification of compound words according to the dominance components

According to the tradition dating back to ancient times, Indian grammars establish four types of compound words, depending on the dominance of the components: the main thing in some composites is the meaning of the first element, the meaning of the second element in others, the main thing is the meaning controlled by an extraneous word in some, and the meaning of both components in the rest.

Indian grammarians have appropriately given them the following names: авьяйибхава, татпурша, бахуврихи, двандва.

T.A. Chavchavadze, the author of the monograph “Nominal Composition in the New Persian Language,” notes: “The types of compound words highlighted by the Indians can be stated in different languages and even languages of completely different origins, different systems. The Indian classification system of composites is universal due to its optimality” (Chavchavadze, 1981).

Thus, the characterization of compound words on this basis has a positive meaning from the point of view of the dominant role of the components of compound words. However, it is clearly insufficient to clarify the essential nature of compound words and the relationship of their components.

2.2. Classification of compound words by the presence or absence of a connecting element between components

This tradition is very strong in Russian linguistics.

In Russian, with the help of the vowels “o” and “e”, components can be connected both in subordinate (снегопад, нефтеперерабатывающий) and in compositional (лесостепь, научно-технический) communication. Other elements can also act as a connecting morpheme (interfix):

a) after the bases of quantitative numerals, a connecting morpheme appears, homonymous with the ending of the genitive case of the numeral (пятилетка, двухтомник, трехрублевый, сорокалетний);

b) after the components дв(а) and пол - in a number of formations the interfix -у- (двуногий, полугодие) is distinguished;

c) before the -метр component there is -и- (дозиметр, сантиметр);

d) after the stems of verbs, in some additions, a connecting morpheme is distinguished, homonymous with the ending of the imperative mood (перекати-поле, вертихвостка).

This classification is convenient for establishing the formal types of compound words, but according to this principle, it is impossible to reveal either the relationship or the lexical and grammatical nature of the components, and it is impossible to establish all varieties of compound words.

2.3. Classification of compound words by the lexical and grammatical nature of their components

It helps to establish the structural features of compound words and to find out to which part of speech this or that component belongs, thereby to reveal the lexical and grammatical nature of compound words. It is this principle that, as a rule, is observed in the basis of the description of compound words in many scientific grammars. It can also be used to classify compound words in modern Nakh languages. According to the peculiarities of form, meaning and functions, Nakh compound words can be divided into three main morphological categories:

- 1) compound names (nouns, adjectives, pronouns, numbers);
- 2) compound verbs;
- 3) compound unchangeable parts of speech (including incomplete words).

Our research focuses on compound names (nouns and adjectives) and compound verbs; composites related to other parts of speech are considered in connection with other issues.

It should be borne in mind that there is no degree of cohesion of the components in this classification, i.e. the qualitative side of the most difficult word. We also believe that this principle is more suitable not for specific, but for subspecies classification.

2.4. Classification of compound words by the syntactic relationship of components

Researchers distinguish between two main types of compound words for this characteristic:

- 1) compositional - a combination of equal components;
- 2) subordinate - a combination of components, among which the main and dependent are distinguished (such a relation of components can be in the nature of a relationship between a definition and a defined or addition and a manager).

Determining the nature of the relationship between components, of course, helps to establish the essence of compound words, the degree of cohesion of components. Therefore, this principle is quite acceptable when studying word composition. However, when studying compound words, one should not directly transfer the syntactic relationships of words that exist in free phrases to the relationships of components, as is observed in some works.

2.5. Classifications based on semantic characteristics

In the research literature, there are also a number of classifications based on semantic characteristics. So, for example, T.B. Kuzminskaya finds it possible and convenient to divide compound words in modern Czech literary language into two groups based on the different ratio of the general meaning of the composite to the set of component meanings: non-idiomatic and idiomatic (Kuzminskaya, 1955). T.B. Kuzminskaya includes in the first group composites that are semantically equivalent to the corresponding phrases, and in the second - composites, the meanings of which, although usually based to a greater or lesser extent on the general meaning of the components, do not coincide with it and therefore cannot be derived from it.

In the study by M.D. Stepanova, based on the material of the German language, these linguistic units were respectively named “separately directed” and “whole-directed” compound words (Stepanova, 1953). Based on the degree of obscuration of their semantic motivation, she subdivides “whole-directed” compound words into three subtypes:

a) compound words, the semantic motivation of which can be considered completely obscured. The author believes that such words can be considered borderline in relation to the root, due to the complete semantic break of their components with the supporting words;

b) compound words, the semantic motivation of which is a conditional figurative characteristic of the designated object or phenomenon, in other words, a rethinking of one of the components or compounds, which, in general, are more or less clearly felt;

c) compound words, the components of which can be easily correlated, from a semantic point of view, with reference words.

According to the author, such a classification is, to a large extent, conditional, because it “does not cover all possible types of rethinking of components and compounds, in general, within this large and extremely productive class of words in the modern German language” (Stepanova, 1953).

Perhaps there is no language in which, to one degree or another, word composition is not used to express new concepts and grammatical categories. Some types predominate in some languages, and others in others; in some the word composition is more developed, in others less. E. Sapir correctly remarked about compound words and their types: “The variety of types of addition is amazing. These types vary according to the function, the nature of the elements and their order” (Sapir, 1934).

There is an opinion among Caucasian scholars that compound words can be classified according to their structure, composition, semantics, origin of the members, communication methods, laws of education. However, the above features do not cover all types of compound words. For example, when classifying by structure, as well as by the ways of linking components or by syntactic criterion, such types of compound words as repetitions and compound words remain outside the classification.

Some features, such as, for example, semantics, composition and origin of components, can serve as the basis for intraspecific classification, in particular for the classification of compound words themselves. The basis for the classification of compound words is undoubtedly their difference in part of speech: we distinguish between compound nouns, adjectives, verbs, adverbs, pronouns, numerals, onomatopoeic words, etc. The study of each of the types distinguished by this feature is of certain interest. Using the material of the Nakh languages and the Caucasian languages in general, for example, it is interesting to trace how onomatopoeia are formed in general and in particular paired onomatopoeia. I.A. Mazanaev notes that sound-visual words are “widespread in the Caucasian languages” (Mazanaev, 1988), words formed by adding sound-visual words are rather wide.

The classifications of compound words can, as you know, come from various features; it is not easy to combine them in one work. One, representing the most important, giving the most complete picture of the object of research, should apparently be chosen for completeness of the analysis of the material. In this regard, it seems to us the most significant classification of compound words by the method of their formation. On this basis, five types of compound words can be distinguished in modern Nakh languages:

1) repetitions formed by repeating the same word or part of a word: Chechen **клайн-клайн** Ingush **клей-клей**, “white-white”, **лаържа-лаържа** “black-black”, **хаза-хаза** “the most beautiful”, **дика-дика** “the best”; Ingush **хоза-хазарг** “the most beautiful”, **дика-дикарг** “the best”, etc. Similar paired formations - adjectives are used in both Vainakh languages and in another sense – “possessing this feature to the greatest extent than others, also having this quality” for example, **клайн-клай** “the whitest of the other whites”. If one draws a conclusion, relying on the well-known dictionary of N. and D. Kadagidze, such paired formations, as well as paired composites in general in the Batsbi language, have not become widespread, while borrowings from the Georgian language are often used when

naming the corresponding objects and concepts.

Obviously, in other cases related to the formation of words by means of constitution, there are clear similarities between Chechen and Ingush, on the one hand, and the Batsbi language, on the other, there are significant differences between these two conventional groups of Nakh languages.

The fact that the word-formation system of the Batsbi language is related to the Chechen and Ingush languages is, of course, the place that the method of foundation takes in it: this method is used and, according to all indications, was actively used in the past to replenish the vocabulary of the language in the Batsbi language. In this sense, one cannot agree with the point of view of G.A. Klimov, who asserted, referring to the Nakh languages, that “word composition plays a very modest role in nominal and especially in verbal word formation, which sharply opposes these languages to the Abkhaz-Adyg languages” (Klimov, 1986). This clearly contradicts the position postulated in Nakh linguistics that in the word formation of the Nakh languages the leading role belongs to compositing. But it's not only that. A similar opinion could also be formed due to the fact that, on the one hand, the word formation of the Nakh languages has been studied insufficiently, on the other hand, a line has not been drawn between phrases and compound words, therefore many facts of the formation of compound words in the Nakh languages could remain outside the field of view of researchers. In fact, as our material shows, there is little reason to talk about the “modest role” of word composition in the Batsbi and Vainakh languages, while the Batsbi language, apparently, even “leads” in the formation of compound words of individual lexico-derivational groups.

The grounds for such a conclusion are provided, for example, by the facts of the formation of compound words in the Batsbi language to designate such concepts that the Chechen and Ingush languages can only express by phrases or descriptive constructions: пстІунли^и “married” (cf. Chechen зуда ялийна), пстІуйно “married woman” (Chechen доъзал, Ingush диезал “family” here is not equivalent to Batsbi пстІубадри., since it means a family with her husband), нандад “parents; mother and father” (Chechen дай, наний), лам-бар “ mountains and valleys; the whole world ”(cf. Chechen дерриг дуъне; дуъне). On the other hand, in the Batsbi language, composite formations are noted to denote concepts expressed in the Vainakh languages in one word: dokImossin “evil, with an evil

heart” (Chechen *вуо^н*, Ingush *вуо^н*; *цимхара*), *докІдаккхо* “arrogant, proud” (cf. Chechen and Ingush *кура, сонга*), etc. (Suleibanova, 2008).

On the other hand, as shown in the work on a fairly extensive material, word-formation types and structural models of individual composites, characteristic of the other two Nakh languages in the Batsbi language, are practically absent or represented by a smaller number of formations. Last but not least, this can be attributed to the significant influence of the Georgian language, from which the Batsbi language borrowed, as you know, about half of all words included in its vocabulary, including many semantic correspondences to the composite formations of the Chechen and Ingush languages.

2) paired words formed by pairing (combining) two different (but related in meaning) words: Chechen *даар-малар* “food, treat”, literally “*даар-малар*”, *могуш-парглат* “health, well-being”, literally “*healthy-free*”, Ingush *даар-малар, могуш-парглат*; Chechen *да-нана* “parents” (literally “*father-mother*”), Ingush as well; *шича-маьхча*, ing. *шуча-мохча* (cousin-second cousin (brother; sister), *кад-Іайг*, Ingush *кад-Іаг* “kitchen utensils” (literally “*bowl-spoon*”, *муотт-гІайба* “bed” (literally “*bed-pillow*”) and others. In Batsbi, this type of paired formations also did not become widespread, although there are separate formations: *нан-дад* “parents”, literally “*father-mother*” (but in a different order - *дад-нан* – “grandmother”); usually such formations in the Batsbi language are a combination of two components, the first of which is a truncated form of the genitive case of the name, which coincides with the main (nominative), therefore, they are not pure additions and correspond to Chechen and Ingush composites such as *денваша, денана*: cf. Batsbi *дадвашо* “uncle (father’s brother)”, *дадйешо* “aunt (father’s sister)”; one cannot but pay attention to the fact that in the Batsbi language some formations of this type fixed by the dictionary are noted, which are absent in Chechen and Ingush: *йохь-вохь* “girl and boy; daughter and son”, *мар-пстІу* “spouses: husband and wife” (this concept in Chechen is conveyed by the compositional phrase *зудий, майрий*), for example (Kadagidze, 1984), lexicographed as compoundwords are not distinguished in Chechen and Ingush, although the combination itself is used when it comes, say, about the presence of someone, respectively two children - girls and a boy (*йоІ, кІант* “girl and boy”, *йоІ, кІант* “boy and girl”);

3) determinative compoundwords formed by combining two or more stems (they differ in a wide variety of particular models): *латтаохкурт* “digger”, *дойлелориг* “horse

breeder”, чилхъесан “silk”; Batsbi дабцІмакар “to be able to recognize; the possibility of recognition”, докІпшелин “cold (man), from докІ “heart” and пшелин “cold”; the widespread prevalence of determinative compoundwords in the Batsbi language is evidenced, for example, by the fact that with only the first component дакІ-/дайкІ-, used, as the authors of the corresponding dictionary note, as “a constituent part of compoundwords or phrases” (Kadagidze, 1984), the corresponding dictionary records more than 20 compound words.

4) compound-suffix words formed by addition and simultaneous affixation;

5) compound abbreviated words formed by reducing two or more bases: райисполком “regional executive committee”, педсовет “pedagogical council”, etc .; being borrowed from the Russian language, such compound words in the Chechen and Ingush languages do not have their own word-formation motivation, based on the corresponding components; the same applies to some correspondences of such words in the Batsbi language, which differ from the Chechen and Ingush words in a partially altered phonetic structure.

The third and fourth types of compound words not only received development in the Batsbi language, they are represented here even more widely than in Chechen and Ingush, taking into account the peculiarities of their formation and the fact that in the corresponding composites of the Batsbi language, as one of the components, stems borrowed from Georgian language words.

The division of compound words into certain types and the identification of specific properties and features that distinguish them from each other is of great theoretical and practical importance. This makes it possible to specifically judge each of their types, to comprehensively study the specific properties and characteristics that distinguish one or another species from other compound formations.

Conclusion

Compound words are one of the most important objects of study in word formation. Particularly important is increased attention to them when it comes to languages in which affixation is limited and the expansion of the vocabulary occurs mainly by merging two or more words into one.

It should be expected that the formation of words in this way obeys some general laws,

occurs according to models and "principles of form formation" similar for different languages, and along with this, each language shows its own specific features in the implementation of these general principles and models. The study of word formation in the Nakh and foreign-structural languages (of which the Russian language is most actively compared with the Chechen and Nakh languages in general), allows us to conclude that they use common methods of forming new lexical units (words): a) word production, 6) compounding.

In each of these methods, one can find signs common to all these languages, including the Russian language, which form that stable set of interrelated and interdependent characteristics, which it seems possible to call the "type of word formation".

The most important and easily identifiable difference when comparing the word-formation systems of the Chechen and Russian, for example, languages, is that of the two named main ways of forming words (word production and fundamental formation), the second clearly prevails in the Chechen language. The reliance of the Chechen word formation on the basis is not a new phenomenon and not a specificity of the Chechen language. It is known that in many languages, word-formation affixes historically go back to the components of additions. Consequently, compounding precedes affixation. This phenomenon does not speak in favor of the position that the archaic nature of the language is the reason for the spread of word composition, and, conversely, if we proceed from this position, then the archaism of the language should serve as the reason for the spread of affixation as a secondary stage in the development of language, a stage of higher abstraction and technization of linguistic elements ... With regard to the Nakh languages, it can be argued that these languages have, since ancient times, a method of constitution, rooted in the period of the amorphous structure of these languages. This is evidenced by the compound toponyms of the mountainous strip of Chechnya and Ingushetia, in which there are no traces of material indicators of grammatical forms (Пхъамта, пхъакочи, etc.). New nouns in the past most often arose by adding the stems of two or more nouns (белш-корта – "the head of the humerus", цегг-ков – "nick", etc.).

On the other hand, the activation of composite word formation in many languages, including the Nakh languages we are studying, as well as in the Slavic number of Romano-Germanic languages, a significant expansion of the proportion of vocabulary formed in this way in them, suggests that, apparently, to raise the question in the plane of precedence of

compound words to lexical units formed by the suffix method is not entirely correct. It must be assumed that each language or group of languages at the time of their formation had their own peculiarities of the formation and development of signs of the grammatical structure, in particular, the choice of the leading methods and means of forming words, but, nevertheless, the addition or fusion of two or more words in any the case took a certain place in them.

Structurally and genetically, composites in the Nakh languages go back to syntactic combinations of words that are agglutinatively fused into one word as a result of prolonged and frequent use.

We had to choose from a variety of known a certain classification principle, which is designed to help reveal the material nature, semantic essence and degree of cohesion of components for further in-depth analysis of composite formations in the Chechen language. The most acceptable basic classification of such units is the classification of compound words by the way they are formed. On this basis, as noted in the chapter, the following are distinguished: 1) repetitions formed by repeating the same word or part of a word (клайн-клайн “white-white”, лаържа-лаържа “black-black”, хаза-хаза “the most beautiful”, дика-дика “the best”); 2) paired words formed by pairing (combining) two different (but related in meaning) words (даар-малар “food, treat”, literally “food-drink”, могуш-парглат “health, well-being”); 3) determinative compound words formed by combining two or more stems (they are distinguished by a wide variety of particular models); 4) compound suffix words formed by addition and simultaneous affixation; 5) compound abbreviated words formed by reducing two or more bases: райисполком “regional executive committee”, педсовет “pedagogical council”, etc .; being borrowed from the Russian language, such compound words in the Chechen and Ingush languages do not have their own word-formation motivation, based on the corresponding components; the same can be said about the compound-abbreviated words in the Batsbi language, into which they entered not directly from the Russian language, but through the Georgian language.

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Metaphors and linguistic image in the analysis of phraseological units of the archaic Olonkho narrative

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ABSTRACT

The article analyzes metaphors in the linguistic image of the world using the description of the sky (айыы) and underground (абаасы), mythical creatures represented in phraseological units with numbers in T.V. Zakharov-Chääbij's Epic (2018) "Bulkun Wing the Hero". Compositional analysis, context analysis and the method of phraseological identification were used. The general method of investigation is induction-deduction, with theoretical conclusions drawn from the analysis of the material. The study of the linguistic image of the world in the Yakut epic Olonkho provides insight into the hidden creative process of an Olonkho narrator that recreates the structured and almost canonized oral tradition embedded in his repertoire. Phraseological units (PU) with a numerical component reflect a specific worldview through two opposing forces. PU animates the epic image of the world, representing a unique and rich language, and preserving the distant world of ancestors for us and future generations

KEY WORDS: epic poetry; linguistic picture of the world; archaic genre; phraseological unit; hyperbolization; folk metrology.

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Metáforas e imagen lingüística en el análisis de unidades fraseológicas de la narrativa arcaica de Olonkho

RESUMEN

El artículo analiza metáforas en la imagen lingüística del mundo utilizando la descripción del cielo (айыы) y subterránea (абаасы), criaturas míticas representadas en unidades fraseológicas con números en la Epopeya de T.V. Zakharov-Chääbij (2018) "Ala Bulkun el Héroe". Se utilizó el análisis componencial, el análisis de contexto y el método de identificación fraseológica. El método general de investigación es la inducción-deducción, con conclusiones teóricas que se extraen del análisis del material. El estudio de la imagen lingüística del mundo en la epopeya yakuto Olonkho proporciona una visión del proceso creativo oculto de un narrador Olonkho que recrea la tradición oral estructurada y casi canonizada incrustada en su repertorio. Las unidades fraseológicas (UF) con un componente numérico reflejan una cosmovisión específica a través de dos fuerzas opuestas. UF anima la imagen épica del mundo, representando un lenguaje único y rico, y preservando el lejano mundo de los antepasados para nosotros y las generaciones futuras.

PALABRAS CLAVE: poesía épica; imagen lingüística del mundo; género arcaico; unidad fraseológica; hiperbolización; metrología popular.

Introduction

In modern Russian linguistics the concept of the linguistic picture of the world (further, LPW) has become the subject of regional studies. "LPW is one of the most underlying layers in the wider sense of word" (Popova, Sternin 2007). It becomes even more profound and fundamental with respect to epic tradition. The epic picture of the world is based on the conceptual and national pictures that represent its basic, essential part. "If the world is man and environment in their interaction, the picture of the world is "the result of processing of information about environment and man" (Zakharov-Chääbij, 2018).

"The general picture of the world is "appropriated" and perceived by man through the linguistic picture of the world: "the whole language structure may be correlated to the world structure ..., the picture of the world as the totality of man's knowledge of the world is replaced by the picture of the world existing in language, i.e. "the linguistic picture of the world" (Kolshansky, 1990).

These theoretical premises emphasize that the national picture of the world is closely related to mentality of an ethnicity that reflects its conceptual views as the conceptual

(cultural) and linguistic picture of the world. An important role in the formation of the picture of the world is played by phraseology, which is a form of ethnic linguistic heritage. Z.B. Khozhieva believes that “ethnic-cultural specific may develop in three different levels of the plane of content in PU: 1) in a total phraseological meaning; 2) in meanings of separate PU components; 3) in the direct meaning of phraseme prototypes (Khozhieva, 2014).

The language of Olonkho has been extensively studied; however, this problem has not received adequate attention. Phraseological units of a specific Olonkho narrative have not been the subject of investigation yet.

Modern epic studies include investigation of rhythmic syntactic parallelisms in the Yakut Olonkho and Altai epic Prokopieva S.M., Borisov Yu.P. (2018), symbols in epic texts Pervin Ergun (2018), the mythological image Pavlova O.K. (2018), pagan names Danka, Bálasz (2018), the role of researchers in studying Olonkho Illarionov V.V., Illarionova T.V., Dmitrieva O.N. (2019), perception of Turkic epics in the West Boeschotten H. (2018), the role of Olonkho in the changing world Harris, Robin (2017), etc.

The purpose of the study is to reveal metaphoric content of the linguistic picture of the word through analysis of figurative PU from the archaic Olonkho narrative “Ala Bulkun the Hero” by T.V. Zakharov-Chääbij (2018). For this purpose, PU with a numeral component describing appearance of heaven (*айыы*) and underground (*аббаасы*) mythical creatures.

1. Methods

Phraseological units were selected from the Olonkho text for further semasiological and onomasiological analysis. The general research method being induction-deduction, theoretical conclusions are based on the analysis of the material. We used the componential analysis, the context analysis, and the method of phraseological identification.

2. Results and Discussion

Metaphor is a figure of speech based on figurative meaning of a word arisen from external or internal similarity. “Metaphor is a trope, a hidden figurative comparison, assimilation of one phenomenon to another as well as a figurative comparison in general in various arts. In linguistics, it is a figurative use of a word (Moskvin, 2018).

At present, some aspects of the epic and linguistic picture of the world as well as symbolic and semantic set of the phraseological units used in Olonkho poetics are studied by Yakut researchers (Nelunov, 1980).

At the phraseological level all analyzed PU with a numeral component of the modern Yakut language have figurative meaning. Linguistic units of indirect nomination are formed as a result of semantic transformation of the original prototypic free word combination. The relevant PU characteristics are semantic reinterpretation of components, separate formation, fixed structure, and reproducibility. Phraseological units of the Yakut language are referred to here as “stable word complexes of various structural types with unique component cohesion, meaning of which results from full or partial reinterpretation of components (Stepanova and Černyševa, 2003).

The interest in figurative language naturally reflects advances in research of vocabulary. The phenomenon of linguistic figurativeness still needs to be looked at from the cognitive perspective as it is related to world view and world perception originating from ethnic-based knowledge of the world surrounding language speakers. Universal, global knowledge as a result of collective consciousness is recorded in language and is explicated in its lexical and phraseological composition.

All categories of stable word complexes are represented according to structural-semantic classification in PE with the numeral component of the modern Yakut language:

1. Phraseological units are word combinations with non-motivated or motivated semantics, e.g.: *биир муостанан хаамтар* (lit. make walk on one floor board) – not let someone act or do as one wishes;

сэттэ сирэй (lit. seven faces) – toady, flatterer;

икки илиитинэн түстэ (lit. fall with both/two arms) – fall on something, snatch.

2. Phraseological units are stable word complexes with structure of a sentence, e.g.: *үс өргөстөөх, аҕыс кырыылаах* (lit. with three points, with eight edges) – a strong and brave young man;

иккитэ эрбэҕин эргитиэ, үстэ сөмүйэтин төгүрүтүө (lit. will turn someone twice around the thumb, thrice around the forefinger) – cheat, rogue.

3. Phraseological units with just one component having figurative meaning, e.g.: *үс дойдуттан* (lit. from three countries) – from all over the world.

Phraseology reflects the ethnic originality of a language. PU are units of indirect nomination, with their relative feature being dominance of the connotative component in semantic structure of PU (Prokopieva, 2001). Although the process of phraseologization is a universal linguistic phenomenon, it has explicative specific features. The reason is that PU, being structurally separately formed and semantically reinterpreted formations, are units of secondary nomination in contrast to the linguistic units of direct nomination such as phoneme, morpheme, and word. As stable word complexes, PU have both a nominative and axiological function as well as the function of keeping, recording, and passing on the body of knowledge of a language community about the world.

“The use of numerals in Olonkho is very specific. One of the interesting instances is description of characters’ appearance with prevailing “hyperbolization and grotesque exaggeration” (Putilov, 1979) and the use of numerical characterization along with folk metrology terms. On this basis, phrases describing characters’ epic size are presented as a separate subject group. Yakut anthropometric measures *былас, харыс, тутум, илии*; yakutized [made Yakut in form] Russian measures *саһаан, арсыын*, etc. in alliteration-
assonance relationship with numerals describe characters of epic giants” (Illarionov et al., 2019).

Linear measures are differentiated in colloquial speech, literary language, and epic. The first researcher who emphasized that was the Olonkho poet P.A. Oyunsky (2013). He revealed linear measures in epic *былас, тутум* etc., explaining their folklore use. “Length is measured in *былас* which is the distance between tips of arms stretched sideways. Thickness is measured by girth also called *былас*. *Былас* is equal to two *былас аһаара*, a measure from the middle of the chest to finger tips. *Былас аһаара* is divided into cubits *тоһолохустата*, which is divided into palms *тутум*, which consists of fingers *илии* or *тарбах* (Popova, 1980). Oyunsky pointed out that each linear measure contains subordinate ones which testifies to people’s inquisitiveness, powers of observation, and knowledge of human anatomy. N.S. Popova emphasizes that despite “relative nature of folk linear measures, they had been used throughout history” which is shown in each language. The most common measure in Yakut epic *былас* is equal to about 1.5 m (Popova, 1980).

V.V. Vinokurov summarizes the most common folk measures in Olonkho, providing their detailed explanation, such as: *тыһы кыл* ‘thin hair’, *илии* ‘arm’, *тарбах* ‘finger’,

тутум ‘fist’, *сүөм* ‘little span’, *харыс* ‘great span’, *уллунах* ‘foot’, *суор холото* ‘crow’s leg’, *кирис* ‘bow string’, *хардыы* ‘step’, *түөс анара* ‘half of chest’, *уунар былас* ‘fathom’, *былас* ‘distance between tips of arms stretched sideways’, *тутум* ‘for finger (in a fist) high’ (Vinokurov, 2017).

The analyzed passage describing appearance of the hero Ala Bulkun contains PU with numerals 4, 10, 3, and 5 (Izbekova, 2014).

Olonkho narrators have a unique “panoramic” view and perception of space and time. To show the scale and integrity of the world and universe they appeal to various combinations of numerals. Numerals have different functions in Olonkho poetics: compositional, stylistic, and descriptive. As a result, numerals in an epic text lose their original function, turning into a symbol specific for each ethnicity.

In Olonkho, the numerals from 1 to 10 prevail (Illarionov et al., 2019). The most common of them are *үс* ‘three’, *сэттэ* ‘seven’, *абыс* ‘eight’, and *тобус* ‘nine’. These numerals are considered sacred in Yakut traditional culture and epic. For example, the numeral three *үс* is used as the beginning of time reference in the introducing Olonkho formula: *Үс саха үөскүү илигинэ, түөрт саха төрүү илигинэ* ‘Before three Sakha were conceived, before four Sakha were born’, i.e. before the Yakut originated. There are three worlds the vertical epic model of Universe: the Upper World, the Middle World, and the Underworld. A person has three souls (*салгын-кут* ‘air soul’, *ийэ-кут* ‘mother soul’, *буор-кут* ‘earth soul’) that each have their own destiny after death. Various acts of rituals and traditional etiquette manners are performed three times, e.g. make three rounds, make three bows, sprinkle kumis three times, speak sacred key words three times, etc.

The numeral eight *абыс* is often used as an epithet in description of major objects in the epic world: *Абыс иилээх-саҕалаах Аан Ийэ дойду* ‘Eight border-rim Mother Earth’, *Абыс хаттыгастаах өндөл маҕан халлаан* ‘Eight layer high bright sky’, *Абыс салаалаах Аал Луук Мас* ‘eight branch sacred tree’, etc.

The numeral nine *тобус*, being a sacred number, is used to denote objects in descriptions of rituals and ceremonies: *Тобус томторҕолоох Тойон Сэргэ* ‘The head serge [tethering post] with nine rings of carving’, *Тобус халлаан дуомньута* ‘female shaman of nine heavens’, *Тобус субан туруйа курдук уолаттар* ‘nine free cranes like young men’, etc.

Let us analyze the example with description of a hero's ride using PU with the numerals five and ten in epic measures *биэс күннүк сир/уон күннүк сир*:

Бигээн-дайбаан биэс күннүк сир буолла, Уунан-дайбаан уон күннүк сир буолла.	'Having nonstop ridden <i>five days land</i> there was', 'Having without rest ridden <i>ten days land</i> there was'. (Ala Bulkun the Hero, column 1210)
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N.S. Popova pointed out the origins of the measures *көс* and *күннүк сир* from traveling on foot or on horses (*самыы көс* 'walking' *көс*, *ам көс* 'horse' *көс*). It is also true for *күннүк сир* used for long distance travel: *самыы күннүк сир* 'days of walking [far] land' and *ам күннүк сир* 'days of riding [far] land'. She believes they resulted from making distance equal to time necessary to reach it based on notions of time (Popova, 1980). V.V. Vinokurov agrees with that, adding that in the epic they are used in this very ancient meaning. G.U. Ergis in his commentary to K.G. Orosin's Olonkho "Nyurgun Bootur the Swift" differentiates *самыы көс* 'walking' *көс* equal to about 7-8 km and *ам көс* 'horse' *көс* equal to about 10 km. (Ergis, 1947). Both Popova and Vinokurov provide etymology of the word *көс*. Popova suggests it originated from *көһөр* 'move', while V.V. Vinokurov believes that it originated from Turkic *köç* meaning one period of travel of a nomad family, kin, or tribe between stops for a rest or overnight (Vinokurov, 2017). Thus, semantics of Yakut measures of travel goes back to nomad lifestyle of our ancestors in the south.

Vinokurov characterizes *күннүк сир* as a measure equal to one day travel of about 30 km. He believes that the difference between walking and riding is not relevant in Olonkho since it is often used in combination *аттаах күннүк* 'on a horse' meaning hero's horse rides.

The PU *бигээн-дайбаан биэс күннүк сир буолла* consists of three components: 1) *бигээн-дайбаан* – combination of verbal forms, 2) *биэс күннүк сир* – metaphoric fixed expression, 2) *буолла* – modal postposition. This PU as well as previous ones is presented by the narrator in an evaluating manner by the word combination *бигээн-дайбаан* which he often uses in descriptions. It is the key PU component meaning a careful and fast ride over unknown land. The second component *биэс күннүк сир* shows the length of hero's travel represented by an Olonkho stock phrase with the numeral five. As we mentioned above,

semantics of these folk measures is based on traditional views applied in practical life. Based on practical experience, this PU is easily interpreted by the listener as a way 5 days long (equal to 150 km). At the same time, this measure *биэс күннүк сир* agrees with people's views on a distance made by an epic hero.

The second PU *уунан-дайбаан уон күннүк сир буолла* eliminates the first distance of 5 days (*биэс күннүк сир*) by referring to it as a 10 day travel (*уон күннүк сир*), i.e. 300 km. However, it doesn't describe a real distance; PU is used to emphasize the length and duration of the ride. Although the structure of this PU is identical to that of the first PU, its semantics differs. The first key component *бигээн-дайбаан* implies difficulty and dangers of the ride in the first place. It can be translated as 'feeling one's way/jumping over'. It cannot be used to describe a rollicking, breaking through ride, but a careful and dangerous one. On the other hand, the word combination *уунан-дайбаан* is equivalent to *ууннары дайбаан/ууннары сыыйылыннаран* 'stretch/flow' used in other Olonkho texts to describe such a fast ride that it creates an integral image of a "flying" horse with a rider who travel great distances at one go. When riding fast, a horse "stretches" in one string and its "flowing" mane and tail make up an image of a "flying" hero's horse. Thus, the first PU component *уунан-дайбаан* provides the metaphoric image with expressiveness and dynamics, creating a visual image of high speed. The second component *уон күннүк сир* characterizes hero's travel as long, far, and difficult which only a hero is capable of. The third component, the modal postposition *буолла* 'happened' summarizes and confirms the situation described by PU.

Thereby, these two examples with complex structured numerals and figurative components demonstrate the unique style, expressiveness, and figurativeness of language in this Olonkho. The narrator provides an image of a "flying" rider on his long and dangerous way in concise form.

Unfortunately, Yakut PU are usually lost when translated and only the long distance is adequately conveyed in Russian through numerals which have become clichés for translating epics, including the Yakut one. Translation doesn't convey the epic nature of the narrative and the visual image of a "flying" rider which are much more pronounced in Yakut.

Good qualities of a hero are described in Olonkho through hyperbolization of appearance, his existence in nature and material world, emotions during battles with enemies (hero's wrath), his actions (long epic travel, battles in all three worlds). In this text,

the narrator often uses numerals with complex structure along with folk metrology, epic categories of time and space. He utilizes not only well-established traditional figures of speech, but archaisms, obsolete vocabulary typical for folklore texts which certainly expands the linguistic picture of the world in the Olonkho.

In the given Olonkho, antagonist underground world creatures *абаасы* (opposition of *own/alien*) are described within the tradition, yet, the linguistic picture of the world here shows its specific features too. In contrast to the protagonist, the description of appearance of an underground creature is more detailed, contrasting, and three-dimensional. The hyperbolized image is drawn using simple numerals with extreme negative connotation.

Let us analyze the first example describing an unexpected appearance of an underground creature *абаасы* in the Middle World:

Орумна уон быластаах хагданг от
саҕа

Күтүр улахан хара түһэн үллэ сытар
үһү.

As big as *ten билас* [the distance between tips of arms stretched sideways] big faded haystacks

Heaving, a big black [something] fallen [having come here from somewhere] is lying, they say.

(Ala Bulkun the Hero, column 760)

We deal with a three-dimensional description of an underground creature that suddenly appeared out from nowhere. It is unknown where it came from and it is unknown what it actually is. The narrator, to attract listeners' attention, describes it as something mysterious and frightening at the same time. He draws comparisons conventional for cattle breeders what his audience are. The size of the faded last year's haystack is described using the numeral *уон билас* 'ten bilas'. The measure *билас* equal to about 1.5 m is considered to be the most common in Yakut epic (Popova, 1980). *Bilas* is the distance between tips of arms stretched sideways. If one bilas is about 1.5 m, it makes the circumference of the haystack of 10 *bilas* equal to 15 m.

Having a closer look, we are presented with its repulsive, hideous appearance, facial features, and clothes. The description utilizes simple and complex numerals. Here is how the narrator describes the creature *абаасы* that looked like a haystack at first sight:

<i>Соботох</i> сордоох сототун туора тарпыт, <i>Биур</i> илиилээх киһи кэдирги тайаммыт, <i>Икки</i> сирэйдээх киһи иттэнэри түспүт.	Its <i>single</i> miserable crooked shin [it] stuck out, [like] <i>one</i> -armed human [it] leaned on it, [like] <i>Two</i> -faced human [it] fell prone. (Ala Bulkun the Hero, column 820)
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The narrator conveys the image of a non-human creature that act unlike a human with two arms and two legs. The beast trying to copy human actions looks caricature-like, hideous, and ridiculous. In addition to that, the creature has two faces unlike any human. The narrative emphasizes its features using simple numerals *соботох/биур/икки*. *Соботох* ‘single, the only’ is equivalent to one, *биур* is the numeral ‘one’ as well as *икки* ‘two’.

Later, the narrator describes the face of the underground creature:

<i>Тобус</i> илии кирдээх Тордохтоох ньуура бу ньололло сытар. <i>Абыс</i> илии кирдээх Ардахтаах сирэйэ Ардьалла сытар.	<i>Nine</i> fingers [thick] dirty soot-covered muzzle here [it] lies, pulling its long thin face. <i>Eight</i> fingers [thick] dirty sour [mould-covered] face [it] lies, grinning with large rake teeth. (Ala Bulkun the Hero, column 830)
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The face description emphasizes slovenliness, untidiness of the creature through the amount of dirt covering its face: *тобус* ‘nine’ fingers thick, *абыс* ‘eight’ fingers thick. The description of the foot reveals its major feature:

Ол алын кырытыгар <i>Сэттэ мастаах</i> сиитик ончону Иттэнэри кэбэн кэбиспит курдук, Тимир лэмпээрийэ Уллунахтаах эбит.	On the end of that shin As big as a <i>seven</i> -board-boat As if fallen prone An iron ugly Foot it has, they say. (Ala Bulkun the Hero, column 780)
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The gigantic foot of the creature, as big as a flat-bottomed boat made of seven boards, is iron. It means that the creature is made of iron; it cannot be defeated as it is immortal. The evil always returns and it must be constantly fought for sake of the good.

When describing the underground, the narrator makes use of formulas based on the opposition of own and alien to make listeners feel repulsion towards it. The narrator provides a very detailed description of creature's hair, teeth, clothes, demonstrating his ability to create a metaphoric comic image.

The narrator uses complex structure numerals to describe the heaven creature, the hero, and generally simple numerals to describe the underground creature.

Conclusions

The analysis revealed specific characteristics of the linguistic picture of the world represented in figurative PU with numerals that are used to describe appearance of the heaven hero and the underground creature from the Olonkho "Ala Bulkun the Hero" by T.V. Zakharov-Chääbij. The epic picture of the world comes to life through PU with a numeral component that contribute to uniqueness and richness of the epic.

Numerals are used to contrast the protagonist and the antagonist. The hero is described using hyperbolization of his features – appearance, emotions, and actions. Complex structures with numerals are composed of folk measures embedded into epic categories of time and space. The underground creature is described through comic and repulsive details emphasizing its inhuman nature. The numerals used make these images even more vivid and effective.

Investigation of figurative force of PU in related and non-related languages is of great interest as it demonstrates inexhaustible richness of native and foreign languages. Studying the figurative layer of a language may be beneficial for further reconstruction of general and specific characteristics, ethnogenetic conclusions on mental worldview of a person. Dictionaries and Olonkho play a great role in this process, serving as an inexhaustible source for research not only in Yakut philology, but in cognitive-typological studies of various families of languages.

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Creativity and uncertainty tolerance as a resource for the psychological well-being of an individual

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ABSTRACT

The objective of the work was to establish the features of creativity and uncertainty tolerance in people with different levels of psychological well-being. An empirical study of the level of manifestation of psychological well-being of the studied group and the relationship between the components of creativity and tolerance for uncertainty was conducted. The study was conducted using a set of psychological techniques aimed at determining the level of psychological well-being, uncertainty tolerance, creativity and their components. Qualitative methods of data processing are used. The study found that people with high levels of psychological well-being have close relationships between the indicators of the components of psychological well-being, creativity and uncertainty tolerance. Instead, these relationships are significantly fewer among people with low levels of psychological well-being.

KEYWORDS: creativity; tolerance; individual psychology; mental health.

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Creatividad y tolerancia a la incertidumbre como recurso para el bienestar psicológico de un individuo

RESUMEN

El objetivo del trabajo fue establecer las características de la creatividad y la tolerancia a la incertidumbre en personas con diferentes niveles de bienestar psicológico. Se realizó un estudio empírico del nivel de manifestación del bienestar psicológico del grupo estudiado y la relación entre los componentes de la creatividad y la tolerancia a la incertidumbre. El estudio se llevó a cabo utilizando un conjunto de técnicas psicológicas destinadas a determinar el nivel de bienestar psicológico, la tolerancia a la incertidumbre, la creatividad y sus componentes. Se utilizan métodos cualitativos de procesamiento de datos. El estudio encontró que las personas con altos niveles de bienestar psicológico tienen relaciones cercanas entre los indicadores de los componentes de bienestar psicológico, creatividad y tolerancia a la incertidumbre. En cambio, estas relaciones son significativamente menores entre las personas con bajos niveles de bienestar psicológico.

PALABRAS CLAVE: creatividad; tolerancia; psicología individual; salud mental.

Introduction

Modern transformation processes place new demands on a person, which includes a quick search for new solutions in any situation. This leads to the active development of human resources, in particular — the creative potential of an individual. A person's ability to act creatively, in general, his/her inclination to creative activity is the basis of his/her development and successful activity. Modern educational paradigms change their vector from information-reproductive to personality-oriented and creativity-oriented, which also confirms the importance of the development of individual's creativity for himself/herself and for society as a whole.

The aim of the work is to clarify the features of the place of creativity and uncertainty tolerance in the structure of psychological well-being of an individual. The objectives of the work are: 1) analyse the latest research that examines the components of psychological well-being; 2) empirically establish the relationship between indicators of psychological well-being of an individual, his/her uncertainty tolerance and creativity.

Researcher and practitioner K. Dunker considered the problem of creativity from the standpoint of productive thinking, believing that problem situations of various kinds are the

main source of human creativity. He proposed an unconventional type of experimental study, which later received its own name — “Dunker’s Candle Problem”. This problem provides different options and solutions, has “several layers”, and only one of these methods and options is adequate. It is necessary to understand the problem’s internal structure in order to solve it, and only then start solving. Understanding the essence of the experiment leads to the solution of the problem. It can be achieved only provided the transformation of past personal experience, as well as the rejection of established stereotypes and schemes. There is a conflict between the set tasks and its conditions, which can be overcome only through understanding, insight (Preiss, 2019).

Kelly’s cognitive theory of creativity considers creativity as an alternative to the banal. Without using the term “creativity”, J. Kelly developed an original theory of creativity and creative personality, first describing alternative hypothetical thinking. For J. Kelly, a person is a researcher, a scholar who interacts effectively and creatively with the world, interpreting the world, processing information, predicting events. Human life is a study, a constant advancing of hypothesis of reality, through which a person tries to predict and control events. The picture of the world is hypothetical, and people advance hypotheses, test them, that is, perform the same mental actions as scholars in the course of scientific research. Life is a creative research process (Dimitrova-Burlaienko, 2017).

Wertheimer M. considered creativity from the standpoint of productive thinking, while he contrasted it with reproductive, which can only reproduce ready-made operations. Attention was focused on the desire to achieve a clear understanding of the situation or problem and led to the fact that it regroups the elements into some necessary whole, namely, a “good” gestalt. Creating a “good” structure is through recentring, which means the transition from one-sided understanding to centring, which is determined by the objective side of the situation and moves the centre of the proposed situation from one object to another (Karwowski & Kaufman, 2017; Kaufman & Sternberg, 2019).

A special contribution to the understanding of the essence of creativity and creative development was made by the founders of psychoanalysis. Classical psychoanalysis (Z. Freud, K. Jung, A. Adler, etc.) considers creativity as the formation of creative energy and the projection of motivation for creative activity (Preiss, 2019; Ryff, 1995). Freud believed that the result of the sublimation of sexual instincts is creative activity, with the transfer of energy

from more undifferentiated, primitive and undesirable impulses to more differentiated, higher, spiritual, cultural. He says that in Western culture and science, sexual instincts are becoming the main impetus for great achievements, which is how the mechanism of creative energy formation works (Kwan et al., 2018).

In scientific researchers (Andronnikova & Veterok, 2016; Dimitrova-Burlaienko, 2017), creativity is considered from various aspects:

- creativity as the ability to quickly assimilate, process and use new information in various non-standard ways. The importance of inductive thinking and some features of perception in the creative achievements of the individual. Creative decisions more often arise during relaxation, distraction, and not when a person is focused on solving a problem;
- “non-standard thinking”;
- three components that most affect the creativity of individual thinking, in particular: motivation to work; ability in a certain (specific) field; creative processes;
- feature of intelligence or the highest level of intellectual activity of thinking;
- creativity as a basis for the development of professionalism. Creativity in work is the ability to creatively consider the initial data, generate ideas that go beyond standards and traditional schemes of thinking, quickly solve problem situations;
- creativity creates favourable conditions for the development of personality in general, promotes its self-revelation, self-fulfilment, self-sufficiency and tolerance;
- several characteristics that form the image of a creative person, in particular: openness and ambiguity tolerance; no fear of the unknown;
- creativity is integrative in nature, it is inextricably linked with the intellectual, emotional, reflective, volitional, motivational and activity spheres of personality;
- consideration of creativity from the standpoint of problem situations, it is defined as the ability to solve many problems in ever-changing circumstances, the ability to make decisions in different situations, as well as a set of the following competencies: the ability to express one’s needs and interests; ability to find other sources of information; ability to make decisions in different situations; ability to generate original ways to solve the problem (Muñoz, 2019);
- a property or complex characteristics of personality;
- type of intellectual ability;

- creative style of activity;
- the result of creative achievements of an individual.

The range of research by foreign scholars is quite wide: from the analysis of traits and motives of creative personalities, the so-called “I” in connection with creativity, to the study of creativity as self-actualisation and its relationship with psychiatry (Barron, 2009; Dimitrova-Burlaienko, 2017; Glăveanu, 2014).

Many researchers closely link creativity to the level of psychological well-being. In particular, it is believed that the revelation of a person’s creative potential is an important foundation for his psychological well-being. Non-standard approaches allow a person to find solutions in stressful situations, which, in turn, has a positive effect on his/her resistance to negative factors and promotes mental health (Pakhol, 2017).

Creativity is also closely linked to uncertainty tolerance. Uncertainty can be a factor of stress, frustration, tension and lead to occupational health disorders. It is obvious that uncertainty tolerance and stress, as well as the ability to overcome them are extremely important factors that affect the psychological well-being of an individual (Norton, 2002; Apaza-Panca et al, 2021).

The analysis of the concept of uncertainty tolerance was the subject of research of many scholars. Psychologists study this concept using different conceptual approaches. The first approach was used in the works of E. Frenkel-Brunswick in 1948 and in 1949 in the study of authoritarian personality (Hitchcott et al., 2017; Rafferty et al., 2013). The second approach to the analysis of uncertainty tolerance is used in the theory of features in the concept of perception, which was proposed by S. Badner in 1962 (Barbot et al., 2019; Li, 2006; Paskov, 2017). The third approach treats uncertainty tolerance through models of rational decision-making and is based on the concept of “probability” (Hammond et al., 2017; Huang, 2006).

Based on the theoretical analysis of information, we assume that uncertainty tolerance and creativity are closely interrelated and are important structural components of the psychological well-being of an individual. This hypothesis became the basis for further empirical research.

1. Methods

Several stages of research were carried out to study the features of manifestations of creativity and uncertainty tolerance in the structure of psychological well-being. First, there was a review of scientific information and the formation of a theoretical model of research. The next step was the development of a research model, which involved the selection of a group of subjects and the selection of psychological techniques. Using a random sampling method, 300 people aged 22-33 were selected, who were registered at the State Employment Centre in Kyiv at the end of last year and are currently successfully employed.

The following questionnaires were selected for the study:

1) K. Riff's Scale of Psychological Well-being (adapted by T.D. Shevelenkova and P.P. Fesenko) is reflected in seven indicators: positive relationships with others, autonomy, environmental management, personal growth, life goal, self-acceptance and an integral indicator of psychological well-being (that is, its overall level).

2) Diener's Satisfaction with the Life Scale. Contains one scale, which indicates the level of psychological well-being in general.

3) Badner's Uncertainty Tolerance Questionnaire. It contains four scales — a general tolerance scale and scales that indicate its source — insolvability, novelty or complexity.

4) Diagnosis of personal creativity. Contains scales "creativity" (general scale), "propensity to risk" (defending one's own ideas despite the needs of others), "curiosity" (searching for new information and non-standard solutions), "complexity" (studying complex phenomena and processes), "imagination" (the level of development of the individual's imagination).

5) Johnson's Creativity Checklist adapted by Ye.Ye. Tunik is aimed at studying the general level of individual's creativity. The results of the answers for all questionnaires were calculated using mathematical formulas in Microsoft Excel, and qualitative analysis was performed using the Statistica package. The statistical methods of data processing involved one-way analysis of variance, which allows comparing the data in three or more subgroups, and Spearman's Rank Correlation Coefficient, which allows identifying relationships between two independent attributes in the same group.

2. Results

A quantitative analysis of the data was performed at the beginning of the empirical study. It was found that the subjects have characteristic features that involve the desire for

change and willingness to find new solutions and overcome difficult situations. Accordingly, a high level of uncertainty tolerance was found in 55% of respondents. Only 10% of respondents are not ready for the changing environmental conditions, they seek clarity and comprehensibility of the environment and the proposed solutions. It is also worth noting that 35% of respondents show an average level of uncertainty tolerance. That is, we can say that in general this study group is characterised by high levels of uncertainty tolerance.

Analysis of the sources of uncertainty suggests that in this study group, the highest indicators of tolerance are tolerance for the new situation. There are 60% of respondents who have a strong perception of changing living conditions and consider them an integral part of their lives. Almost half, 45% of respondents show an average level of tolerance for the complexity of the proposed situation, and for 37.5% the unsolvability of situations is partly a factor that can cause difficulties in everyday life (average level of uncertainty tolerance).

Diagnostics of the creativity level of the study group allowed obtaining the following results. According to the questionnaire for the diagnostics of personal creativity, it was found that a high creativity level is inherent in 52.5% of respondents, which is a very significant indicator. Only 12.5% of respondents have a low level of imagination, a tendency to take risks in certain situations and to understand complex problems.

It is interesting that the propensity to risk was found in 67.5% of subjects. More than half of the respondents tend to defend their ideas, not to be influenced by other people's opinions and set high goals. They strive to realise their plans, but at the same time they understand their mistakes and accept them.

Instead, the curiosity of the respondents is less developed. Only 22.5% of respondents have a high level of interest in the world, a tendency to seek new solutions and explore the surrounding reality. The majority of respondents (65%) have an average level of this quality.

Knowledge of complex objects, solving atypical problems and perseverance in carrying out their own activities are typical for 30% of respondents, the vast majority of respondents (42.5%) have an average level of manifestation of this attribute.

On the other hand, imagination, as a tendency to invent original stories, thinking about new phenomena and objects, atypical perception of objects of the surrounding reality are not very typical of this study group, as 47.5% have low results on this scale, which is somewhat contradictory to other indicators of creativity.

According to the Johnson's Creativity Checklist adapted by Ye.Ye. Tunik, there are 5 levels of creativity — very low, low, normal/medium, high and very high. It was found that the average level of creativity is inherent in 52.5% of respondents. Very low rates were not recorded in any of the respondents, low rates — in 17.5% of respondents, high — in 25% of respondents, and very high — in 5% of respondents. As the results show, the subjects have an average level of propensity to find new solutions and atypical approaches to solving the situation. The subgroup with high creativity rates outnumbers people with a low level of creativity, which gives grounds to conclude about the medium-high level of creativity in this group.

The quantitative analysis of the data found that the overall level of psychological well-being of the subjects is moderate (low level was found in 35% of people, medium level — in 40%, high level — in 25%). This suggests that the respondents evaluate their lives as moderately positive, they are not always satisfied with its quality and harmony and their self-fulfilment. It is worth noting that a significant part of the subjects is completely dissatisfied with their lives, feel unhappy in it, experience imbalances in its various areas and subjectively experience the negativity of their functioning (Figure 1).

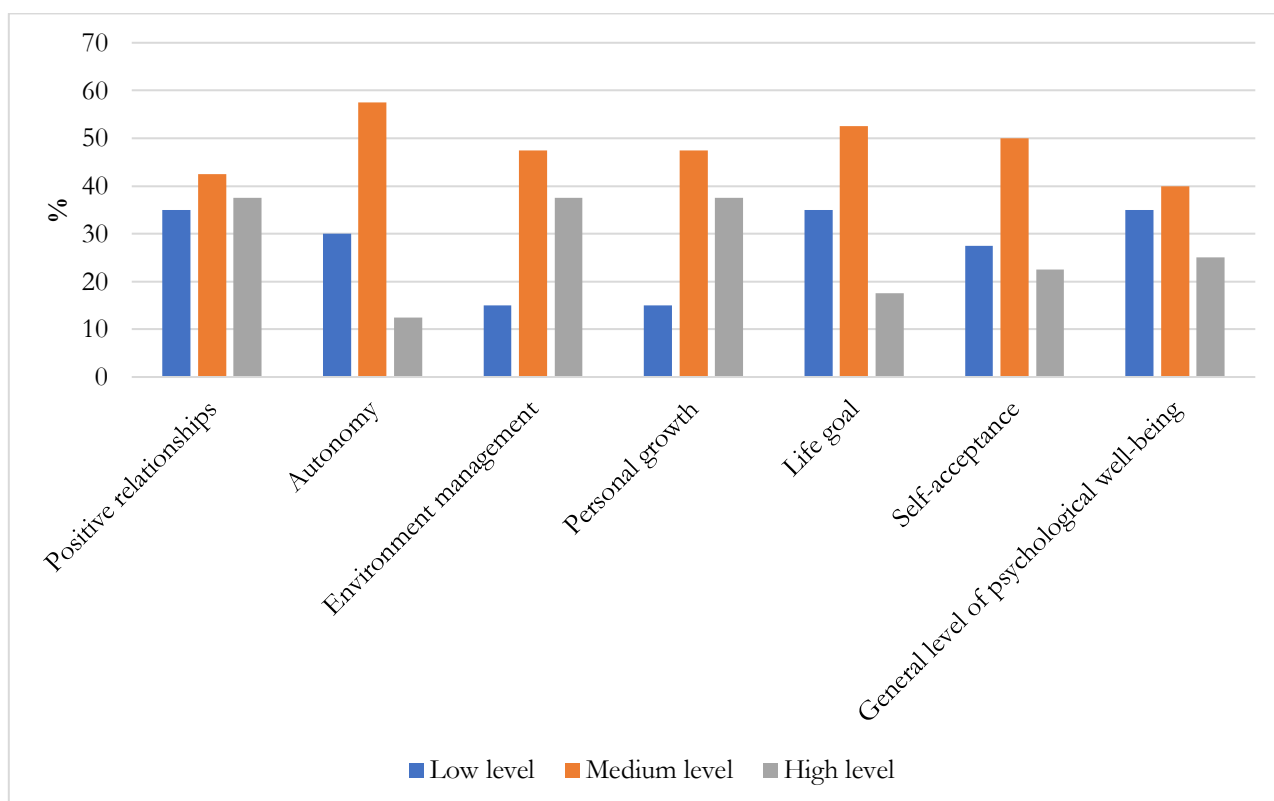


Figure 1. Distribution of indicators of psychological well-being of the respondents

The analysis of separate components of psychological well-being allowed revealing the following features of group of subjects. The rate of positive relationships with others is expressed at an average level. They are quite good at building relationships with other people, take care of them, understand well that sometimes it is necessary to compromise and can empathise with others. Almost the same number of respondents have low and high scores on this scale — one part is mostly isolated from other people, they often experience frustration and cannot show openness in relationships; on the other hand, it is quite easy for the rest of the respondents to establish positive relationships with other people and take care of them.

According to the Autonomy scale, the results of the subjects were distributed as follows: 30% found low indicators on this scale, that is this part of the subjects is quite dependent on the opinions and actions of others, they are conformal and often rely on the opinion of another person; 42% of respondents are moderately able to resist influential environments and maintain their own positions; 37.5% are very independent and autonomous, they strive to act only as they have decided, and rely only on their own criteria, not other people's ones, in assessing their own actions and judgments.

The data on the Environment Management scale are distributed differently. More than half of the respondents, which is 57.5%, are able to organise their daily activities and adjust external influences for their own needs. Only 12% of respondents have high scores on this scale, that is they can effectively use a variety of opportunities to meet their own needs and achieve goals. Instead, 30% of respondents have a low level of organisation of their activities, they believe that they are unable to adjust external influences for their own needs, feel unable to change adverse circumstances and believe that they cannot control anything in their lives.

Indicators on the Personal Growth scale are weakly manifested in only 15% of respondents, that is this subgroup has a low interest in life, they do not want to create new relationships or get new experiences from life, and feel that they can continue to grow and develop as individuals. The majority of respondents (47.5%) quite successfully cope with these life challenges, have their own areas of interests and development. A great openness to new experiences, a significant desire for self-development and improvement of various areas of their lives is found in 37.5%.

The indicators of the Life Goal scale are distributed as follows: 35% of the respondents showed low results on this scale, 52.5% — medium, and 17.5% — high. We can say that most

of the subjects have a fairly clear vision of the development of their lives and understand their expectations of it, although sometimes they may experience existential difficulties. The subjects are also characterised by average indicators on the Self-Acceptance scale, which are recorded in 40% of respondents, that is this subgroup tends to fairly rationally assess their various sides. On the contrary, a significant part of the respondents (35%) are too critical of themselves, they are disappointed with their achievements and criticise their own personal qualities. There were 25% of people diagnosed with a positive attitude towards themselves, they know how to use their negative experiences for learning, as well as understand and accept their negative qualities.

On the Diener's Satisfaction with the Life Scale, the following distribution of indicators is revealed: 2.5% of respondents rate the quality of their life very low, consider it disharmonious and not as they would like to see it. Another 25% of respondents have a low level of indicators for this scale, that is we can conclude that a total of 27.5% of respondents are generally dissatisfied with their lives. More than half of respondents (52.5%) feel happy in life at the average level. Another 17.5% are characterised by high rates on this scale, and 2.5% — very high rates, that is a total of 20% of respondents are completely satisfied with their lives and its various areas.

Quantitative calculation of data allowed dividing the subjects into three subgroups according to their level of psychological well-being (low — $n = 50$, medium — $n = 80$, high — $n = 70$). Next, one-way analysis of variance revealed differences in scales such as the Dinner Life Satisfaction Scale, the general level of uncertainty tolerance, the problem unsolvability (component of uncertainty tolerance), the general level of creativity and imagination. Let us consider each of the results in detail.

It was found that life satisfaction is different for all three subgroups (Table 1). Subjects with a high level of psychological well-being have, accordingly, a high level of satisfaction with their own life, its fullness and manifestations. People who have low indicators for mental health, a feeling of “emptiness” of life, lost days, do not have a specific goal where to go and do not feel general satisfaction with life.

Differences in the indicators of the integrated level of uncertainty tolerance were found only in subgroups with high and low levels of psychological well-being (Table 2). Subjects from the first subgroup are resistant to unusual and new situations, calmly perceive

unexpected changes in circumstances and feel comfortable in such conditions. Instead, subjects with a low level of psychological well-being are very negative about unexpected changes in circumstances and find it difficult to adapt to them. Situations that do not have a specific and definite option of action, but are unpredictable and require a creative approach, can be critical for them.

Table 1. The results of comparing life satisfaction

Group	{1}	{2}	{3}
	M=16.0625	M=28.7895	M=42.121
1 {1}			
2 {2}	0.788446		
3 {3}	0.026658	0.189154	

Table 2. The results of the comparison of uncertainty tolerance

Group	{1}	{2}	{3}
	M=16.0625	M=28.7895	M=42.121
1 {1}			
2 {2}	0.046658		
3 {3}		0.189154	

There were statistically significant differences between the indicators problem of unsolvability as a component of tolerance to uncertainty in subgroups with high and medium levels of psychological well-being. People with a high level of mental health have the ability to cope well with difficult problems. The subjects of this subgroup perceive those situations that other people can interpret as hopeless as those that can be overcome. In contrast to people with a high level of psychological well-being, people with a low level of this indicator are more negative about complex problems.

The general level of creativity also differs in the studied first and third subgroups (Table 3). People with a high level of psychological well-being tend to be creative in their daily lives. They experiment with new solutions and interesting ideas, consider them as a normal part of their lives and do not consider them too complicated and inaccessible. Instead, subjects with a low level of psychological well-being have difficulties using

unconventional approaches. These respondents prefer to use familiar and proven methods of solving situations and do not try to actively implement new ideas.

Table 3. The results of the comparison of creativity.

Group		{1}	{2}	{3}
		M=9.1250	M=6.5789	M=7.5279
1	{1}			
2	{2}	0.448543		
3	{3}	0.047358	0.281554	

The last indicator which revealed differences in these subgroups was the imagination of the subjects. Its level also differs in the first and third subgroups, that is in subgroups with high to low levels of psychological well-being (Table 4).

Table 4. The results of the comparison of imagination.

Group		{1}	{2}	{3}
		M=10.5625	M=9.0000	M=7.5455
1	{1}			
2	{2}	0.234359		
3	{3}	0.773871	0.733317	

The respondents who evaluate their own life as positive and full are more capable of creative imagination and the creation of new images. Instead, this is not typical for people from the third subgroup, and they have low imagination indicators.

Analysis of the correlation analysis data revealed such correlations in a subgroup of people with a high level of psychological well-being. Personal growth has a positive correlation with creativity (0.523, $p \leq 0.001$). The higher the creativity, the more the subjects seek to develop, be included in society and find new sources for their growth. Positive relationships with other people directly correlate with creativity (0.463, $p \leq 0.001$). The higher the level of creativity, the more positive emotions prevail over negative ones in a personal communication. The respondents are prone to experience such emotions as joy, pleasure, fun in interpersonal interaction. Positive relationships with others also directly correlate with

the creativity level on the Johnson scale (0.303, $p \leq 0.001$). Thus, the higher the creativity, the more pronounced is the tendency to assess their interpersonal contacts positively.

Personal growth is also directly related to the performance indicators of the Johnson's Creativity Checklist (0.352, $p \leq 0.001$). The higher the level of creativity, the more the studied group has a sense of emotional satisfaction from their life and development and is confident in themselves and in their abilities.

The Life Goal indicators are positively correlated to creativity (0.453, $p \leq 0.001$). The more pronounced life goals and feelings of meaning in life, beliefs that give meaning to life, the higher the indicators of creativity.

It was also found that there is a correlation between uncertainty tolerance and the Autonomy scale (0.521, $p \leq 0.001$). This suggests that the ability to act effectively in unpredictable and unexpected situations allow generating the independence and autonomy of the respondent. A direct statistically significant relationship between the indicators of the Environment Management scale with uncertainty tolerance indicators. The level of uncertainty tolerance is related to the personal qualities of the respondent in having power and competence in the environment management and control over external activities. This may mean that such a person is able to act productively in an unfamiliar environment and will be able to take responsibility in the absence of information.

The correlation between personal growth and uncertainty tolerance was established (0.452, $p \leq 0.001$). This suggests that uncertainty tolerance can help increase a person's interest in life through the flexibility of his/her behaviour. Such a person will consider an unusual and ambiguous prospect as an opportunity to show his/her personal abilities.

The correlation between psychological well-being and uncertainty tolerance was established (0.601, $p \leq 0.001$) for the subgroup with medium indicators of psychological well-being. The increase in indicators of psychological well-being is associated with an increase in the resistance of the subjects to uncertain and unforeseen situations and their ability to cope with them. The overall indicator of uncertainty tolerance directly correlates with the creativity level (0.492, $p \leq 0.001$) in this subgroup. There were no statistically significant correlations between creativity and uncertainty tolerance with such scales of psychological well-being as Autonomy, Environmental Management, Positive Relationships with Others, Life Goal and Self-Acceptance in the group of subjects with a medium level of psychological

well-being. It can be stated that for this subgroup a statistically significant correlation for these scales is not established.

The results of correlation analysis of the components of psychological well-being, creativity and uncertainty tolerance allow us to consider the features of the relationship of these indicators in a subgroup of people with low indicators of psychological well-being. It is important to note that the indicator of life satisfaction in this subgroup and the creativity level by two methods have a negative correlation coefficient ($r = -0.249$ and $r = -0.341$, $p < 0.001$). This indicates that the subjects have a high indicators for solving problem situations in non-standard ways and think original, assess their condition rather as unfavourable. They may experience emotional discomfort, anxiety about their personal qualities, lack of interest in the events of their own lives, have fewer goals and intentions. It can be assumed that the self-esteem of such persons and their emotional state is mostly unstable.

The general indicators of creativity in both methods negatively correlated with the ability to build positive relationships with others, which indicates the difficulty of this subgroup of people in building close trusting relationships ($r = -0.342$ and $r = -0.431$, $p < 0.001$). Creativity, which is manifested in everyday life, cannot always be understood and accepted in the immediate environment, which can significantly complicate communication.

The group of people with a low level of psychological well-being is characterised by the correlation between such a component of psychological well-being as Personal Growth and the originality of the answers ($r = 0.424$; $p < 0.001$). Personal growth and life goals, as well as the ability to create conditions that are comfortable to meet personal needs and achieve goals set, inversely correlate with the originality of thinking.

3. Discussion

Uncertainty tolerance as a psychological characteristic of a person is important in maintaining internal balance, in combating stereotypes and prejudices, as well as in the stability of professional efficiency (Bilopolyi & Lazarenko, 2020). Within the life and rhythm of the metropolis, uncertainty in various life situations can cause a person to feel complete rejection and confusion (DeRoma et al., 2003). This can be experienced by a person as a concern that someone may ignore, someone will try to suppress, and this can result in such manifestations as avoidance, frustration and refusal to implement plans (Hammond et al., 2017; Lubart, 2010).

Factors of uncertainty of internal environment directly correlate with the psychological well-being of an individual (Archangelidi & Mentzakis, 2017; Cachioni et al., 2017; Diener et al., 1999; Gilligan et al., 2017). Psychological well-being, above all, is presented as a holistic, subjective experience, as an integral mental phenomenon, a set of experiences that reflects the successful functioning of an individual in a society, with a favourable emotional background, whose psyche and body are in a functional state, as well as a positive view of oneself and the world around (Archangelidi & Mentzakis, 2017; Bradburn, 1965).

It is not possible to fix psychological well-being at a certain level. Psychological well-being is a constant balancing act on the border of the desired and the real, a harmonious process of uniting parts into a whole in the context of society with the goal of finding a stable balance (Chapman & Dammeyer, 2017; Wilson et al., 2020).

It should also be noted that quite often creativity is a factor that has a positive effect on well-being. The basis of psychological well-being is the principle of activity, flexibility of thinking of the subject. The concept of “flexibility of thinking” of the subject refers to his/her readiness for new experiences, in self-fulfilment and self-development, which helps to eliminate self-doubt, thereby relieving internal tension, emotional discomfort, which is also characteristic of a person with a high level of tolerance, who is able to accept the novelty and uncertainty of situations and able to act productively in them (González-Hernández et al., 2019; Wilson et al., 2020).

There is an influence of environmental factors on the relationship between talent, creativity and psychological well-being. The studies noted the influence of others on creativity (Bluth et al., 2017; Chapman & Dammeyer, 2017; Chiu et al., 2018).

Based on data on the role of creativity in solving not only educational but also everyday problems, researchers suggest that the psychological well-being of people with different levels of creativity will also have different levels (Evans, 2016; Gilligan et al., 2017).

It was found that subjects with different levels of psychological well-being have differences in such indicators as the general level of uncertainty tolerance, problem unsolvability (component of uncertainty tolerance), the general level of creativity, imagination and satisfaction with life.

Numerous correlations between creativity, uncertainty tolerance and components of psychological well-being were identified in a group of subjects with a high level of

psychological well-being. For example, the relationship between personal growth and uncertainty tolerance was identified. This suggests that uncertainty tolerance can help increase a person's interest in life through the flexibility of his/her behaviour. He/she will consider an unusual and ambiguous prospect as an opportunity to show his/her personal abilities. Improving one's capabilities and, consequently, uncertainty tolerance can have a positive effect on personal growth and human development.

Other correlations were also established — Personal Growth has a positive correlation with creativity; Positive Relationships with other people directly correlate with creativity; Life Goal indicators positively correlate with creativity. It was also found that there is a link between uncertainty tolerance and the Autonomy scale.

For the subgroup with average psychological well-being, the correlation between psychological well-being and uncertainty tolerance was established. In this subgroup, the overall indicator of uncertainty tolerance directly correlated with the level of creativity. This subgroup is characterised by the least number of correlations between the studied indicators.

The following correlations are characteristic of a subgroup with low indicators of psychological well-being: the indicator of life satisfaction in this subgroup and the level of their creativity by two methods have a negative correlation coefficient; general indicators of creativity by both methods negatively correlated with the ability to build positive relationships with others, which indicates the difficulty of this subgroup of people in building close trusting relationships. A group of people with a low level of psychological well-being is also characterised by the relationship between such a component of psychological well-being as Personal Growth and the originality of the answers.

Conclusions

Psychological well-being is an important structural entity that directly correlates with and has a significant impact on a person's mental health. Maintaining a sufficiently high level of psychological well-being ensures the normal functioning of a person, his/her feeling of happiness and subjective satisfaction with life. The level of psychological well-being affects all areas of human life — from relationships with others and success at work to inner integrity and harmony.

However, there are a significant number of factors that have a significant impact on the formation and functioning of the psychological well-being of an individual. In this article,

uncertainty tolerance and creativity were considered as important mental formations related to human mental health. The influence of these components on the psychological well-being of an individual is theoretically analysed and substantiated. It was empirically proved that individuals with different levels of psychological well-being have different indicators of uncertainty tolerance, creativity and their components. Numerous correlations were found between the indicators of these scales. We consider clarifying the place of creativity and uncertainty tolerance in the structure of psychological well-being, in particular in different age groups, and comparing the results to be the prospect for further research.

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Yakut Ritual Dance “Pattern”: concepts of life and death

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ABSTRACT

This article reviews the Yakut ritual dance called “Pattern” which is connected to archaic funeral rite and to the concepts of life and death intrinsic to Yakut culture. The purpose of this article is to find in this dance symbolic and image-bearing elements indicating major concepts in the Yakut consciousness — concepts of life and death; to show the exceptional value and significance of “life” constant in ethnos consciousness; to address the Yakut ritual dance “Pattern” as one of the ways to display life in dance images; and, analysing the meaning of dance structure and choreography, to demonstrate transformation of “death” into a new quality, a symbol of “life”. The present study reveals the meaning of ritual movements by which death “changes into” life. The methodological basis of the article consists of the analysis of bibliographic sources on Yakut ritual dance. The content and meaning of the dance movements are identical to the worldviews of the ancient Turkish people and their concepts of life and death.

KEY WORDS: folk art; Arctic cultures; traditional dance; rites; symbols.

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Danza ritual yakuto "Patrón": conceptos de vida y muerte

RESUMEN

Este artículo revisa la danza ritual yakuto llamada "Patrón", que está conectada con el rito funerario arcaico y con los conceptos de vida y muerte intrínsecos a la cultura yakuto. El propósito de este artículo es encontrar en esta danza elementos simbólicos que contienen imágenes que indican los principales conceptos en la conciencia yakuto: conceptos de vida y muerte; mostrar el valor excepcional y el significado de la "vida" constante en la conciencia etnos; abordar la danza ritual yakuto "Patrón" como una de las formas de mostrar la vida en las imágenes de la danza; y, analizar el significado de la estructura de la danza y la coreografía, para demostrar la transformación de la "muerte" en una nueva cualidad, un símbolo de "vida". El presente estudio revela el significado de los movimientos rituales por los cuales la muerte "se transforma" en la vida. La base metodológica del artículo consiste en el análisis de fuentes bibliográficas sobre danza ritual yakuto. El contenido y el significado de los movimientos de la danza son idénticos a las cosmovisiones del antiguo pueblo turco y a sus conceptos de vida y muerte.

PALABRAS CLAVE: arte popular; Culturas árticas; danza tradicional; ritos; símbolos.

Introduction

The article aims to discover concepts of life and death as parts of the ancient funeral rites in the Yakut ritual dance "Pattern", as well as to introduce researchers, ethnographers, folklore specialists and those interested in traditional culture of the people of the world, to a unique example of traditional choreography of the Yakuts, the northern Turkic people.

The article studies the choreography language and the structure of the Yakut ritual dance "Pattern" which are tied to the concepts of life and death. It performs a semantic analysis of ritual movements which serve as means of transforming "death" into "life".

This article reviews the Yakut ritual dance called "Pattern" which is connected to archaic funeral rite and to the concepts of life and death intrinsic to Yakut culture. The present study is the first to analyze choreography language and structure of the Yakut ritual dance "Pattern" in order to ascertain concepts of life and death that can be traced back to ancient Yakut rites. The article reveals the defining characteristics of choreography language and dance composition, and performs a semantic analysis of ritual movements that display the signs of key concepts of life and death. It analyses the ideas, images and features of the Yakut ritual dance "Pattern" in the context of Yakut worldviews, religious views and

traditional values. Even though the dance is connected to the ritual of funeral and remembrance, the “Pattern” dance is treated as a dance of life celebration. The article introduces the unique plot and ornamental movements of the Yakut ritual dance “Pattern” into scholarly discourse. It places emphasis on significance and value of the dance as an extraordinary piece of traditional Yakut culture spearheading the idea of life triumphing over death. There are two words for the same ethnic group in this article: “Yakut”, (“Yakuts” in plural) – which is the official name – and “Sakha”, the word the Yakuts use to call themselves.

The relevance of this article stems from the need to preserve archaic examples of the Yakut dance folklore that express universal ideas of life and survival. The relevance is also based on the necessity to introduce into scholarly discourse the vision and the myths of life and death concepts in the Yakut dance folklore. Functioning of traditional values and key concepts for life and death phenomena are also important for modern art as patterns for organising the lasting values in figurative language of folk art.

Yakut shamanism, heroic epics, mythology and legends examine the themes of life and death. The philosophical problem of life and death and their balance is embodied in various folk art genres. This theme is developed in different aspects via mediums of expressions pertaining to certain types of folk art. Traditional dance culture of the Yakut people uses metaphor to conceptualize the issues of life and death. Folk art emphasises the celebration of life, prosperity, abundance, happiness, joy. In folk art, optimistic and humanistic works outweigh the death theme. Yet the ever-present idea of death has always exercised the people’s minds. Traditional and ritual dances that create visual images can sometimes offer interesting and even surprising takes on the themes of life and death. For the Yakuts, life and death were connected to the three-part world idea, widespread among many Turkic peoples. Yakut worldviews and religious beliefs hinge in this idea; the interrelation between the three worlds is the foundation for the spiritual world of the Yakut people. All main points of traditional Yakut culture, including the questions of life and death, are built upon the three-part world concept. In the Middle world, — called *Orto Doidu*, — populated by the *Aiyy* people, life triumphed. *Allaraa Doidu*, or the Lower world, was connected to death and all its tragic and aggressive aspects. As the three-part world concept encompassed the entirety of the Yakuts spiritual world, it is impossible to find a folk art genre, which would not use the said concept as its base. Yakut mythology thoroughly develops the idea of three

interconnected worlds.

The present article looks at a dance as a means of demonstrating certain attitude to life and death.

1. Theoretical and methodological aspects

The methodology for studying traditional culture involves studying the works of researchers who have recorded unique materials of Yakut cultural heritage. The Yakuts are the northernmost Turkic-speaking population. Their historical fate, fraught with difficulties, influenced their traditional culture and development of certain characteristic of various folk art types, including traditional dances. Choreography language of the Yakut dances differs from traditional art of dancing of indigenous small-numbered peoples of the North. Analysis of traditional Yakut dances shows features common to dances of Turkic-speaking peoples. The majority of elements in the "Pattern" dance are connected to the ancient Turkic foundation. The dance has a prominent eastern tone. In this regard of particular interest are archaic ritual complex, worldview, religious beliefs, system of deep-seated essential values. The article uses methods based on a comprehensive and systematic analysis of traditional dance culture. The methodological basis of the theoretical aspect of the study were the works of Russian researchers of ethnography, folklore, art history, ethnic choreography. The main methodological framework for reviewing the principles of traditional culture can be found in the works that belong to the scholars of folk art, folklore, archaeology, traditional art, and Northern studies, such as: J.G. Gmelin, J.J. Lindenau, R. K Maack, A.F. Middendorff, I.A. Khudyakov, W.L. Sieroszewski, E.K. Piekarski, N.Ya. Bichurin, V.I. Jochelson, E.B. Tylor, L.S. Vygotsky, V.Ya. Propp, B.N. Putilov, V.I. Pukhov, N.V. Emelyanov, A.S. Kargin, , E.S. Novik, A.P. Okladnikov, M.M. Nosov, G.P. Sokolova, D.S. Dugarov, E.E. Alekseev, and others.

The methodology base includes the works of researchers who studied semantic and functional analysis methods as well as symbolic nature of traditional culture, such as L. Lévy-Bruhl, A.D. Avdeev, C. Lévi-Strauss, Yu.M. Lotman, M. Eliade, Ye.M. Meletinsky, S.E. Malov, V.M. Zhirmunsky, V.B. Iordansly, A.K. Baiburin, N.A. Alekseev, A.I. Gogolev, and others.

In the study of traditional Yakut choreography, the works of the following Yakut folklorists carry weight: A.E. Kulakovsky, G.V. Ksenofontov, P.A. Oyunsky, A.A. Savvin, G.U. Ergis, and others. The present article employs the traditional choreography studies by

scholars and members of traditional Yakut culture, such as S.A. Zverev-Kyyll Uola, I.D. Izbekov-Uustakh. The works of the first scholar of traditional choreography of the peoples of the North M.Ya. Zhornitskaya are of special interest.

The folk choreography researchers that have developed theoretical and practical aspects of traditional choreography of the peoples of Russia are N.S. Nadezhdina, T.A. Ustinova, S.S. Lisitsian, Yu.M. Churko, E.A. Koroleva, V.V. Romm, T.S. Tkachenko, V.A. Teider, V.I. Uralskaya, A.G. Lukina, R.V. Kenzikeeva, and others.

In the study of dance culture of particular interest are the works of researchers of dance folklore of the peoples of the North, Siberia and the Far East: M.Ya. Zhornitskaya, T.F. Petrova-Bytova, S.F. Karabanova, N.S. Kaplin, V.N. Nilov, A.A. Petrov, Ye.A. Rultyneut, N.A. Struchkova, L.E. Timasheva, and others.

In order to develop the research, the results of the development of this topic by Yakut researchers were analyzed. A comparative analysis of dances in the context of Yakut ritual complex was carried out. This topic was developed by M.Ya. Zhornitskaya, researcher of the dance culture of Northern peoples, in her monographs "Folk dances of Yakutia" (Moscow, "Nauka", 1960); M.Ya. Zhornitskaya "Folk choreographic art of indigenous population of the North - East Siberia" (Moscow, "Nauka", 1983). M. Ya. Zhornitskaya studied dances staged by S. A. Zverev-Kyyll Uola, an expert and bearer of traditional Yakut dance culture, such as "Pattern", "Selberece", "White Crane Dance". The dances of S. A. Zverev were based on the dance folklore of the Yakuts and were closely connected with the world views and beliefs of the Yakuts. The topic of ritual and ceremonial dances of the Yakuts was developed by the researcher N.A. Struchkova, in particular the mythological and ritual foundations of the Yakut circular dance "osuokhai", the kinetic culture of the Yakuts, including the "Pattern" dance. Her research in the elements of non-verbal communication is close to the author of this article in terms of identifying the ritual behavior of Yakuts in establishing communicative relations with the outside world. N.A. Struchkova writes that "through the mythological traditional worldview of Yakuts, the legend helps to reveal the semantics of human movement plasticity. Ritual walking in a circle is indeed a symbol of motifs of enclosure, purification and creation of a new "pure space". This also applies to the "Pattern" dance, which is performed in a circle and associated with the motif of purification". (N.A. Struchkova. Olonkho and foundations of kinetic culture of the Sakha People - Novosibirsk,

"Nauka", 2008). N.A. Struchkova writes that the circle dance is a part of the ritual of the vertical plan in the funeral rites. The main value of the circle is a connection of two oppositions - "our own world" with "other world" (Struchkova. Formation of the kinetic component in ritual practice. - St. Petersburg, Publishing house of Saint Petersburg university, 2005).

2. Results and discussion

According to the Yakut mythology, there exist three worlds: the Upper world, or heavens, the Middle world, where humans live, and the Lower world, or the underworld (Ergis, 1974).

The philosophy of traditional concepts and traditional Yakut culture based on interplay, interdependence and interrelationship of concepts of life and death. Connection and balance between these two concepts were what traditional concepts strived to fashion. Aal Luuk Mas, that is, the world tree, serves as an axis connecting the three worlds. The cosmology model of three worlds connected to each other is universally widespread. The idea of a three-part world represents a typological concept, common in mythologies around the world, which pertains to a rather archaic layer of beliefs every so often connected to shamanism (Bongard-Levin, 1980). The idea of a three-part world is deeply engrained in all types and genres of folk art, particularly in patterns of visual arts such as ritual choreography. The belief in establishing a connection between three worlds lies at the heart of three-part concept (Lukina, Doktorova, 2013).

Mythological thinking that gave birth to this concept is in and of itself close to imagery and figurality found in dances. Visual images for such fundamental concepts like life and death were created by means of imaginary and evocative dance language. Archaic images of Yakut ritual and ceremonial dances uncover the three-part world concept through semantic content, plastique and visual symbols, poses and pas, spatial dance composition and structure. Mediums of choreographic expressions reveal the heart of the three-part universe. Choreographic text as one of the most ancient ways of expressing thoughts and feelings, which is comprised of movements, ritual gestures, poses, pantomime and facial expressions, reflected and visualised key concepts of life and death.

In traditional Yakut dances, the meaning behind the main movements follows the idea of mastering horizontal and vertical space, and the actualization of philosophical concepts of

life and death. Three-part world concept serves as the foundation for such Yakut dances as traditional circle dance “Osuokhay”, ritual dance “Bitii”, ritual dance “Pattern”, ceremonial dance “Warrior’s initiation”, dance “Algys” (“The Blessing dance”), etc. Traditional Yakut dances developed based on the religious beliefs and shamanistic worldviews, and they contain key concepts and meanings the people hold close. The significance of these dances, their structure and their images allow them to act as bridge for the three worlds. Vertically and horizontally oriented traditional and ritual dances functioned as a model for making connection between the three worlds. In this regard, the Yakut ritual dances were archaic symbols for connecting rational and irrational. They also were a reference pattern for moving between the worlds. This connection between the three worlds is evident in the ritual Yakut dance “Pattern”. Traditional Yakut art acknowledges a possibility of an “open road” between the three worlds, and this means that these worlds are interconnected. The confirmation can be found in how the spatial structure of traditional Yakut dances is oriented both vertically and horizontally. In Yakut ritual dances, when dancers move in a circle, it means reaching a sacred world. This is found in the final part of the “Pattern” dance, when dancers send the soul of the dead girl into the otherworld and thus separate her from the living. This symbolic kinetic code of circle movements can be seen the majority of traditional Yakut dances.

The “Pattern” dance, which dates back to the antiquity, is one of the oldest and most meaningful dances in the traditional Yakut dance culture. This dance provides insight into philosophic nature of existence, into interactions and conflicts between life and death, into transcendental barrier one crosses when leaving their world forever. Unfortunately, the original name of this dance has been lost, along with many other elements of traditional Yakut culture. Yet this fact does not diminish the meaning of the “Pattern” dance that is closely connected to beliefs, worldviews and religion of the Sakha people. The “Pattern” dance holds a special place in the traditional Yakut culture as a dance tied to an archaic and conservative event — a funeral rite. The dance is focused on the ideas of spiritual life of the Yakuts, mystic experiences and key concepts of life and death. The Middle world, where humans live, is a world of life, prosperity and happiness. The Lower world is associated with death, tragedy and aggression. The “Pattern” dance, using ritual movements, poses and gestures, reveals the rhythm of the alien world where death reigns, and the rhythm of life and nature, the part of which humans consider themselves.

The dance tells of a connection between life and death by replicating it and the series of actions that transport a person from life into the otherworld. At first sight, the way ancient Yakuts perceived the phenomenon of death might seem paradoxical. While the “Pattern” dance speaks of one’s passing, it actually celebrates life and the joy of living. The dance has a deeply humanistic meaning that prevails over despair and tragedy of death. It contains a story about how, when faced with death, a dying person can receive a kind of compensation for the life they did not get to enjoy to the fullest, a compensation in the form of dance. In other words, this person gets a parting gift in the form of choreographic images that recreate their life in a ritual dance. The “Pattern” is a dance of life and hope, not of grief and sadness. Exaggeratedly upbeat and optimistic, it strives to perpetuate life and to expand its limits. The dance makes it possible to transform the idea of death into the idea of life.

The relevance of death, based on ancient Yakut funeral rites, changes into the relevance of life in the “Pattern” dance. Ultimately, the dance actualizes not death but life, continuing and infinite, despite the fact that the plot of the dance is related to a very conservative funeral rite.

S.A. Zverev-Kyył Uola, poet and choreographer, singer-improvisator, directing singer in Osuokhay circle dance, Olonkho narrator, keeper of traditional Yakut culture and its scholar, managed to restore the “Pattern” dance in 1957. He reconstructed and put into action a scenic interpretation of this ancient story. To stage the dance, he drew on a legend from Suntarsky district. The legend speaks of a famous udagan called Chypchakhaidaakh. This legend is widespread in Yakutia, and several variants of it can be found in archives.

Folklorist A. Savvin in Suntarsky district recorded funeral rites of the Yakuts in 1938 according to information provided by M.V. Vasiliev and S.A. Zverev, residents of Tyubyaysky nasleg in Suntarky district. In Ust-Aldansky district A. Savvin recorded the rite of similar nature called “*Былыргы комуу*” (bylyrgy komuu), which means “Ancient funeral” (Yakutsk National Centre, 1936–1941). Such rite existed in other regions of Yakutia as well; archives offer information on an ancient rite where underage deceased persons were buried repeatedly.

Many districts of Yakutia seem to have practised this rite. It was observed rigidly when a person deceased was the only child in the family and died before coming of age.

Funeral rites are connected to religious activities performed in the following situation:

1. The custom was performed as a farewell to family and friends. Deceased was sat down to the table and treated to various dishes.

2. The custom was perceived as a form of recompense paid to one who died too early the deceased was given that which they were supposed to experience (marriage, celebrations, and joys of life) but did not get to because of sudden death.

3. Deceased was offered an opportunity to take a last look at their home grounds. For example, in the “Pattern” dance, before the dead girl is buried, she, wearing her best clothes, is taken by the armpits by other dancers and is carried around the place where she used to live. The horse that would deliver the deceased to the realm of the dead was buried too. Before the horse was buried, a rider mounted it and rode several times around the place where the deceased used to live.

4. The custom where the dead girl would be held on both sides by young boys and girls who would put food into her hands and then treat her relatives to that food, so that it would seem as if the girl was offering food to her relatives.

According to the legend, in Tyubyaysky nasleg, in a locality called *Turannakh* famous udagan Chypchakhaidaakh organised a “farewell” ceremony due to the untimely passing of her underage daughter. During the ceremony all the ancient customs were observed very strictly. The legend says that the udagan performed her shamanistic ritual for seven days and seven nights without rest, all to restore her daughter to life. There was a belief that powerful shamans and udagans could shamanise for nine full days to bring dead back to life and to cure hopelessly ill people. Yakut epic has the following words: “*олбут кихини ондотор буоларбыт, умсубут кихини уодас ойутарбыт*” (olbut kihini ondotor buolarbyt, umusubut kihini uodas oiutarbyt), “*улуһуйэн туойдахпына олбутэ ус сыл буолбут кихини ондотор бэйэм этим*” (uluhuien tuoidakhpyна olbute us syl buolbut kihini ondotor beiem etim), i. e. “revived the deceased, raised the departed, with their toyuk-song three years dead man brought back to life.” However, in the Suntar legend, Chychakhaidakh could not revive her daughter, and so she arranged a great funeral. During the funeral, udagan danced the “Pattern” dance, accompanied by seven “pure”, “immaculate” young girls and boys — bitisiits, sometimes called sing-along dancers. The udagan, holding a shaman’s drum each hand, would stand in front of bitisiits and show them dance movements that they would repeat. Lead by the udagan, these boys and girls would use ritual poses, movements and

gestures to create in real time the images of the dead girl's happy life, so that she would not depart aggrieved with her lot and would not pose danger to the living.

The legend says that the udagan performed her daughter's reburials for three years in a row. Each time she organised a ceremony that was similar to Ysyakh celebration. And each time "pure" and "immaculate" young boys and girls, bitisiits, danced with her. The legend recorded by A. Savvin has it that bitisiits danced with the dead girl while holding her on both sides and moving her hands so that they made pattern gestures. The dancers themselves also made these gestures. The dance served as a means to give to the untimely deceased girl the joy she was due on her wedding day.

It may be assumed that in the past bitisiits performed this dance in presence of the dead person, and sometimes even with the "participation" of the dead body. However, it may be more reasonable to assume that her living friend played the dead bride part.

The "Pattern" dance is a multifunctional one. On one hand, it is a talisman, and as such, it has a protective function. The dance protected the living from the dead; it created a barrier that did not allow the dead to enter the circle of the living. That way, dancers formed a mythical space safeguarded from the evil spirits. The circle, drawn by dancing boys and girls, separates life from death and emphasises their conflict and contradiction. Mundane and sacred meet in this dance. Circle and straight lines represented an open road to Heavens where "kut", the girl's soul, goes after her death. Soul's ascension to heaves is connected to entering sacred spaces (Mircea Eliade, 1999). A circle is a mythical space.

On the other hand, the "Pattern" dance is a "recompense" paid to the dead girl for the life she did not get to live so that she would not pose danger to the living. Life and death meet in this dance. In the end, life prevails in the dance, life and the joy of living. Every happy occurrence that should have happened in the life of the udagan's daughter is mediated through the original movements of the dance. The ritual poses and gestures recreate happy moments of one's life. The "Pattern" dance has a complex kinetic text. Each movement has a profound meaning and serves as a sign. Combination of movements creates kinetic text in which signs and symbols tell the story of the girl's life. Each gesture holds significance and can be read. The story is told through combinations of dance elements, poses and gestures.

At first glimpse, the dance may seem to be telling a tale that only has happy moments. But it is important to bear in mind that the dance is also about saying goodbye to the young

girl that departed this life. The dance does not overstress this part and highlights joyful, optimistic moments. The performance of this dance is exaggeratedly upbeat and elated. Therefore, the “Pattern” dance reflects the philosophy of persisting life with its sunny sides, prosperity, hope and the happiest moments of existence. It emphasises the idea of life triumphing over death. Dancers perform this joyful dance devotedly, trying to oppose the inevitability of departure from life. At the same time, the dance contains dramatic elements pertaining to human life. Pas and symbolic movements of the dance embody the joy of life, the drive for it and its celebration, while keeping some notes of ruminations on its inevitable end. This is what the “Pattern” dance philosophy is about. The dance concentrates seemingly incompatible concepts of life and death as contradicting phenomena. The “Pattern” dance is definitely a dance of the circle of life, even with the presence of tragic moments related to the plot.

An archaic custom of bidding farewell to young girls who dies before coming of age and getting married is close to worship of noble maidens that was practised by the Yakuts. There was an exceptional attitude displayed towards noblemen daughters who died old enough to be considered brides but yet unmarried. If a deceased girl were the only daughter, the favourite child, blessed with beauty, then her parents would call for a shaman and ask him to perform a ritual of implanting the girl’s soul into a special doll made of birch bark. Such a doll was called “*бах танара*” (bakh tanara), “divine maiden”, or “*туос танара*” (tuos tanara), “birch bark deity” (Ksenofontov). Its purpose was to immortalize an image of an untimely deceased person. Therefore, it is of no coincidence that the dancers created with their hand movements that represent birch bark vessels. The “Pattern” dance includes an original movement known as «*туос уһум оһууһа*» (tuos uhum oiuta), or “birch bark vessel pattern”. The dancers draw this pattern using hand gestures. The existence of movements of this nature indicates that the dance was performed in situations connected to funeral rites. As far as is known, the Yakuts quite often used birch bark as a material for their funerary structures. It is of particular interest that those birch bark sheets that were used in a funeral rite were usually decorated with various grooved ornaments (Bravina, 1996).

A dead body would often be wrapped in a canvas made of birch bark or covered with ornamental birch bark sheets. Patterned birch bark was a ritual attribute (Konstantinov, 1971).

The “Pattern” dance function was to please the deceased. Once the dead girl would receive their reward in the form of a dance, she would not show displeasure and bother the living. By using the dance, udagan and bitisiits helped the dead girl to leave the Middle world peacefully and to reach the otherworld. With this energetic dance, they separated “*кym*” (kut) – the dead girl’s soul from «*кym*» (kut) – the souls of the living. The protective function of the “Pattern” dance is clearly in evidence. In this case, the exaggeratedly upbeat dance movements served as one of precautionary measures against evil spirits. Vigour and temper of the dancers were supposed to repel evil spirits. Pattern hand movements, performed synchronously and cyclically, were supposed to prevent evil spirits from getting into the living space. “Pure” girls and boys lead by the udagan were to act as an impenetrable barrier against evil spirits. This protective function was typical for archaic dances of ritual nature.

As mentioned above, the “Pattern” dance by S.A. Zverev is similar in content in composition to the ceremonial celebration of Ysyakh. It is known that in the old days the Yakuts would commemorate the passing of their ancestors. The ancient form of Ysyakh can be traced back to funeral and commemorative traditions. Ancestor worship motive is one the most prioritized motives in Ysyakh. In a more archaic variant of Ysyakh, people would pay respects and obeisance to their ancestors (Klark, 1864). A grand scale ancient ceremony of Ysyakh is the main national celebration of worship of ancestors and deities-ayii. Crucial role belonged to *algyschyt* — priest performing the ritual blessing ceremony. The priest was accompanied by bitisiits, sacred “sing-along dancers”. Nine “pure” young boys and eight “immaculate” young girls helped the priest in the rituals. Archaic Yakut heroic epic tales mention these sacred dancers, bitisiits. They serve as an important symbol that has ties to the ideas of beauty, purity and dignity. In Yakut heroic epic, nine young boys bitisiits were compared to tall male white cranes, and eight young girls bitisiits were compared to female white cranes (Kyys Debiliye, 1993). The sacred number nine associated with harmony and perfection, while number eight was connected to infinity and perpetuity of life. Nine boys like free-flying cranes and eight girls like brilliant white cranes symbolised purity, innocence, peak of vital energy. Bitisiits-dancers took part not only in life cycle rites, but also in archaic funeral rites. This suggests that bitisiits participated in crucial Yakut rituals.

Pure, immaculate boys and girls danced in the “Pattern” dance as well as in Ysyakh ceremony. They helped the udagan to see her dead daughter to her final journey, and they

embodied a certain divine power. Only their pure souls and their good intentions could lift «*kym*» (kut), i. e. the girl's soul all the way to the otherworld. The lifting of the girl's soul — «*kym*» (kut) — has a very clear representation in the images and composition of the “Pattern” dance.

The dance reflects the most archaic meaning of the Ysyakh ceremony, which combines the ideas of death and rebirth. Ysyakh was a multifunctional ceremony that, due to its symbolical nature, captured numerous essential ideas of the people. One of the earliest ideas embedded in Ysyakh is the idea of death and rebirth. The Ysyakh ceremony has a double symbolic meaning: renewal follows the parting of the past, before every rebirth comes death. When one thing ends, another thing begins. According to the legends, the Ysyakh ceremony was preceded by the death of Omogoi's favourite daughter. Omogoi had a daughter that was not very beautiful and was treated almost like a slave. Ellei, who would become a forefather of the Yakuts, chose this girl his wife. Omogoi and his wife were not happy with Ellei's choice. The legend says that the other seven (or two, according to other variants) daughters strangled themselves to death. The other variant of the legend has it that Omogoi's favourite daughter went missing. It is believed that she transcended into the otherworld, became “yuer”, a lost soul that inflicts sickness on people. To prevent her malicious acts, shamans offered her sacrifices. After these events' ancestor Ellei performed an ysyakh, and became a founder of the Ysyakh ceremony. He built a summer dwelling — birch bark urasa covered in patterns. From birch-tree he made vessels for kumiss — choron, ymyia, mataarchack and others. He built a smoky bonfire, too. The myths say that Ellei was the first to perform a custom of lifting up the kumiss cup. It was customary for the people to face east as they raise up the kumiss filled cups, honouring the deity they wanted to address personally (Ksenofontov,1977).

Myth and rituals see death and rebirth face to face. Death is a cardinal event that serves as a ground for new things, and thus death is an essential part in the cycle of restoration. As E. Stroganova writes, “death, real or imaginary, gets its true positive meaning. It prepares new existence, pure spiritual or material rebirth at a higher level.” (Stroganove, 2000).

In the above-mentioned myth, Omogoi's favourite daughter dies or transcends to heaven during the preparation and performance of the ysyakh ceremony. There is another version of this myth, in which “two beautiful maidens decided to see Ellei's celebration. They

became so jealous of their sister’s lot, that the elder girl strangled herself and so did the younger, after she uttered, ‘I shall be the deity’s maiden!’” (Historical tales and legends of the Yakuts, 1960).

It is possible that in the past the ysyakh ceremony included essential features of Skythian funeral and commemorative rites, such as drinking kumiss, obligatory meat consumption, and competitions (wrestling, horseracing, archery). It should be highlighted that funeral and commemorative elements in Ysyakh are rather distinctive.

N.B. Dashieva believes that the Buryat main ritual forms go back to funeral and remembrance traditions (Dashieva, 1985).

The “Pattern” dance observes all the elements of the ysyakh ceremony, that is, all the essential components specific to the ysyakh. These components are sports competitions, *osuokhay*, drinking kumiss, eating meat, etc. It was during the Ysyakh celebration when the Yakuts prayed to the presiding deity Yurung Aar Toyon. Just as the ancient Turki, the Yakuts offered their prayers each year at the beginning of summer (Romanova, 1994).

The dance structure and imagery can be divided into three parts.

Part one. A young girl and a young boy meet each other and fall in love. Bitisiits bless the boy and the girl. The symbolic movements of bitisiits convey the blessing and the wishes of long, happy and prosperous life. The dancers surround the girl and the boy, guarding their happiness, and become their “wings”, echoing their love. This episode is accompanied by the directing singer’s song that the dancers join in. The first part of the dance talks about a joyful meeting of the young people, about the anticipation of happiness. This is the part that contains such movements as “*myoc uhum ойуума*” (*tuos uhut oiuuta*) – birch bark vessel ornament, “*чороон uhum ойуума*” (*choron uhut oiuuta*) – kumiss cup ornament, “*тордуйа ункуутэ*” (*torduia unkuute*) – movements imitating the pattern on birch bark vessel called “*torduia*”, and other ornamental movements.



Fig.1. Movements depicting birch vessel patterns.

Part two. Here we see a rendering of a workflow. The bridal gear is being made. Young men make silver jewellery for the bride. Young women make clothes for the bride.

In the second part, the pattern motive is relayed through the movements that imitate work. The movements also remind of patterns that decorate birch bark and wooden vessels.



Fig. 2. Ornamental patterns.

Part three. Everyone rejoices and celebrates the young pair happiness. Yet some motives of funeral and commemoration rite can be still noticed in static hand movements. In general, the cyclically repeating pattern motive of the movements reflects the ornament of birch bark vessels. The pattern that decorated birch bark canvas or sheets — purely ritual attributes, used widely in the past in ritual constructions.

In the third part of the dance the pattern motive persists in such original jumping movements as “*тобук холбоон ойуу*” (tobuk kholboon oiuu) – when pairs of dancers jump raising their knees to the waist level, “*тилэх тэнсиу*” (tilekh tepsii) – heel kicks, “*таналай уктээн ойуу*” (tanalai ukteen oiuu) – leg movements that imitate a pattern observed on a cow palate. This movement represents a ladder that reaches the sky.

Therefore, the pattern motive is woven into all three parts of the “Pattern” dance. In the first part of the dance, the distinctive pattern is mainly created by hand movements. In the second part, the pattern is created with the movements that imitate workflow. In the third part, the pattern motive is less evident, but can still be found, especially in leg movements.

In regards to plot, the “Pattern” dance consists of three parts, as was shown above. Insofar as choreographic imagery is concerned, there are two parts — worldly and ritual, i. e., one part deals with images depicting life events such as lovers’ date, competitive games, ysyakh scenes, work process, while the other reflects ritual meaning through static movements. The “Pattern” dance brings these two layers of imagery together. Still, the movements that depict joy of life dominate in the dance. The set of choreographic images that show the aspects of happy life is richer and more diverse. The idea of a perpetual life prevails, even though the unbreakable connection between life and death, destruction and creation, beginning and end, is apparent in the “Pattern” dance. In general, traditional and ritual Yakut dances have more movements that celebrate life and its bright sides. The quintessence of the “Pattern” dance is the upbeat movements, symbols, gestures and pas that epitomize life.

Each pattern movement has its meaning, each movement can be deciphered. Patterns created with hand movements resemble traditional Yakut ornaments. There is nothing unfamiliar here nor coincidental. It is known that the origins of Yakut ornaments date back centuries, and reflect key concepts of mythic consciousness.

In the past, patterns acted like a talisman, performing protective and purifying functions. The “Pattern” dance choreographic imagery represents all the main motives of Yakut pattern, such as “koguor oiuu”, a lyre-shaped ornament for prosperity and fertility. As a vegetal pattern, “koguor oiuu” stands for buds, shoots, flowers, and revelry of life.

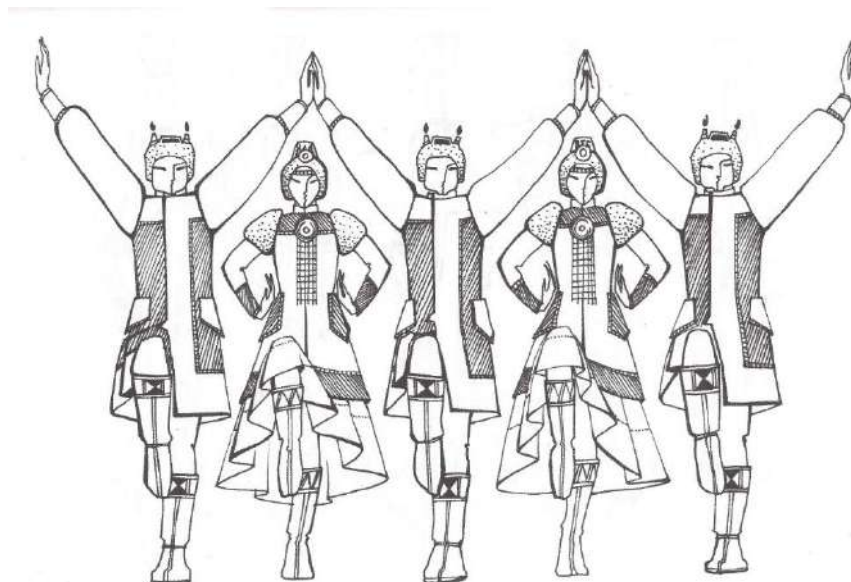


Fig. 3. Fertility ornament.

The patterns created by dancers-bitisiits — “*буор ойуу*” (buor oiuu, or bud-pattern), “*сюрэх ойуу*” (surekh oiuu, or heart-pattern) — are the symbols of life.

The movements of the “Pattern” dance display vitality. Arm position called “*дугалыы ойуу*” (dugalyy oiuu) is an imitation of an arc-shaped pattern which signifies the open sky. Arms raised high and shaping an oval represent the arc of the sky.

The ritual hand movement “*куруо ойуу*” (or fence-pattern) symbolises a fence that protects the living from evil. This pattern movement is a talisman for protection. The dancers make with their hands and arms zigzag, triangular, wave-like and brace-like movements, associated with elements of ancient Yakut ornament which stands for protective forces.

Such symbolic gestures and meaningful pas relay an encrypted message. These pattern movements have a deep semiotic meaning. In fact, each pose, each movement is a thought translated into dance.

The “Pattern” dance is a sort of choreographic sacrifice for the dead girl. It gives the girl her life that she did not get to live through, in a stylised, imaginary form. Instead of a life

that ended prematurely the girl receives the “Pattern” dance with a life-asserting beginning and a happy finale. Thus, she gets a compensation for the cancelled life. Accepting this sacrifice, the girl can no longer remain angry with her lot. This is why the idea of life and optimistic motives are so strongly represented in the dance and why the dancers do not show grief or sorrow. The dance shows all the most important moment in one’s life: the birth of love, marriage, happy existence, rewarding labour, optimistic scenes of the ysyakh ceremony, sports competitions, feast, joy and excitement. The dance movements are exaggeratedly upbeat and elated, with intensive emotions and energy. There is not a moment of sadness in the dance. The performers are in high spirits. Only momentary elements in the patterns that performers draw with their hands, remind of the fate and the story behind the dance origin. Everything about the dance — its composition, style of performance, emotional intensity, movements, face expressions — expresses the triumph of hope. There is much in the dance that celebrates life. It is painted as exuberant and joyful with the episodes of young people meeting and falling in love, of the holiday blessing, competitions and labour. The dancers imitate the acts of making silver jewelry for the bride — they pump the bellows, hammer and file the metal, they sew, spin the thread and twist the rope. They show work. They also show competitive sports which can be seen at the Ysyakh: young men wrestling, stick pulling, along with elements of heroic games.

“Pattern” is one of the most mysterious, perhaps even paradoxical dances reflecting the worldviews and world perception of the ancient Yakuts. Even the hand movements that were cyclical and repeated periodically stood for representation of life events. For example, arm position “*дугалыы ойуу*” (*dugalyy oiuu*), or the arc, symbolises the arc of the sky; palms joined above one’s head “*ураца ойуу*” (*urasa oiuu*), or yurt-pattern) in a triangle represented a birch bark yurt; with bent arms and hands touching the temples, performers displayed cow horns (horn-pattern). There exists another variant of this movement when performers put their fingers to their shoulders. Raised arms and hand with palm facing up represented “*koguor oiuu*”, lyre-shaped pattern depicting vegetation. The dancers moved their hands a zigzag pattern, reminiscent of that put on wooden and birch bark vessels. With arms raised and elbows bent, they evoked the image of a fence. Using various patterns, performers of the “Pattern” dance spoke of happy life. The movement imitating cow horns symbolised wealth. Turkic peoples used curled horns pattern as a sign of wealth and prosperity (Kenzikeev,

2018). The dance using choreographic images talks about a girl called *Ohyop Tyoc* (Ohuor Tuoc) who lived a happy life, with a nice house and uraha (yurt), a loving fiancé, and a big close-knit family, lots of cattle she had grazing behind her fence, so she lived her life without a care under the clear arc of the sky; her house was a wealthy one, with vessels and plates always full of food, and at all times beautiful nature was around her (flowers, trees, grass), so the girl enjoyed her life fully. This praise for happy and trouble-free earthly existence is seen in wonderful ornament-like movements that are associated with the happiest moments of life.

It is no coincidence that the “Pattern” dance combines funeral and remembrance elements with those of *ysyakh* — a new year celebration connected to the idea of renewal, rebirth and creation. It was for good reason that S.A. Zverev in his letter to M.Ya. Zhornitsaka wrote about the “Pattern” dance that it was a dance of the origin of human life (*киһи уоскуурун туһунан ункуу*) (*kihi uoskuurun tuhunan unkuu*) (YNC SO RAN 1949).

One of the major meaning-making gestures in the dance is palms pressed together. A gesture symbolises prayer, concordance, gratitude and peace. It is the centrepiece of all patterns in the “Pattern” dance. A fundamental gesture that gives rise to the variety of ornamental movements. It has a compound meaning.

This gesture represented the love of the udagan for her daughter, the love of groom to his bride, the love for live, and harmony and bliss, unity with nature, respect for other people; in some sense, reconciliation with fate and its acceptance. There is no doubt that it is originally a religious gesture performed when addressing deities. It is a gesture of praying, pleading, forgiving. It is possible that the ancient Sakha people used it during their prayers to *aiyy* deities. It helped to focus attention as it was directed to the Upper world, the world of deities. Concentration, introspection, calmness, reflection, — there are the meanings behind a deeply religious gestures that serves as a core of the “Pattern” dance choreographic imagery.

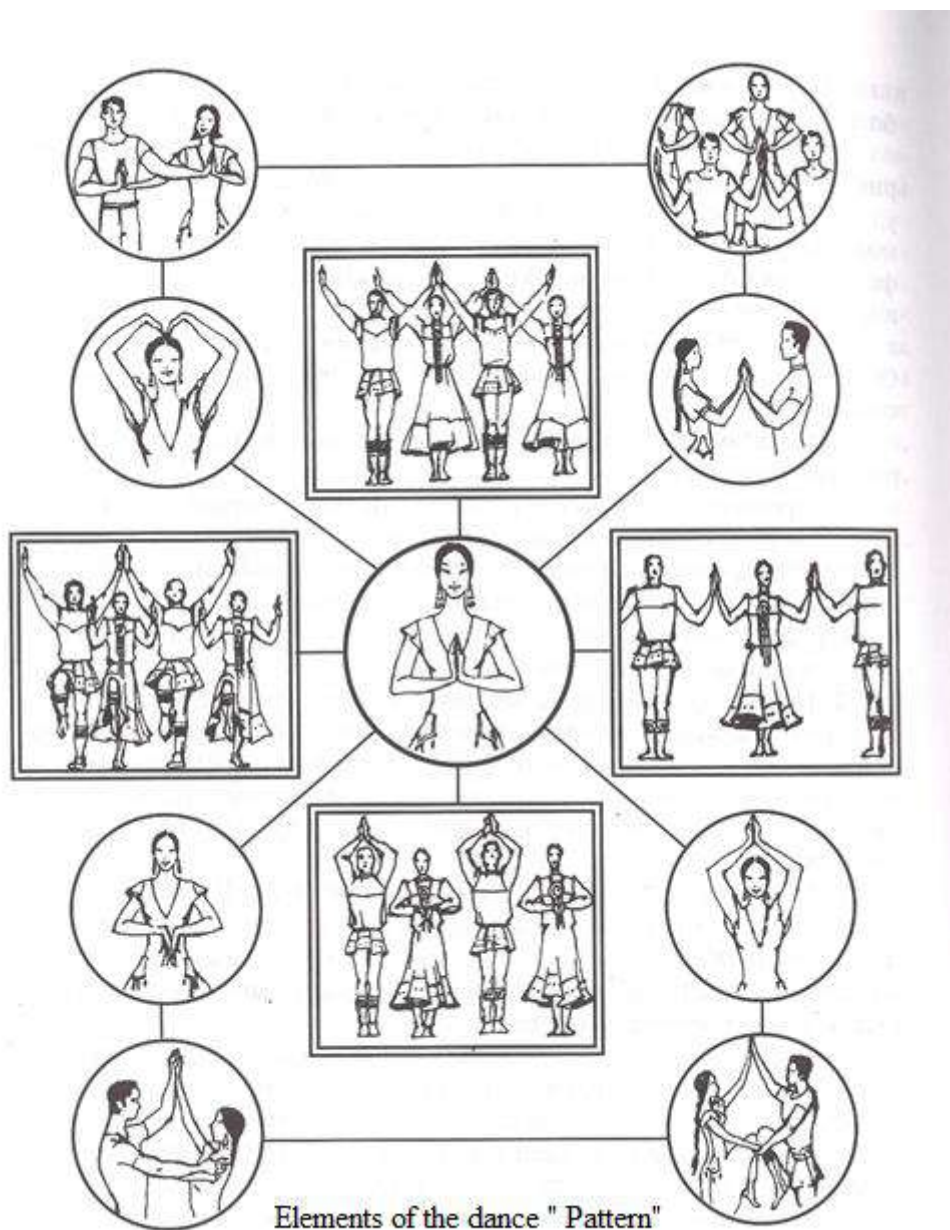


Fig. 4. Blessing gesture.

Traditional Yakut dances have always had a dormant desire to unite dance with prayer. For the Yakuts, dance, or “ункуу” (unkuu) has traditionally meant praying and was a dedication to aiyy deities — “айыыларга аһаммыт” (aiyyylarga anammyt). Such conceptual approach reflects the depth of vision in folk art, innermost thoughts from encrypted and encoded symbols of archaic culture, including dance culture of the world. This level of perception and understanding helped to create certain forms and symbols of ritual choreography, telling about life and death, the three worlds, flight to the Upper world, etc. A performer of a ritual dance would always feel a strong desire to break the barrier

between the three worlds, between sacred and mundane. Traditional Yakut dances are seamlessly included into a religious belief system where kinetic and dance symbols are seen as means of reaching, on a mystic level, a contact with aiyy deities, with *иччи* (ichchi), spirits that guard the barrier. The ancient Yakuts believed it possible to initiate a two-way communication, a dialogue between the dwellers of three worlds.

The prayer gesture is a keynote of the “Pattern” dance.

Once cannot but recall the movement from this dance called “*дугалыы ойуу*” (dugalyy oiuu), the arc of the open sky. The sky for the Yakuts is a place where aiyy-deities dwell.

One of the oldest movements in Yakut ceremonies is “*таналай уктээһин*” (tanalai uktehin), i. e. a step called *таналай* is imprinted with “*таналай ойуу*” (tanalai-oiuu, sky-pattern). Dancers move their leg and feet in such a way that allows them to draw an image resembling a pattern of a cow palate. In Yakut ritual practices, this movement represents a ladder going into the sky. The pattern made by treading the sky imagery represents moving up that ladder. In the “Pattern” dance this leg movement signifies the sky road which takes the soul of the dead girl to heaven. This “tanalai uktehin” movement symbolises the road connecting the sky and the earth. It is not by chance that this movement is performed late in the dance, when the dancers lift the girl’s “kut” — soul — into the sky. This archaic ritual movement affirms the purpose of the dance.

Its reproduction of a sky-pattern objectifies, with the use of activity approach, the sky road on which the souls of the dead ascend (Struchkova, 2005). The “Pattern” dance serves as a means of separating the dead girl’s soul from the living and lifting it up into the sky. This is why, perhaps, the dance is performed in such an upbeat, almost ecstatic tempo that takes everyone higher. The speed of movements is intensified by vertical jumps. It should be noted that identical positions of legs and bodies are pictured on rock paintings at the Lena River and the Olyokma River.

The finale of the dance, where its quintessence becomes evident, is naturally determined. During the finale, the dancers perform the third part of the dance, the fast part of the traditional circle dance *osuokhay* — ascension in the form of “*булуулуу оһуохай*” (buluuluu ohuokhay), or the Vilyuisk *osuokhay*. The jumping part of *osuokhay* is performed — *коту* (kotu), or ascension. The dancers form a circle and quickly move leftwards, sunwise.

This energetic movement performed in a circle contains the idea of how all the dancers work together to help lift the soul of the dead girl. In relation to the plot-depicting actions, at this point “*кут котогуутэ*” (kut kotoguute), or the lifting of the girl’s soul, takes place. With these ritualistic movements, which represent the soul’s departure for the heavens, the “Pattern” dance ends. The above statement indicates that content and meaning of the dance moves are identical to the worldviews of the ancient Turkic people and to their concepts of life and death. As R.I. Bravina writes: “in the ancient Turkic accounts, ‘to die’ is conveyed through ‘to fly away’, ‘to depart’, which can be compared to Yakut sayings “*кута конным*” (kuta kopput) — ‘soul has flown away’, “*кута барда*” (kuta barda, “soul has gone away”, and “*кута аттанна*” (kut attanna), ‘soul has departed’.” (Bravina, 1996).

The ritual dance “Pattern” comes to its logical conclusion in these movements and becomes complete. However, a circle is also a symbol of returning life. The dance idea vision is that the “flying” sun circle of osuokhay dance goes through a ritualistic death towards rebirth. The circle that moves quickly sunwise, in fact, restores life force, brings back life and draws everyone into the circle of life (Lukina, 2020). So, the archaic tragic story of saying goodbye to an untimely deceased young girl when performed as a dance transforms into a celebration of life. This is a unique case in the folk art, when one idea changes into another, more powerful and vital. Through a metamorphosis of consciousness, a ritual dance becomes a way to manifest life despite of death. In this regard, the “Pattern” dance signifies the return of life, of one’s vital force. When human energy unites with cosmic rhythms, quantum leap happens — a return of life. It happens through an understanding of inner dramatic nature pertaining to the connection between life and death, where the force of life prevails over death every time. The ritual dance “Pattern” shows how one for the sake of life can cope with the idea of death.

The dance preserves unique movements emphasizing the idea of life. It is essential that the “Pattern” dance holds a special place in the Yakut dance culture. Traditional dances of the Evens, the Evenks, the Chukchi, the Yukaghirs and other indigenous small-numbered peoples of the North and Northeastern Siberia have no dances analogous to the “Pattern”. The ritual dance “Pattern”, as well as the traditional circle dance osuokhay, date back to ancient Turkic traditions. These two dances, “Pattern” and osuokhay, are related to ancient Turkic commemorative rites and ancestor worship, same as the ancient Yakut ceremony of

ysyakh. The ritual dance “Pattern” belongs to the layer of ancient Turkic worldviews and beliefs. The Yakuts are the northernmost Turkic-speaking population, who have preserved ancient forms of folk art, such as ysyakh, ritual and commemorative rites, and the ritual dance “Pattern”, all of which are connected to the ancient Turkic culture (Lukina, 2019).

Since identical hand movements can be seen in Buryat, Tuvinian and Mongolian dances, it indicates that the “Pattern” dance has clear signs of eastern nature.

The conclusions of the author of the article are confirmed by scientific developments of the first researcher of the traditional dance culture of indigenous peoples of North M.Ya. Zhornitskaya (Zhornitskaya, 1960). The motifs characteristic of the mythological traditional worldview of the Yakuts are consonant with the author of this article and are recorded in the work of scientist N.A. Struchkova (Struchkova, 2008).

Conclusion

The “Pattern” dance is an archaic ritual dance. This is corroborated by the fact that this dance has strong connections to archaic funeral rites.

In this dance, the following functions of the ancient Yakuts’ ritual actions can be clearly observed:

1. Help the dead to reach the afterlife. Recompense the untimely deceased for the life that did not get to live, by the means of a dance.
2. Protect the living from the possible influence of the dead by mollifying them with sacrifices. In this case, the “Pattern” dance is the sacrifice that was given to the dead girl in place of her might-have-been long and happy life.
3. A movement called “*таналай котуу*” (tanalai kotuu) represents a ladder that reaches the sky and the lifting of “kut”, dead person’s soul, into the Upper world. A similar notion exists in fast-paced osuokhay jumps that also symbolise “ascension” or “flight”.

The above statement indicates that content and meaning of the dance moves are identical to the worldviews of the ancient Turkic people and to their concepts of life and death. As R.I. Bravina writes: “in the ancient Turkic accounts, ‘to die’ is conveyed through ‘to fly away’, ‘to depart’, which can be compared to Yakut sayings “*кута коппут*” (kuta kopput) — ‘soul has flown away’, “*кута барда*” (kuta barda, “soul has gone away”, and “*кута аттанна*” (kut attanna), ‘soul has departed’.”

This is exactly what happens in the “Pattern” dance: “*кут котуутэ* (kut kotuute), the raising or lifting the soul of the dead girl by using ritual jumping movements «*таналай уктээн котуу*» (tanalai ukteen kotuu) and «*котуу*» (kotuu) in the final circle osuokhay.

In summary, based on the analysis of the dance structure, significance of dance movements, plastique, content and imagery, the following conclusions can be reached:

1. The origins of the ritual dance “Pattern” go back to spiritual traditions of the ancient Turkic peoples.

2. The ritual dance “Pattern” has strong connections to archaic funeral rites, the most conservative manifestations of views on life and death.

3. The ritual dance called “Pattern” reflects the most archaic meaning of ysyakh ceremony which was tied to the idea of renewal and rebirth, and included essential elements of funeral and commemorative Yakut rites. The old form of ysyakh ceremony dates back to rites of remembrance dedicated to ancestors and it shows features of traditional culture of ancient cattle-breeding peoples, which are connected to the idea of the return of life.

4. Sacred dancers “bitisiits” participated in all major rituals and ceremonies of the Yakuts. They participated in ysyakh ceremony and in remembrance rites that dealt with concepts of life and death and ideas of rebirth and renewal.

5. The ritual dance “Pattern” belongs to the layer of ancient Turkic worldviews and beliefs. This is especially evident in the structure of the ancient Yakut ceremony — ysyakh. The elements of ysyakh are preserved in the ritual dance “Pattern”.

6. The activity dimension of the dance has a ritual action called “*кут котутуу*” (kut kotutuu), i. e. the lifting of the dead person’s soul, which is consistent with ancient Turkic ideas of life and death. Movements such as “*таналай уктээһин*” (tanalai ukteehin) or “*таналай уктээн коту*” (tanalai ukteen kotu) are connected to the ancient Turkic traditions of soul ascension.

7. The “Pattern” dance dates back centuries. This is reflected in the meaning of a crucial ritual gesture — “hands put together”. This prayer gesture is one of the lost elements of archaic choreography related to religious beliefs. The “Pattern” dance, based on an ancient story, develops and enriches this gesture as it combines dance and prayer.

8. The “Pattern” dance reflected numerous essential ideas of life and death that came from the ancient Yakut rituals and traditions. Ritual dances, included into a complex part of ceremonies, acted as independent symbolic units reflecting the concepts of life and death.

9. The quintessence of the “Pattern” dance is the triumph of life. Here the archaic tragic story of saying goodbye to an untimely deceased young girl, performed as a dance, transforms into a celebration of life. The dance metamorphoses the concept of death into the concept of life. Through a metamorphosis of consciousness, a ritual dance becomes a way to manifest life despite of death. The ritual Yakut dance “Pattern” signifies the return of life, of one’s vital force. It is the celebration of life, a choreographic hymn to life.

10. The dance embodies life, but life has in it the idea of fate.

11. Pas and symbolic movements of the dance reflect the idea of eternal life, of the circle of life and constant rebirth.

Because of its connection to elevating a deceased to a venerable ancestor, the “Pattern” dance acquired a certain festive and solemn mood, which explains its energetic and upbeat performance. There is hardly anything paradoxical now in a combination of sadness and joy, of a tragic event and an optimistic start. The idea of life, represented in the dance life, contains the idea of fate. All the movements of the dance along with its composition express the joy of exuberant life; the vivid image of it is present in in the plot and in the particular mood of the performers. Still, sometimes, in cyclical and repeated periodically static hand movements, in geometrically strict patterns one can see the reminders of fate, death and unbeing. They are cold undertones of inevitability, of repeatability of life and death.

However, in the end the “Pattern” dance displays exaggerated vivacity and optimism. The dance serves as a hymn to life performed with choreographic movements. A common thread running through this upbeat dance is an idea of continuing life, of procreation and the circle of life, the main idea of the dance is that life goes on without end,

The peak of the “Pattern” dance is the circle dance *osuokhay*, which can be seen as a dance hymn to life. In general, the ritual dance “Pattern” actualizes key concepts of life and death.

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The images of the russian ballet in the Fine Arts of the late XIX and early XX century

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ABSTRACT

The purpose of the study is to analyze various interpretations of the theme of ballet in the context of creating an artistic image taking into account the specific characteristics of various arts on the factual visual material of the late nineteenth - early twentieth century. Methodology: 1) Search method, which allowed to reveal in museums and private collections, works of art dedicated to ballet of the period under consideration; 2) Historical and tipological method, which helped to group the works according to the thematic principle, to determine the degree of their value in the process of the creative work of the artist; 3) Method of stylistic analysis, which allowed to track the structural changes in the images created, the evolution of the creative method of the artist. Main findings: The nature of pictorial foundations in choreography is explored; the artistic pursuits and the various decisions in the masterpieces of graphics, painting and sculpture, dedicated to the ballet theatre and mostly connected with "The Russian Seasons" by S. Diaghilev; the main iconographic principles, the typology and the interpretation of ballet images are revealed.

KEYWORDS: ballet images; choreography; artistic interpretation; forms of interaction; dance.

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Las imágenes del ballet ruso en las Bellas Artes de finales del siglo XIX y principios del XX

RESUMEN

El propósito del estudio es analizar varias interpretaciones del tema del ballet en el contexto de la creación de una imagen artística teniendo en cuenta las características específicas de varias artes sobre el material visual fáctico de finales del siglo XIX - principios del XX. Metodología: 1) Método de búsqueda, que permitió revelar en museos y colecciones privadas, obras de arte dedicadas al ballet del período considerado; 2) Método histórico y tipológico, que ayudó a agrupar las obras según el principio temático, para determinar el grado de su valor en el proceso de la obra creativa del artista; 3) Método de análisis estilístico, que permitió rastrear los cambios estructurales en las imágenes creadas, la evolución del método creativo del artista. Principales hallazgos: Se explora la naturaleza de los fundamentos pictóricos en la coreografía; las búsquedas artísticas y las diversas decisiones en las obras maestras de la gráfica, la pintura y la escultura, dedicadas al teatro de ballet y en su mayoría conectadas con "Las estaciones rusas" de S. Diaghilev; se revelan los principales principios iconográficos, la tipología y la interpretación de las imágenes de ballet.

PALABRAS CLAVE: imágenes de ballet; coreografía; interpretación artística; formas de interacción; danza.

Introduction

The Problems of choreography, which on the brink of the XIX_XX centuries were always standing apart from the art's great way, now become the subject of the liveliest and the most interested discussions and disputes. The classical dance, which was figuratively named by the ballet critic V. Svetlov as "A Cinderella, who was waiting for her prince in vain, who'd have found her pink satin boot and recognized her as the outstanding one among the equals" (Svetlov, 1911), at the time of the arts' brilliant rise makes it one of the most important factors of the cultural life. The ballet theater turned into a center, most of the creative intelligent people are gathered around and mostly all the head painters were associated with: K.A. Korovin, A.N. Benois, L.S. Bakst, M. Dobuzhinsky, S. Y. Sudeyikin, N. K. Roerich, B. I. Anisfeld. The role of the artist's concept in the play has changed with their appearance. From now, the painter became a choreographer's co-author, who prompted, sometimes dictated the choice of the expressive means to the painter, and, moreover, "interrupted" his plastic thinking. There is a striving for the music's harmonious unity in the ballet performances, in

the dance and visual decisions. When E. Surits was writing about the fact, that in "The Russian Ballet" was seen much more than a choreographic theater, she was right. It became an expression of the new aesthetics, which included the new ballet forms, the new music and new painting; became an "aesthetic system", which has an impact on a wide range of cultural areas" (Surits, 1959). However, in addition to the theatrical and decorative art, whose place is already rather clearly determined by the criticism, at the crossroads of the two phenomena, a number of reforms was carried out by M. Fokin, A. Gorsky, A. Pavlova, T. Karsavin, V. Nijinsky, who has raised the ballet's level to a new quality; on the brink of the century the intensive development of the major fine arts drew the borders of a new, little-researched theme, which was associated with the works of easel character and dedicated to the Russian ballet.

The picturesque canvases, the graphic sheets, the sculptural little figures, depicting the famous ballet dancers give a rich base for thinking over the dance art's subject, despite being scattered throughout the various private art collections, still outside the zone of the close attention. No doubt, the reason for the creating of works dedicated to the ballet was the ballet itself, as the performances lured so much attention to the artists' work, that their theatrical work stopped to be treated like an accidental phenomenon (Pastori, 2017). On the other hand, the artistic creativity was developed in the time of the era's mainstream and naturally reflected its most characteristic processes. On the brink of the century, the artistic life's creative atmosphere itself was distinguished by the breadth of the interests, and the desire to find the new aesthetic criteria of time caused the appearance of such a phenomenon as "ballet". The constant search for the poetic content, which doesn't appear in the surroundings, the artists find in the ballet as in the kind of art, which has a very specific language, as if it was closed in its aesthetic sphere and in fundamental contrary to everything ordinary.

Ideals of the ballet are the harmony and the beauty of the human body, which are expressed in the endless Harlequins and Colombines, in motifs of dance and plastic poses, is a certain cultural and aesthetic rule in the masters' biography of such a significant, but brief artistic period.

The plastic - visual features of the visual arts, which are graphics, painting, sculpture and ballet, determined the boundaries and the possibilities of their interaction, in which the

corporeality and the materiality are expressed most clearly and visibly. The generality of the artist's and the choreographer's creative processes is obvious, which create the visible images of the play and the work of art, although the work of art is created outside the visual view, but the dance is being performed in front of the audience. The desire of artists to communicate with a mass audience actively and their inclination to the creation of a spectacular-saturated image, which can influence the viewer with a special emotionality's measure – all these things allow us to notice a strong closeness between them. The fine arts and the ballet have a lack of words, which is also the common feature of the connection between them; they use the similar expressive means to create an artistic image. The ballet lives in an obvious communication with the painting, the sculpture and the graphics, it experiences their influence and it also influences them. The choreography uses the elements of the fine arts – the color, the plastic sculpture, the lighting effect, and, in their turn, the masters of the fine arts are eager to capture the beauty of the ballet art, because the dance lives only while being performed, but the painting and sculpture can be inherited by the descendants.

To sum up, it was the closeness of the plastic arts that attracted the artists to the ballet, which could interact and enrich each other in the historical context of the time, inspire the hopes for a truly creative co-authorship. It may seem that the artist sets too limited frames and refers to the iconographic material, associated with the dance's fixation and often with the image of an artist, despite the fact that there are a lot of dance's shades, but there is only one the flesh and appearance of the image. Nevertheless, the semantics of the ballet theme in the artistic culture on the brick of the XIX-XX centuries is multifaced, it unites the masters who has the different artistic style, colorful palette, favorite compositional methods of the image building and the approaches to the theme's embodiment.

The searches of the artists in the portrait are mostly connected with the psychological aspect and the study of the ballet artists' personality. The short-term sketch can grasp the instant state of the ballet motion and can interfere into the movement mechanism of the classical dance. The sculptural material, due to its plastic features, can perfectly express the pantomime side of the dance, and the picturesque canvas or watercolor and pastel sheets convey all the beauty, all the festivity of the stage performance and its underside – the everyday life of the ballet. In a huge kaleidoscope of the graphic, pictorial and sculptural

works, one sees not just a creative chaos, but also his own way to interpret the images of the dance.

Therefore, the relevance of the historical and art analysis of the epoch is due to the need to present the overall picture of the development of the ballet theme in the artistic culture of the late XIX - early XX centuries, the reconstruction of the general meaning and content of this heritage as an internally unified belief system that is being formed in the field of interaction of plastic arts. The degree of elaboration and relevance of the topic allows defining the purpose of the article: to analyze various interpretations of the ballet theme in the context of creating an artistic image taking into account the specifics of various arts on the factual visual material of the late XIX - early XX centuries.

1. Review of literature

There are numerous publications on the problem posed. The book by M. Fokin "Against the Current", which has already acquired the status of a monument to choreographer's thought, contains valuable comments on the art of Russian ballet itself. The author masterfully combines a description of his choreographic productions, historical facts and a careful analysis of the changes that have occurred, bringing them into the context of the book (Fokin, 1981). The book of the famous ballerina "Russian Seasons" T. Karsavin also set out in the genre of memories (Karsavin, 2017). Other publications characterize the era of the Silver Age and the activities of the enterprise of S. Dyagilev (Bukina, 2014; Katysheva, 2018; Dolgova, 2017; Järvinen, 2010; Järvinen, 2008; Krasavchenko, 2019; Mildon, 2013; Rabinowitz, 2009), the sphere of artistic design of ballets is casually affected only in some books (Scheyen, 2017; Fedorovsky, 2003; Pritchard and Marsh, 2013; Pritchard, 2009). The "borderline" concepts of art synthesis characteristic of this time are covered in articles by a number of authors (Azizyan, 2006; Butsan, 2012; Kiseeva, 2012). Interesting material can be gathered from publications analyzing individual performances and performance skills of ballet dancers (Charles, 1988; Farfan, 2008; Veroli, 2014). In the specified period, Russian ballet was part of the problem field of world art, occupying a leading place. Art exhibitions were regularly held and Sotheby's catalogs were printed, on the materials of which the visual interpretation of ballet images can be presented, but these works are usually not were the works of Russian artists (Roland, 2010; Sarah, 1990). The ballet images in Russian visual art have not been studied and scientifically developed, art critic literature only occasionally

touches on some of the work of the easel artists on images of ballet, mainly masters, whose work has been studied (Davydova, 2015; Devereux, 1997; Golubev, 2017; Golubev, 2016). However, the ballet image as a subject of independent study even in these editions is not the main one. These works do not cover the whole range of existing graphic material and do not pose scientific problems (iconography, typology, interpretation, dynamics, style correlation), bypassing them with silence or characterizing them superficially.

2. Methods

The methodological basis of this study are:

- search method, which allowed to reveal in museum collections and private collections works of art devoted to the ballet of the period under consideration;
- historical and typological method, which helped to group the works according to the thematic principle, to determine the degree of their value in the process of the artist's creative work;
- method of stylistic analysis, which allowed to trace the structural changes in the created images, the evolution of the creative method of the artist.

3. Results

3.1. The dance as a reflection in the retrospective of the artists "The World of Art"

The motives of the ballet are often found in the paintings of the graphic artists. "The World of Art" is one of the topics where the beauty is an area for the lyrical expression of the artists. The ballet is an ideal art for the embodiment of their artistic concept. It sees something consonant with their joys and sorrows; there are the moments of the complete spiritual rapprochement in it. As if they were afraid of the reality, of its rigidity and its daily routine, the "miriskusniki" tried to escape into the weirdness of the choreographic plot, in its infinity fantastic spaces. In the legends and tales of the romantic ballet, they often found the material for their compositions. In "The Ballet Pastors" and "The Apotheosis" (SRM, RAM) by S. Sudeyikin, in "The Ballets" by K. Somov there is an expression of the essence of one of the romantic trends. An escape from the reality in a world of dreams and fantasies. A.A. Evreinova remembered: "The Pierrots, the Harlequins, the crafty Colombines, depicted ... in a merry dance, almost hypnotically took me away from the unbearable reality ... When I woke

up in the morning, I liked to say hello to my new tenants over the bed - the Sudeyikin's colorful heroes of the Harlequin" (Evreinova, 1956).

The ballet compositions by S. Sudeyikin, which are so reminiscent of the paintings' atmosphere by A. Watto and F. Bushe, are constructed as a stage space on which a dreamy-phantom and dramatized action unfolds, where the characters live like in poems in a bliss of the insanity and disconnection. It is not an accident that the theme of the landscape arises with the images of male and female dancers, living in a full harmony with the surroundings. The nature is as a sensitive tuning fork in the works of the artist which meets the subtlest spiritual movements of a man. However, the landscape of Sudeyikin performs not only a supporting role. The originality of the artist's works is that nature enters them together with the man as the main hero. They complement each other, gravitate toward a certain harmony, and exist as a single valuable picture of the world. The motives of the lake with the floating swans often take place in the ballets, managed by Sudeyikin; they bring a poetic stream into them, they carry out the main theme of the dance's beauty and harmony. The softness in the performance of the figures and the background is provided by the changeable states of the nature (morning or evening) and dissolves the contours in the airy and coldish haze; the pinkish-bluish pastel color gives a matt, slightly faded tone, gives a rise to a sad melancholic mood, a poetic understatement of the images, their desire, which is expressed better in a desolation than in standing out. All the picturesque means chosen by the artist create a slow rhythm of the dance, silently gliding movements of the heroes, which, with a little rustle, exist as if they were on the verge of the reality and the fiction.

"The Russian Ballet" (1930) called "Sylphide" (AMO) by K. Somov - these watercolor sheets, as well as the works by Sudeyikin, are interesting not only with the topic's image, but the artistic world outlook, expressed in them as expressed and formed by the past-time distance. That's why the topic of these works is not the ballet itself, but mostly an emotional memory of it. The dreamily enlightened image of the Sylphide dates us back to engravings of the XIX century, to the images of Taglioni and Istomina, to the romantic direction of that time in the dance. But the fundamental novelty of Somov's works lies in anything else, mostly in a striving to see the ballet plot - not unambiguously, not straightforwardly, but in the unity of the diverse qualities. Here Somov is interested not only by a combination of the fictional and the real, but by the borderline between the reality and the fantasy, that fragile

moment when the dance becomes the reality. The dimness of the quieted hall creates a sense of a mystery, the dance flows under the poetic sound of music. Only for a moment the romantic heroes opened up their destinies for the audience, having the opportunity to live their only life quickly and go into the world of the ordinary prose forever. Somov could show the birth of the ballet performance gracefully, with a number of the direct observations, preserving a sense of mystery and a theatrical magic.

The echoes of the ballet theme in a different, much more subtle and complex refraction can be seen in the “Harlequins”, “the Italian comedies” by A. Benois, “Columbines”, “Harlequins”, “Dames” and “Pieros” by K. Somov, where not a dance itself is shown, but its features, which have their appearance in such a dance. The ability to express a thought plasticly is the thing that distinguishes the ballet artist on stage. So, the works of Somov and Benois reveal the conditional world of the masquerade, convey the artistic expressiveness of the choreography, which consists of the plastic poses, the facial expressions and the gestures. By transferring the organic fusion of these elements in the image of their heroes, the artists persistently search for the ways to discover their most intimate soul depths, as in the forms and the postures of the man, as in the ballet performance, the inner state of the images is revealed.

The other side has the characteristic tendency along with the indirect form of the dance's image on the brink of the century: the theatricalization of the easel painting itself, the introduction of the scenic moments to it. Just as the choreographer deals with the compositional arrangement of the artists on stage, the main performers and the corps de ballet, the artists of "The World of Art" depict the solemn royal walks, the peacefully moving ceremonies of the royal processions, decide the space as a scenic platform bounded by the scenes, and the figures are distributed according to the laws of beauty and harmony.

Another feature which is manifested in such works is attributed to the artists building the multi-figure compositions, as if they were in the spirit of the former searches made by M. Petipa and L. Ivanov. It sounds like nostalgia, like an idealization of everything that has been left behind. They attach the fundamental importance to the structural similarity between the internal organization of a separate stage of the ballet performance and the figurative system of their paintings.

3.2. The sketches of the ballet costumes in the stage design of the dance

Another category of the ballet images' creation can relate to the works which are connected with the ballet performance's work on the design, in which the problem of the costume is solved in a motion and is inseparably connected with the stage image, that's why it touches the topic directly under consideration. The art of L.S. Bakst in this respect is the brightest example. Undoubtedly, Bakst was one of the most consistent artists-innovators of the ballet troupe by S. Diaghilev, in whose images the role of the reformation of the ballet costume is especially noticeable, as one of the most important achievements of the Fokin ballet. The Bakst's costume is always mobile, he accurately conveys the specificity of the ballet art, the basis of which is the movement. His characters are unstable in the clear relief of their poses, in the languishing and in the melodious plastic of an almost physically sensed body, the inviting power of the ballet image is completed. V.Svetlov characterized it as the following: "The pleasure you get from the performance is strong because its beauty does not remain fixed and frozen, but changes and moves every minute. The weaving and unweaving groups of the male and female dancers, the constantly new and changeable contrasts and the rapprochement of the shades formed by their costumes - all this swaying movement, the flow of flowers are combined and settled with the most refined art, precise and at the same time bold" (Svetlov, 1911). It is easy to see that in most of the sketches the characters have a foot only on the one leg: "Harlequin" - the sketch of the ballet's costume "The Carnival" (1910), "The Silver Negro" (MIS), "The Odalisque" (collected abroad), "The Young Indian" (1910, private collection of Paris) - all the costumes' sketches for a ballet "Scheherazade," "St. Sebastian" (1911, AMO), etc. Emphasizing the main gravity of the body on the supporting leg, in the different versions bizarrely bending the other, from which the movement goes on, across the figure, hands and finally the head, the artist allows to understand the whole complex apparatus of the classical dance. His "vertical" costumes are as the exotic plants, starting their movement from the toe of the supporting leg, growing gradually up. There is a sudden feeling that Bakst doesn't compose the ballet costume in his imagination and then puts it on the dancer, but, on the contrary, he sets the task as the outline to capture the character of the dancing figure immediately, and, proceeding from the movement which was slightly rethought by his imagination, he simultaneously thinks over the costume, because his costumes are not partial, do not inspire us with the feeling of a long work on them and cause a feeling of a direct sketch from the nature. Bakst does not use the complicated pictorial

transitions, but works as a local spot, because the transmission of the chiaroscuro heavies stops the movement. The elastic and musical line outlines the figure of Harlequin's costume in the ballet "Carnival" (1910). Throughout the refined, elegant movement, Bakst creates an image of an exquisitely inviting hero. Softly, like an inaudible breeze, smiling at us, standing on the pointe shoes of T. Karsavin's "Bride" -this is the sketch of the costume for the ballet "The Blue God" (1932, SCTM).

With all the ease of the transmitted movement, unlike "Harlequin", the specific shape of the ballerina can be guessed here. For Bakst, it is important not just to develop the look of a costume, it is equally important to create a ballet image of a specific artist in this costume. Another series of Bakst's costumes are suits, the movement of which develops not only one supporting leg, but both, or rather they do not have the support at all, but hang in the air; it is a reception that gives the artist the lightness and the weightlessness of the classical dance. "Kiarina" is the sketch of the costume for the ballet "The Carnival" (1910, SPMA), "The Firebird" is the sketch of the costume for the ballet "The Firebird" (1916, MMA), etc; or the costumes, that find the scope and breadth, when the movement is transferred to them. Their compositional drawing develops the expressive, flight movements, as the most vividly expressing the elements of the very ballet movement, the floating. These are such like: "Echo", "Beotijka", "Two Boetiki" – these are the costumes for the ballet "Narcissus" (1911, SPMA, Lobanov-Rostovsky's Collection, the USA). Let's look at the way Bakst portrays the movement. It's easy to see that his characters dance in a certain kind of the ballet of otherness, as if they feel the charm of the process. The exquisite head tilt, the half-opened eyes, the developing folds of clothes, the flying hair, a wave of hands with the beautifully curved brushes - all this in a true found and delicately sensed movement conveys the pulse of the dance itself, the very atmosphere of the artists' stay in the image. In the costumes of Bakst, it is difficult to catch the certain ballet movements, his dance is rather antique, coming from the school of A. Duncan. This is dictated, of course, by the content of the ballet itself, by the Fokin reforms of the emancipation of the body, but I still think that by its ornamental character, the sheet organization, and the interpretation of the draperies resembling the modernity, the goal of Bakst is to show the human body in some of the most beautiful and whimsical movements. Moreover, such provisions and angles cannot be obtained with the accurate reproduction of the classical ballet, since its poses and positions have rather strict

rules. It can be assumed that Bakst intentionally leaves him to create the sheet of the smooth rhythmic elements. This is largely promoted by developing the surface of the sheet draperies. Twisting on the sheet several times, intertwining the bodies of the dancers, they further strengthen the sense of the flightiness of the dance. Covering the watercolors with a local spot of costumes, Bakst does not use the color in bodies, but he applies hatching to show off more boldly the sculptured and carnal beauty of figures.

Thus, through his inherent stylization, Bakst extracts the inaudible music not only from the composite construction of an elegant figure of the bodies and the draperies, but from the thin watercolor constructions, sounding differently, depending on the nature of these constructions, sometimes subtly tender, sometimes bright and contrasting, in this way transferring the special style and intonation of the Fokin's ballet.

3.3. The ballet as a performance and action in the format of the serial images

The ballet in the works of V. Serov and Z. Serebryakova is a new step in the development of the ballet theme in the fine arts of the late XIX - early XX century. The deep knowledge of the depicted material, the adherence to the principles of the realistic art, the virtuous mastery of the embodiment of the ballet images that distinguish the works of Serov and Serebryakova, all this allow us to consider their searches in the ballet theme separately from the artists who were the members of the World of Art. Although Serov's images appeared in 1906-1910, and Serebryakova's only in the 1920s, many of the members of "miriskusniki" created the ballet works later than Serov, the analysis of the ballet heritage of these masters after the group "miriskusniki" wasn't based on the chronological principles. Serov and Serebryakova not only differ from the masters which were already considered – all the artists are not alike to each other - but they also differ typologically. They do not belong to another time, but their artistic thinking over the ballet image and its creative embodiment is different from the aesthetic principles and the stylistic forms of "miriskusniki." In the works of Serov and Serebryakova, the question of the reflection of the ballet theme in the visual arts is appropriate to be considered with the French artist E. Degas, who was the most consistent and vivid researcher of it. This should not mean that the artist copied or simply borrowed something from Degas like a plot for the compositions, but it is indisputable that his art was studied and known. "Now there is a big exhibition here by Degas, my favorite artist, and I will certainly go" (Serebryakova, 1987) - writes Z. Serebryakova. "The Blue

Ballerinas" (SAM) by Serebryakova force to recall the images of "The Blue Dancers" (SPMA) by Degas, the association with which arises not from the same sound of the names of these works, but primarily on the plastic and color of their decisive method. In the rhythm of the corsage and packs, in the kaleidoscope of the naked spins and hands, illuminated by the bright light, and therefore absorbing all the color reflexes from the environment; in the pure pulsating spots of color from the intensely darkness in the shade and bright, almost bleached in the light, merging one into the whole – with the help of all these – the main emotional sound of the Serebryakova's images and Degas is concentrated.

The ballet theme in the works of Serov artists and sometimes by Serebryakova is developed in the direction of the ballet portrait image. But if the portraits of Serebryakova are represented by the young and, sometimes, not well-known artists of the Petrograd corps-de-ballet or the children in the ballet costumes, Serov created only the portraits of the eminent figures of the Russian choreographic school: A. Pavlova, T. Karsavin, V. Nijinsky, I. Rubinshtein, M. Fokin. The portrait images by Serebryakova depict the costume image, do not differ in the depth of the characteristics; the faces of the models seem to be idealized, but at the same time they retain the portrait features. The elusive and somewhat superficial spirituality in these portraits appears as in a hidden way behind an external theatrical mask, when the underlined turn or the inclination of the head, a flirtatious look here is quite natural, as well as during a concert performance. These cute and adorable models, which Z. Serebryakova often recalled, seem to be like each other, they have the features of the harmonic perfection's single theme of the ballet artist's appearance.

In the images of Serov, the idea of an individual personality, its highest value for the culture acquires the exceptional importance and becomes the starting point in his search. Serov avoids the complicated and detailed compositions, which are not uncommon in the works of "miriskuniki" and Serebryakova. Like L. Bakst (portrait of A. Pavlova in 1908, A. Duncan in 1908, V. Tsukki in 1917) and M. Dobuzhinsky (numerous pencil portraits of T. Karsavin, 1914-1923), he can find and put forward the close-up expressive artistic details in the guise of an artist, but he is the only to know how to remain extremely laconic at the same time. Impressing the artists during the performances of "The Russian Seasons", organized by S. Diaghilev, in the moments between the rehearsals, he doesn't only copy the model, but also creatively reinterprets, seeking in each ballet artist a characteristic and lasting. In his pencil

sketches, there is not even a hint of an image of the scene, but the sensation of where it occurs is; Serov managed to show the externally poetic images so true, as well as the intense atmosphere of the rehearsals, the daily routine of the ballet. Wiping the perspiration from her face, T. Karsavin stopped with a towel in her hand - "The Portrait of T. Karsavin" (1909). And Pavlova froze in a motionless pose, still comprehending her role - "The Portrait of A. Pavlova" (1909, the State Tretyakov Gallery). V. Nizhinsky appeared in the hall, now he will enter the image and the class will begin - "The Portrait of V. Nijinsky (1909-1910, SPTM).

The ballet is the work - this theme sounds in the works of Serov. In this respect, it is close to the images of Degas. But with all the similarity of this aspect, the ballet in Serov's work and the ballet in Degas's works are still different in the ways of reading the ballet theme. Serov painted portraits of the ballet artists, and Degas painted the portraits of the ballet classes, varying in numerous the versions of the exercises at the machine and in the middle of the hall, the rehearsals on stage, which only occasionally turns to the motive of the stage performance. The ballet in the understanding of Serov is expressed through a specific and outstanding image of the ballet artist. The ballet in the work of Degas is developed from the small participants, starting their creative path to the experienced ballerinas. For Degas, the personality of the dancers is not important, even when he depicts a prima ballerina on stage, he does not give her the name. The ballet as a group of female attendants is devoted to the only business - to the dance, when the personal destinies of dancers remain outside the ballet class, outside the stage, finally, outside the attention of the artist. The ballet in First of all, Degas' work is a systematic hard and selfless work, which requires a tremendous strain of the physical strength. Serov's work is spiritual, it is more the work of creative thought over the role, so that the spiritual work will find the expression in the physical beauty of the dance. Unlike Serov, the ballet works of Degas show the work of the ballet movement, sometimes habitual, repeated, memorized by heart, mechanical, not requiring the intensive work of thought, but it is important, because it is a very hard work - this is the feature of this profession. In this respect, the ballet theme of Degas has more similarities with Serebryakova's theme. Her paintings vary and develop one main theme - the everyday life of dancers. Among the features of the ballet theme, Serebryakova includes a new feature - an image of the multi-figured compositions in the interior. In the artists of "The World of Art", these were the paintings-spectacles and the paintings-performances. Serebryakova's theme

of ballet is often solved in the interior of the theatrical lavatories, even for the first time, where the ballet dancers make up and prepare for the exit.

For the first time, Serebryakova, like Degas, gets behind the scenes, opens the door to the creative laboratory, where the ballet images are born, but the artistic image of Serebryakova and Degas dance goes in different ways, although in many works it almost coincides. The numerous dance classes of Degas are a world where there is no applause and colors, a miracle light of a searchlight, but there is a hall salty from the spilled sweat, a monotonous, black-and-white picture of the daily training. Serebryakova's ballet lavatories are also a workshop with the daily, habitual preparatory work to the performance, but the emotional mood of the artist's works anticipates a feeling of the celebration and beauty. The ballet is the work, this is the accent in the works of the both artists, but in Degas's works the ballet is an ugly routine, and in Serebryakova's ballet it is a poetic routine. In work, even if not as tense and complex as in the hall near the machine tool, but also necessary and important, they reveal their valuable qualities, receive the highest satisfaction of the Serebryakova's heroine. On the vertical and the horizontal formats: "The ballet lavatory. The snowflakes. The Nutcracker ballet" (1923, the Russian Museum), "The ballerinas in the restroom. The ballet "Paquita" (1922, collected by I. S. Zilberstein), "In the ballet restroom. The ballet "Fairy dolls", 1922, SCTM), "Girls - Sylphs. The ballet "Chopiniana" (collected by S.N. Serebryakov), etc., capturing the hours of preparation before going on stage, having the figures of only dressed and ready-made ballerinas employed in the first act, the artist seems to enjoy, drawing mentally the process of depicting the flexible ballet body in the finished image of the beauty and harmony.

The interest in the ballet theme on the brink of the century is not limited only to the work of the artists who were the members of "The World of Art", Serov and Serebryakova. The exhibitions, often organized by S. Diaghilev, were literally filled with works of the unknown artists dedicated to the Russian ballet. Here you can say the names: S. Sorin, M. Detoma, A. Mac and many others. It was an era that left behind a great spiritual legacy. The dancers and the choreographers: A. Pavlova, V. Nizhinsky, M. Fokin also created the works dedicated to the ballet in sculpture, graphics and painting. Their work in this area can be equated to the work of the professional artists. From this point of view, they prove to be of a

fundamental interest, since their authors look at the problems of the ballet with their own eyes and through the other art.

3.4. The ballet in sculptural interpretation and category of plasticity

The ballet at the end of the XIX century - the beginning of the XX century has found the most vivid embodiment not only in the painting and graphics, but also in the sculptural plastic, because it has its own, special, only inherent capabilities that distinguish its language from the language of the other fine arts. It contains the huge resources for developing the ideas for the ballet image. Of all the theatrical arts, the ballet is the closest to the sculpture, because the means of the artistic expressiveness both in ballet and in sculpture is the plastic beginning. The plastic category is the original category of both arts. It provides an opportunity to view the turn, the incline of the figures, the rhythm of the movement, talking to the viewer exclusively with the language of the plastic of the human body, always expressive and spiritual. Plastic is inexhaustible, it can be deepened indefinitely, it contains a continuous vibration of the movement of forms, lines, volumes. Through the movement in the ballet and in the sculpture, the mental state of the model is revealed, it mainly becomes a means of recreating the spiritual atmosphere of the artistic image.

O. Roden in his article "The Renaissance of The Dance" said: "From the plastics' point of view, there is something to learn from these artists and draw from their art a lesson of grace" (Roden, 1912). In addition, the sculpture and ballet have a remarkable ability to capture the beauty of the movement in a voluminous and, therefore, in a particularly clear and convincing form. If you look at the creative heritage of the masters, you can say with a certainty that the sculptural works that captured the dance were solved with an understanding of the possibilities inherent in this art form. Just as in the painting, there are several genre lines in the sculpture treating the ballet theme. This are the portrait images, and the image of the figure in the growth at the time of the dance, and the imprint of the artist during the rest. In the terms of the spiritual interpretation of the ballet image, the emotionally-romantic direction is especially interesting. Like for "miriskusniki", for sculptors it was an uncharted world of poetry, in which the dance seemed to approach its natural language due to its embodiment in the material and received a sense of reality almost to the touch. The images of the romantic ballet in sculpture also became a favorite theme for the

embodiment, because they are endowed with fantasy, mystic moods, the ability to transform into the rank of a wonderful idea by nature.

The ballet images of P. Trubetskoi, M. Vrubel, S. Erzya (Nefedov) may not be the most ambitious in their heritage, but they reveal many of the ideological and creative features of the artists, their inner thought' sound. One can trace a certain similarity between the figurative principles of the works of these artists. They coincide in the main motives of creativity, in the interpretation of the ballet theme there is a combination of the fictional and the real. In the sculpture "The Dancer. Fantasy" (SRM), Vrubel was interested in the difficult turn of the head of a fantastic dancer at the moment of dancing. The quivering brush strokes are felt on the surface of the sculpture, the plaster itself prompts the movement of the masses, the appearance of the image. He seems to be born from the elements of the material and acquires a refined, beautiful form. The sculptural material plays an important role here and allows us to talk about the equal importance of both visual and tactile sensations. In the works of Trubetskoi: "A. Pavlova" (collected abroad), "The Dancer" (SCTM), "The Dancer" (RAM), the comprehension of the image of the dance goes not so much through the image as through the dynamics of the technique, the intonation, the style of modeling. Behind the texture of the material, the movement of the stack sees the inner mood, the perception of the world, the work of the artist's thought. Contemplation of dance, like the movements of ballet pas, generates an instant state in the sensitive soul of Vrubel and Trubetskoi, which they are trying to show. The impressionist stylistics creates the subtle nuances of the movements of the ballet, as if not finished, being in their transitional hypostasis, halted at half-expression. Thus, the image of A. Pavlova in the work of Trubetskoi seems to live in a kind of dream, floating along the current, instinctively choosing movements where there is no need to make efforts to fulfill them, exists as a dream, a dream that quickly escapes the shadow, magically captivating and unattainable. The indirect movements of the sculptural forms in the "Dancer" of Vrubel form an endless stream of the magical-mystical dance. Even more unexpected are the ballet sculptures made of wood by S. Erzya. They stand out against the background of the above works, they are distinguished by an unconventional creative vision, defined by a philosophical artistic approach to the theme of dance. His "Ballerinas" are painted in the romantic tones and in this they are similar to the images of Vrubel and Trubetskoi.

However, unlike the improvisational movements of their dancers, the Erzya ballerinas demonstrate a certain movement, it is always the final point of the movement, its conclusion or beginning. Representing the ballet dancers A.Pavlova, M.Kseshinskaya in a pose called arabesque, Trubetskoi gives them a certain erasure: this is not arabesques, but a half-arabesque, as if a moment's reflection, while Erzya's "Ballerina" of 1930 (MRAM) presents an extremely clear scheme, a clear silhouette of this posture, its duration and completeness. The static category of the sculpture and the dynamic form of dance are combined in the synthetic structure of the plastic image reflecting the corporeality associated with the "sensation of the movement" or the perception of the information through the movement.

You can refer to a few names of sculptors and many their sculptural works. However, within the limits of our article, we do not have the opportunity for a detailed analysis of the problems of a selected topic containing the large and complicated questions and will confine ourselves to what has been said.

Conclusion

Having made a brief excursion into the history of the ballet in the fine arts, we can build a typology of artistic images that was formed at the turn of the XIX - XX centuries, get an idea of the masters and to some extent recreate the picture of the development of the topic, delineate the broad boundaries of the searches, and to reveal the problems that worried artists and were solved by them while they were working on them. There were the works before us, which were created primarily by the decorators to the works of the masters who worked directly on the ballet theme, from the dance motives to the ballet images depicting the outstanding masters of the Russian choreography, from the sketches of the artists "The World of Art", who anticipated the ballet as a theme in the visual arts to the actual ballet images in sculpture, which immortalized him. The fleeting moments, stopped by the artists, preserve for us the perennial images of Russian choreography, thus prolonging their "scenic" life. The multicomponent structure of synthesis determines the difference in the flow of thought and activity within the forms of interaction between the plastic arts. A deep essential analysis of the master's pictorial, graphic and sculptural works made it possible to reach the level of stylistic generalizations, which is a significant step in the theoretical study and understanding of the creative heritage of the masters who turned to capturing Russian ballet. The special perspectives of the material studies allowed us to consider the artistic

achievements not only in the traditional art criterion, but also in a multidimensional cultural field, an advanced picture of the spiritual interaction of artists and choreographers of one epoch.

The analytical work carried out allows us to conclude that in the Russian art of the late XIX-early XX centuries, there are the following trends in the image of dance:

- The appearance of the first one is due to the new idea of dance, which is relevant for the Silver Age, as the embodiment of harmony, aesthetics of the perception of the world by artists of the "World of Art", Ballet imagery is organically interwoven into the poetic fabric of graphics and painting, forming a new type of synthetic artwork that combines the techniques of fine and ballet art;

- The second trend acts as a realistic interpretation of ballet images, directly a full-scale image of it. Portrait images that occupy a large place in this group of works convey the nuances of the psychological and artistic image;

- The third aspect associated with the embodiment of sculptural fixation of the dance allows us to show its volume-tectonic structure. The dynamics of ballet with its implied theatrical expressiveness of gestures and movements often found a response in the works of masters who sought to convey a sense of its plastic equivalence with the help of sculptural materials and techniques.

In my study, I tried to show that the analysis of many works of art of the turn of the XIX-XX centuries without "connecting" the figurative system of an adjacent art form leads to the impoverishment of their internal content. The numerous works identified and collected together from the funds of museums and private collections, some of which are presented in this article, demonstrate a single figurative theme that develops into a diverse picture of creative aspirations, methods and technologies, which allowed it to maintain a leading position at the turn of the century. The main provisions of our research can be used in the process of art history and cultural studies of both fine and ballet art in a single space of the Silver Age era, and can also be included as auxiliary material in the educational course of students of creative specialties.

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RESEÑA

González Pazos, Jesús (2020). *Medios de comunicación: ¿Al servicio de quién?* Buenos Aires: CLACSO.

Edwin Roger Esteban Rivera *

Los Estados democráticos habitualmente tienen tres poderes: Ejecutivo, Legislativo y Judicial, que al menos en plano teórico, cada uno de ellos mantiene independencia, pero al mismo tiempo, se combina una supervisión entre un poder y otro. Paralelo a estos poderes, ya desde el siglo XVIII, existe una forma de control y supervisión ciudadana hacia los tres poderes formales que, con el transcurrir de los siglos “cedió ese poder” a los medios de comunicación. Pero, según el planteamiento de Jesús González Pazos, autor de *Medios de comunicación: ¿Al servicio de quién?*, no solo se tiene el cuarto poder, sino un quinto que se mantiene oculto, el denominado poder económico, capaz de tener el control sobre los cuatro poderes anteriores en un régimen neoliberal.

El libro está estructurado en tres capítulos. En el primer capítulo: *Consideraciones previas*, González analiza los medios de comunicación masiva y sostiene que en todo el planeta, aunque con matices, estos se concentran cada vez en menos manos, que siempre pertenecen a las élites masculinas, económicas y financieras, al que denomina oligopolio mediático. Para esta aseveración parte del supuesto según el cual, en el neoliberalismo (como modelo económico, político y social) todo tiende a privatizarse, hasta la misma vida.

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El autor cuestiona la libertad de expresión en un modelo económico neoliberal, argumentando que el Estado no regula los formatos de los medios de comunicación masiva: deja a que sea regulado por el propio mercado; es decir, se deja en libertad a los televidentes, oyentes o lectores a que en cualquier momento puedan decidir no seguir con tal o cual medio o programa. Todo es considerado como mercancía, sometido a las leyes del mercado. Sin embargo, “la comunicación, la información que se provee a la ciudadanía, no puede ser considerada como un simple hecho mercantil sino, al contrario, debería entenderse como un bien social, esencial para la convivencia y el desarrollo de la democracia en cualquier sociedad” (p. 17).

González es enfático en manifestar que los usuarios tienen pocas posibilidades de elegir porque la mayoría de los medios de comunicación en el mundo están concentrados en pocas manos. En América Latina, los dominadores del panorama mediático son: Televisa (México), Globo (Brasil), Clarín (Argentina) y el Grupo Cisneros (Venezuela).

González es muy crítico con los medios de comunicación en los modelos neoliberales, pero no es crítico con los medios de comunicación en los modelos autodenominados de “izquierda”, como el caso de Venezuela, que expropiaron y sometieron a los medios de comunicación a los fines de “su revolución”. Como se recuerda, el Grupo Cisneros propietario de Venevisión financió la campaña de Hugo Chávez en las elecciones de 1998; años más tarde, Gustavo Cisneros (presidente de Venevisión) y Chávez tuvieron fricciones, pero terminaron realizando un pacto de coexistencia y no agresión en 2004.

En el segundo capítulo: *Los grupos de comunicación dominantes*, el autor afirma que los medios de comunicación siempre estuvieron bajo el control de clases dominantes y el acceso a la información no siempre fue posible para las clases desposeídas. Si antes no todos podían adquirir un diario en formato escrito, hoy no todos pueden acceder a la compra de un televisor, mucho menos contar con los servicios de la televisión por cable o CATV (*Community Antenna Television*). Ni qué decir del acceso al internet, la pandemia de la COVID-19 hizo visible las brechas digitales existentes en el mundo, a la par que un grueso sector de la población no cuenta con el presupuesto para sufragar los gastos de estos servicios; muchos centros poblados rurales y urbanos marginales no cuentan con el servicio de internet. Además, “los intereses de campesinado, obreros, mujeres... nunca se veían reflejados en los medios de comunicación, salvo como meros actores de sucesos y casi nunca como sujetos políticos de los mismos” (p. 34). Muestra evidencias para argumentar que esta realidad no solo se da en

América Latina, sino también en Europa y en nuestro planeta en general. En estas circunstancias, expresa el autor, es difícil encontrar líneas editoriales que cuestionen el sistema neoliberal o el libre mercado.

Finalmente, en el tercer capítulo: *Hay otra comunicación posible*, se aborda la desinformación, hegemonía y fascismo como consecuencia de que los medios de comunicación masiva pertenecen a un reducido grupo de inversionistas. El autor sostiene: “La información que hoy se maneja llega, en la inmensa mayoría de las situaciones, filtrada, orientada, utilizada o tergiversada desde aquellas fuentes que hoy son controladas por cada vez menos grupos mediáticos” (p. 97), puesto que quienes tienen el control sobre los medios de comunicación establecen las líneas editoriales en base a sus intereses políticos y económicos.

Para contrarrestar el control sobre los medios de comunicación, González resalta el surgimiento de la comunicación alternativa, donde miles de organizaciones sociales a través de las redes sociales, realizan “contrapublicidad, creando y difundiendo vídeo social, impulsando el software libre, escribiendo en periódicos propios o incluso haciendo programas de televisión que visibilizan sus realidades, sus expectativas de vida, su riqueza cultural, sus demandas para una sociedad más justa y verdaderamente democrática” (p. 103).

Si bien el texto analiza la propiedad sobre los medios de comunicación en América Latina y el Mundo, así como las características de los medios de comunicación en un régimen neoliberal, González trata con mucha delicadeza a los líderes que él denomina “gobiernos progresistas”, tales como: Hugo Chávez, Nicolás Maduro, Rafael Correa, Lula da Silva, Nestor Kichner y Cristina Fernández, Evo Morales, Fernando Lugo, Manuel Zelaya, José Múgica, donde más de uno condicionó y expropió medios de comunicación para someterlos a sus intereses políticos, económicos y sociales.

Por consiguiente, nos encontramos ante un libro que devela el rol que cumplen los medios de comunicación en regímenes neoliberales, quedando pendiente investigar el rol que cumplen los medios de comunicación en países controlados por gobiernos de “izquierda” o “revolucionarios”. Las praxis de estos gobiernos, al menos en América Latina, son tan cuestionados desde la autodenominación de gobiernos “revolucionarios”, “socialistas”, como cuestionado es el proceso de enquistamiento en el poder estatal y en el control absoluto que ejercen sobre los medios de comunicación.

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La REVISTA DE LA UNIVERSIDAD DEL ZULIA es un órgano científico de difusión de trabajos parciales o definitivos de investigadores y/o equipos de investigación nacionales y extranjeros. Su naturaleza es multidisciplinaria e interdisciplinaria, por ello su temática se divide en tres grandes ejes: a. *ciencias sociales y arte*; b. *ciencias del agro, ingeniería y tecnología*; c. *ciencias exactas, naturales y de la salud*. Su publicación es cuatrimestral. Cada número, de los tres del año, se corresponde con uno de los tres ejes temáticos. La *Revista de la Universidad del Zulia*, por su carácter histórico y patrimonial, está adscrita a la CÁTEDRA LIBRE HISTORIA DE LA UNIVERSIDAD DEL ZULIA.

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existente. Al recibirse la respuesta del Comité de Árbitros designado se informará a los autores por correo electrónico la decisión correspondiente; en caso de ser aceptado el trabajo deberá remitirse por correo electrónico la versión digital del mismo.

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Los trabajos deben presentar un resumen de 150 palabras como máximo y hasta cinco palabras claves; tanto el resumen como las palabras claves estarán en español e inglés. Igualmente el título y el subtítulo del trabajo serán presentados también en español e inglés. La extensión máxima del trabajo será de veinte (20) páginas, y diez (10) como extensión mínima (salvo excepciones plenamente justificadas). Todos los trabajos serán presentados en hoja tipo carta, impresos por una sola cara, con numeración continua y con márgenes de tres (3) centímetros a cada lado. El texto se presentará a espacio y medio, en fuente Times New Roman, tamaño 12.

4. Cuerpo del artículo

Se dividirá en Introducción, Desarrollo y Conclusiones (o Consideraciones Finales, según sea el caso). La introducción incluirá el propósito u objetivo general perseguido. El Desarrollo se organizará en secciones y subsecciones debidamente identificadas con subtítulos numerados completamente en arábigos de acuerdo al sistema decimal, respondiendo a una sucesión continua y utilizando un punto para separar los niveles de división. La Introducción y Conclusión están exceptuadas de esta numeración. Las fechas y horas se expresarán numéricamente. En caso de existir ilustraciones (gráficos, mapas, fotos) debe hacerse referencia a los mismos en el texto. Estas ilustraciones serán contadas dentro de la extensión máxima del artículo. Las notas explicativas o aclaratorias deben reducirse al mínimo necesario y colocarse al pie de páginas debidamente señalizadas. Los materiales complementarios se recogerán en anexos, los cuales se identificarán con una letra y un título y se colocarán después de la bibliografía. Los anexos serán contados también dentro de la extensión máxima del artículo.

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seguido de “et al”, ejemplo: (Rincón *et al.*, 2008: 45). Deben evitarse, en lo posible, citas de trabajos no publicados o en imprenta, también referencias a comunicaciones y documentos privados de difusión limitada, a no ser que sea estrictamente necesario. En caso de fuentes documentales, electrónicas u otras que por su naturaleza resulten inviábiles o complejas para la adopción del citado autor-fecha, sugerido en estas normas, puede recurrirse u optarse por el citado al pie de página.

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Las referencias (bibliográficas, hemerográficas, orales y/o documentales) se presentarán al final del texto, según lo establecido en el *Reglamento para la presentación de trabajos en la Universidad del Zulia*. El orden de las referencias es alfabético por apellido. Las diferentes obras de un mismo autor se organizarán cronológicamente, en orden ascendente, y si son dos obras o más de un mismo autor y año, se mantendrá el estricto orden alfabético por título.

Fecha de evaluación _____

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I.- Criterios formales o de presentación

CRITERIOS DE EVALUACIÓN	EXCELENTE	MUY BUENO	BUENO	REGULAR	DEFICIENTE OBSERVACIONES
Originalidad, pertinencia y adecuada extensión del título					
Claridad y coherencia del discurso					
Adecuada elaboración del resumen					
Contiene abstract y palabras claves					
Objetivo, metodología y resultados.					
Organización interna del texto					

II. - Criterios de contenido

CRITERIOS DE EVALUACIÓN	EXCELENTE	MUY BUENO	BUENO	REGULAR	DEFICIENTE OBSERVACIONES
Dominio de conocimiento evidenciado					
Rigurosidad científica					
Fundamentación teórica y metodológica					
Actualidad y relevancia de las fuentes consultadas					
Aportes al conocimiento existente					

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