

Recent Trends in Arts and Social Studies

Vol. 8

Edited by Dr. Ridzwan Che Rus



B P International

Recent Trends in Arts and Social Studies

Vol. 8

Recent Trends in Arts and Social Studies

Vol. 8

India ■ United Kingdom



B P International

Editor(s)

Dr. Ridzwan Che Rus

Associate Professor, Faculty of Technical and Vocational, Sultan Idris Education University, Malaysia.

Email: ridzwan@ftv.upsi.edu.my;

FIRST EDITION 2023

ISBN 978-81-19761-50-0 (Print)

ISBN 978-81-19761-87-6 (eBook)

DOI: 10.9734/bpi/rtass/v8



© Copyright (2023): Author(s). The licensee is the publisher (B P International).

Peer-Review Policy: Double blind peer-review policy has been followed for review. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

Contents

About The Editor	i
Preface	ii
Chapter 1 The Involvement of Father in Child Development: A Theoretical Research Progress Yongmei Hou	1-18
Chapter 2 The Development Related Role of Pottery Production in the Ankole Region in Western Uganda: A Case Study William K. Kayamba and Philip Kwesiga	19-39
Chapter 3 Condoms Breakage and Slip off: Risk Factors for HIV Infections Amongst Individuals Keeping Multiple Sexual Relationships in Tiv Land, North Central Nigeria Godwin Aondohemba Timiun	40-50
Chapter 4 The Chinese Teachings of Self-Cultivation to Form a Moral Being Wen Ma, Yaqin Zhu, Chunli Li, Bo Zhang and Xin Tian	51-61
Chapter 5 Analysis of the Indicators of Household Food Insecurity in Frances Baard District Municipality of South Africa Gothatamang Norman Jonathan Shushu, Victor Mbulaheni Mmbengwa, Jan Willem Swanepoel and Benjamin Manasoe	62-85
Chapter 6 Complicity, Contributing Actions, and Moral Taint Gregory Mellema	86-96
Chapter 7 British Colonialism in Kenya during 1895 to 1965: It's Implications on the African Family Stability in Embu North Sub-County Lizza Nkirote Kaaria and Caroline Kithinji	97-110
Chapter 8 The Isobematic Language in the Work Asas by Christopher Bochmann Gonçalo André Dias Pescada	111-130

Chapter 9 131-145

The Media and the “Construction” of “Mental Maps”: The Relationship with the Individual, Institutional and Disciplinary Homogenization among University graduates in the Light of a Systemic Theory

Miriam Aparicio

Chapter 10 146-159

Understanding the Experiences of and Challenges Faced by LGBT+ Employees at Workplaces in India: Embracing Diversity and Inclusion

Abhay Mane

ABOUT THE EDITOR



Dr. Ridzwan Che Rus (Associate Professor)

Faculty of Technical and Vocational, Sultan Idris Education University, Malaysia.

Email: ridzwan@ftv.upsi.edu.my

He has pursued his Bachelor of Education (Agricultural Science) at Universiti Putra Malaysia (UPM) in 2003 and obtained a Master's degree in Technical and Vocational and in 2014. He obtained his Ph.D. from the National University of Malaysia (UKM). He is currently an Associate Professor at the Technical and Vocational Faculty (FTV), Universiti Pendidikan Sultan Idris (UPSI), Malaysia. He has served with UPSI since November 2006 and is an academic with more than 14 years of teaching experience in the field of TVET. He has been invited as a keynote speaker at several international seminars including World TVET Conference 2015 in Sarawak, Well Being Asia Program Nagoya University in 2017, International Conference on TVET in 2018 and TVET Connex 2018 during The 9th Worlddidac Asia, EDUtech Asia 2019 in Singapore, various international and local webinars throughout the 2020-2021 pandemic and the latest EDUtech Malaysia 2022. His best achievements so far are being awarded as the Best Professor in TVET (Educational Leadership) in 2018 by the Malaysian Institute of Human Resource Management and 251 Fabulous Global Education Leaders 2019 by the World Education Congress 2019. In addition, he was also appointed as a Guest Lecturer for several university (local and international) and at Nagoya University in 2017 as a Visiting Professor.

PREFACE

This book covers key areas of arts and social studies. The contributions by the authors include child rearing, father involvement, emotional attachment, child's mental health, theory of attachment, urban divorce demography, responsibility of childcare, psychological development, pottery production, refractory products, earthenware, condoms breakage, condoms slip off, consistent usage of condoms, transmission of HIV, sexual intercourse, morality, trustworthiness, household food insecurity, dietary energy, coping strategies index, resource allocation, geographic targeting, collective responsibility, moral taint, amalgamation, european colonialism, economic domination, heterogeneous material practices, christopher bochmann, isobematic music, musical motivation, mental maps, homogenization, systemic theory, manipulation, behavioral geography, spiral of silence, discrimination, LGBT+ community, homosexuality, LGBTQIA+ community. This book contains various materials suitable for students, researchers and academicians in the field of arts and social studies.

The Involvement of Father in Child Development: A Theoretical Research Progress

Yongmei Hou ^{a*}

DOI: 10.9734/bpi/rtass/v8/10884F

ABSTRACT

Background: In recent years, with the development of social economy, the problem of father's participation in parenting in family education has become increasingly prominent, which is mainly manifested in the following aspects: father's participation in children's parenting is less time, father's participation in parenting styles tends to be more "introverted", and father's absence in parenting affects children's development. There has been a lot of research in the academic community on the reasons for this issue, but a consensus has not been reached: some scholars analyze objective factors and believe that it is due to the influence of the traditional concept of "male dominated outside, female dominated inside", and in the real environment, high work pressure, employment in other places, divorce and separation, etc., which leads to fathers being unable to raise children. Other scholars analyze subjective factors, and think the main reason is that fathers lack awareness of raising children and professional parenting knowledge. Scholars have varying opinions on strategies to increase father participation: some advocate establishing a comprehensive mechanism for ensuring access to education in different regions at the societal level; some people suggest legislating from a legal and policy perspective to provide fathers with sufficient leave to accompany their children; some people believe that attention should be paid to cultivating parents' awareness of participating in raising children; some people point out the need to abandon the constraints of traditional thinking at the family level, learn professional parenting knowledge through multiple channels, communicate well at the school level, provide assistance for fathers to raise children, and carry out various forms of activities to encourage fathers to participate. In summary, it can be seen that "father involvement" is a concept with rich content and complex structure, and its connotation has strong cultural dependence.

Methods and Content: This paper uses the document retrieval method to systematically sort out the theoretical research literature on father's involvement

^a Department of Psychology, School of Humanities and Administration, Guangdong Medical University, Dongguan, Guangdong, China.

*Corresponding author: E-mail: 2184456621@qq.com;

at home and abroad, comprehensively introduce the concept, practical significance and theoretical basis of father's involvement, describe nine theories about its content structure, present the differences of opinion, analyze the current research situation and existing problems, and point out the development direction of the research.

Conclusion: Father's involvement is a complex social problem, which involves not only pedagogy and psychology, but also sociology, philosophy, management, medicine, sports kinematics and other disciplines. We need to carry out cross disciplinary research from multiple fields and perspectives, strengthen experimental and follow-up research with large samples and multiple centers, and deeply explore the connotation, composition, influencing factors, and mechanism of father's involvement, in order to correctly understand the essence of "father's involvement" and reasonably guide its development.

Keywords: Child rearing; father involvement; dimension; influence factor.

1. INTRODUCTION

The establishment of bonding between mother and child is a physical and psychological need of babies, which provides comfort and protection. Thus, the mother is considered the safe haven for the establishment of the first emotional attachments of the child, which will reflect on all future social relations [1]. The quality of the bond between mother and baby exerts direct influence on the child's mental health. Therefore, this relationship should be warm, intimate, continuous, and affectionate, providing pleasure and comfort for both. However, the attachment of parents to their children is not instantaneous and instinctive. According to Bowlby's Theory of Attachment, from prenatal life until old age, humans have a biological need to form strong emotional relationships in order to survive as a species. These emotional exchanges with parents during childhood are crucial for instilling comfort, safety, affection, and love. They are improved and altered as people enter adolescence and maturity, and new relationships with significant persons are formed [2]. The academic world has long been concerned with how mothers affect their offspring, but has often overlooked how dads contribute to their development. Fathers are simply or mostly seen as a requirement for biological reproduction, and they have little bearing on how newborns and early children develop socially and emotionally. The idea that fathers "fail to raise children well" and lack "maternal instincts" is common [2]. In the 1980s, father's involvement gradually gained attention. Objectively speaking, as more and more mothers join the workforce, the economic pressure on fathers is shared, and mothers' parenting time and energy are significantly reduced; The rise of the urban divorce demography has led to the separation of mother and son, which cannot play the role of mothers, and the implementation of the policy of multiple children has led to increased difficulties in mother care, forcing fathers to assume or share the responsibility of childcare. At the same time, a large number of farmers have come to cities to work, making more and more rural children unable to live with their fathers, and the lack of father's role has caused various unique social problems. From a subjective perspective, the transformation of parenting concepts requires fathers to gradually evolve from

their traditional role as simple caregivers to multiple roles such as playmates, guides, and helpers for young children, and participate in specific parenting activities [3]. The above changes have led to attaching importance to the role of fathers, and father's involvement is increasingly valued. This article aims to summarize relevant research on the role of father's involvement, focusing on elaborating on the concepts, connotation dimension division, theoretical basis and practical significance, measurement methods and tools, as well as research trends, providing reference for future research.

2. THE CONCEPT OF FATHER'S INVOLVEMENT

Paternal /father's involvement, also known as "father's involvement in parenting" or "father's investment in parenting", refers to the father's cognitive, emotional, and behavioral involvement in the child's physical and psychological development process [2].

3.THE PRACTICAL SIGNIFICANCE OF FATHER'S INVOLVEMENT

The role of fathers is irreplaceable by other male roles [2]. Children benefit from their fathers'unique styles and the investment of male power [2].

3.1 Contributing to the Development of Children's Knowledge Seeking and Cognitive Abilities

The Father's Role Theory believes that the most basic role of fathers in the growth of children is as a playmate, and the main parenting behavior is to play with children. Fathers play more with their children through tactileand physical movements, providing strong physical stimulation and promoting their physical development. According to statistics, fathers account for 70% of such activities, while mothers only account for 4%. Fathers are more likely than mothers to encourage children to compete, be independent, and take risks. More involvement of fathers in parenting activities can enhance children's cognitive skills, achievement motivation, and confidence in their own abilities and operations. Previous studies have shown that for early childhood, fathers' emotional engagement, emotional connections with their children, and social and economic resources provided to children are closely related to their physical and mental health, cognitive, and social development. It is precisely because of the personality and intellectual characteristics of fathers, the openness of their communication with children, and the uniqueness of their activity methods that children who often interact with fathers can obtain more knowledge, experience, imagination, and creative consciousness, which is conducive to stimulating children's curiosity, self-confidence, and various interests and hobbies [4].

3.2 Contributing to the Development of Social Abilities

The importance of father's is more likely to lie in its differences from mothers', rather than in the cloning of mothers' role. Fathers can enable their children to develop both mentally and physically, and play an important role in the social,

emotional, and intellectual development of their children, prompting them to cope with the world outside of the mother-child relationship. As a result, children develop a complex set of interpersonal and emotional and communication skills. Fathers can also encourage children to be independent from the family, especially helping teenagers develop self-discipline. Torres et al. (2014) found that the longer fathers participate in outdoor activities for young children, the higher the abilities of children. Flouri et al (2016) found that the involvement of fathers at the age of 5 years old significantly negatively predicted peer interaction problems in young children at the age of seven years old.

3.3 Contributing to Gendered Development

In the process of gender transformation in children, fathers play a more important role than mothers, and mothers cannot replace them. There are more significant differences in the attitude and behavior of fathers towards their sons and daughters than those of mothers. Fathers provide boys with a basic male behavioral pattern, leading them to often view their fathers as models of their development. It can be said that the qualities and behavioral habits of fathers are reflected in their sons, and for girls, certain qualities of fathers are references for them in future life. Girls often see their fathers as partners of the opposite sex, and girls' dependence and love towards their father are often stronger than those of boys [5].

4. THE THEORETICAL BASIS OF FATHER'S INVOLVEMENT

4.1 Social Reciprocity Theory

Social reciprocity is a term often associated with social interaction and attachment theory, referring to the two-way interaction between adults and children [6]. Social Reciprocity Theory holds that any interpersonal interaction is based on communication, which occurs at both linguistic and nonverbal levels. Positive interaction shows obvious reciprocity, that is, everyone's words or actions will be responded accordingly. For example, a 'socially capable child' has a positive response to parental care, which triggers further positive reactions from caregivers, thereby establishing positive parent-child interaction. On the contrary, children who react slowly or have "no social ability" may cause discomfort among parents, forming a negative interaction pattern between parents and children [7]. Given the important role of parent-child interaction in children's development, Social Reciprocity Theory advocates establishing positive communication between parents and children, and promoting behaviors such as smiling, playing, imitating, and speaking through intervention, helping parents understand and respond to their children, and improving the quality of life of the families [8].

4.2 Attachment Theory

Attachment Theory is a theory that originated in the 1920s and 1930s and focuses on the relationship between children and caregivers. Bowlby John is an important representative figure. Bowlby explains attachment as an emotional

bond established with unique and preferred individuals who are stronger and smarter than somebody [1]. Attachment is the most important social relationship in children's early life, laying the psychological foundation for their future development, and directly affecting the formation of children's emotions, social behavior, personality traits, and basic attitudes towards interpersonal communication. If children can receive timely attention from their parents in the early stages and their needs can be met in a timely manner, a safe attachment will develop between parents and children. On the contrary, when parents cannot be a source of comfort for their children, or when children feel irresistible fear due to parents' emotional withdrawal and confusing behavior, chaotic attachment will follow. The construction and function of father-child attachment are different from those of mother-child attachment, and have a unique contribution to the development of infants and young children [9-10]. First, in terms of construction methods, the interaction between fathers and young children in games is more stimulating and unpredictable, and fathers are more supportive of young children's adventurous and exploratory behaviors. Therefore, young children can also build a safe attachment with their fathers [11]. Second, although mother-child attachment has a greater impact on children's positive self-awareness, father-child attachment can more accurately predict children's behavioral problems [12]. In addition, the father-child attachment of infants and young children at 12 and 18 months may affect their peer relationships at the age of 5. Infants and young children who have safe father-child attachment in the early stages tend to experience less negative emotions and better peer relationships in the later stages [13].

4.3 Family System Theory

Family System Theory originated in the 1950s to 1960s and was proposed by American psychiatrist Murray Bowen. This theory suggests that any change in family members will affect all members of the family. Correspondingly, the family as a whole can also have an impact on individuals [14]. Therefore, to understand certain phenomena in children's growth, it is necessary to place them in the family system and consider the impact of all family members on children [15]. High levels of parental stress may have a ripple effect on all relationships in a family [16]. If parents are in a state of long-term depression and anxiety, their negative emotions will also be transmitted to children, thereby affecting the functioning of the family. In order to enable the family to better function, fathers should maintain a positive and optimistic attitude towards their children, master the correct educational methods, and establish positive relationships with other family members.

5. THE CONNOTATIVE STRUCTURE OF FATHER'S INVOLVEMENT

5.1 Lamb's Three-dimensional Theory

The earliest model to clearly illustrate the connotation structure of father's involvement was Lamb's model [17], which divided father's involvement into three dimensions: engagement, accessibility, and responsibility. Engagement refers to taking direct care of children, mainly in terms of interaction

with them (that is to say, feeding, playing with children, tutoring children in learning, etc.); Accessibility refers to availability, which refers to the ability to receive timely care and assistance from fathers when a child encounters difficulties and needs support, but the father may not have direct contact with the child; Responsibilities include caring for the happiness and health of children, and taking on responsibilities related to their upbringing, even if there is no contact with the child, such as buying clothes, finding a doctor or nanny for children. Lamb's three-dimensional model is the foundation for studying parenting issues, but it did not explore further other forms of father involvement. Hawkins et al. [18] and Palkovitz [19] argue that an excessive reliance on the concept of Lamb has led to the prevalence of a one-dimensional view over the past 25 years, and research on father's rearing has treated father's involvement in conceptualization and operationalization as temporary and observable events. However, father's involvement has a multidimensional structure that includes emotional, cognitive, moral components, observable behaviors, and indirect forms of participation, such as providing financial support, and supporting the mother.

5.2 Pleck's Five-dimensional Model

Pleck [20] revised Lamb's three-dimensional model and summarized father's involvement into five dimensions: (1) active participation, which refers to activities that require father's active involvement and promote child development; (2) warmth and responsiveness, namely the warmth provided by fathers to children and their response to children's needs, are the basis for father's involvement. (3) control, including monitoring children's activities and participating in decision-making. (4) indirect care, namely the participation in work related to child-rearing without direct interaction, such as father's indirect support for material and social aspects of children, purchasing and arranging goods/services for them, and managing children's social relationships. (5) process responsibility, belonging to a type of "meta-participation", which refers to the conscious self-monitoring of the father on the above four dimensions. This model focuses more on the quality of father-child interaction, rather than simply focuses on the time spent by fathers on children [21].

5.3 Palkovitz's 15-Type Theory

Palkovitz [19] proposed 15 types of father's involvement: communication, teaching, supervision, ideological aspects, operating specific tasks, taking care by himself, nurturing, sharing interesting things, approaching, planning, joint activities, providing resources, love, protection, and emotional support. Palkovitz further expanded and refined the dimensions of father involvement on the basis of Lamb, emphasizing the multi-dimensional nature of father involvement and highlighting the cognitive and emotional factors which happened to be not covered by Lamb's model.

5.4 Doherty's Theory of Co-participation

Doherty et al. [22] emphasized that the key factor for father's involvement is to participate with mother in upbringing of the child. Even if the parents are not married, the father needs to assist mother in raising the child together. Some important ways for father's involvement may be indirectly achieved, as the economic support provided by fathers, the quality of relationship between father and mother, and father's support for mother are all crucial for the healthy development of children. Based on Levine's and Pitt's research, Doherty defines responsible father's involvement as following: When a child's mother becomes pregnant, the father recognizes and accepts his child, and recognizes his fatherhood; From the beginning of pregnancy, father and mother share the financial support for their child, and participate with mother in providing emotional and material support to the child.

5.5 Bruce and Fox's Four-component Theory

Bruce and Fox [23] described four basic components of father's involvement: executive function (such as decision-making, setting rules, supervising and guiding, arranging household chores, and developing activity plans), social/emotional function (such as direct social interaction, entertainment activities, exchanging ideas and viewpoints, physical emotional expression, comfort, praise and encouragement), daily care functions (such as supervision and assistance, bathing, dressing, feeding, making the bed for children, and taking care of sick children), educational functions (such as supervision and assistance in completing homework, teaching children reading and listening, teaching basic social skills, disciplinary limitations, serving as children's counselors, providing intellectual and cultural stimulation, religious or moral training).

5.6 Seven-type Work Theory

Dollahite et al. [24] proposed seven types of father's work, reflecting changes in human conditions and the needs of children: ethical work (that is to say, meeting children's safety needs), waiter work (that is to say, meeting children's needs for resources and a favorable environment), developmental work (that is to say, meeting children's needs for attention and adjustment), entertainment work (that is to say, meeting children's needs for rest and development of various abilities), spiritual work (that is to say, meeting children's needs for encouragement and value realization), family work (that is to say, meeting children's needs for intimacy and empathy) Guiding work (that is to say, satisfying children's needs for wisdom and support). These seven types of responsibilities represent the ideal state of father's involvement in family education, highlighting the moral value essence.

5.7 Amato's "Pentagram" Theory

Amato [25] proposed the "pentagram" model of fatherhood, and believed that the importance of indirect participation should be taken into account, emphasizing

the impact of father's involvement and the lack of father's involvement on children. He believed that fathers had indirect impacts on children's healthy development through the following ways: human capital (that is to say, promoting children's success or providing skill demonstration for children's success), economic capital (that is to say, providing resources to support children's health, safety, growth, and success), social capital (that is to say, providing favorable surroundings and relationships for children, such as parent-child relationships).

5.8 Nine-dimensional Theory

Hawkins et al. [18] divided father's involvement into 9 dimensions, namely: providing financial support, supporting the mother of child, cultivating a sense of responsibility, encouraging academic achievement, providing praise and emotional support, communicating or chatting with the child, paying attention to the child's daily life, reading to the child, and encouraging the child to develop talents. These topics cover cognitive, emotional, moral, and direct and indirect ways of involvement, more extensive and profound than before.

In short, father's involvement cannot be seen as just a linear, temporary, and observable phenomenon, but rather as a rich, multifaceted, and multidimensional process that requires a lot of work and deeper understanding and measurement. On the other hand, scholars have different definitions of the dimensions of father's involvement, including the quantity, connotation, and relationship of dimensions. This is not only related to the complexity and abstractness of father's involvement, but also to the research interests of scholars, and is more constrained by their research methods: most of them use observation and speculation, rather than quantitative methods such as factor analysis.

6. THE MEASUREMENT METHODS OF FATHER'S INVOLVEMENT

There are the following 5 methods like father's self-reporting, mother's reporting, child's reporting, observation records or time diary of parent-child interaction [26,27].

6.1 Self-reporting

In this method, fathers are usually required to report on their frequency of participating in various parental activities, including bathing, feeding, and playing with children. Due to its simplicity, speed, ease of management, and low cost, the self-reporting has become the most commonly used measurement method for father's involvement. For example, in the research on the relationship between the frequency of parent-child literacy teaching and children's reading ability, Xiao et al. [28] asked fathers to independently report the frequency of their literacy teaching (that is to say, reading, recognizing and writing Chinese characters) to assess their involvement. Baker [29] evaluated the impact of father's involvement on the cognitive and social emotional development of early childhood boys by examining the frequency of father's self-reporting on warm interaction with children, as well as the frequency of control, discipline, and participation in three

types of family learning activities for young children. However, due to factors such as social expectations, subjective biases, or failure to list father's rearing activities to the fullest, self-reporting may overestimate or underestimate father's involvement [30].

6.2 Mother's Reporting

Mother's reporting assesses father's involvement by mother's reporting on her perception of father's involvement. Research has shown that there is a difference in the level of involvement between mother's reporting and self-reporting [31]. Mothers often report lower level of father's involvement than self-reporting. Mothers may have a negative view of fathers due to conflicts with fathers, or they may not present in real-time to observe interaction between fathers and children [30].

6.3 Children's Reporting

That means children report on father's participation in their upbringing, which eliminates the deviation in self-reporting or mother's reporting. However, it usually requires children to have the ability to express themselves clearly and is not suitable for younger children. For example, in the "Questionnaire on Adolescent Evaluation of Parental Education Engagement Behavior", subjects are primary, middle, and high school students [32].

6.4 Observation of Parent-Child Interaction

By observing and recording the process of parent-child interaction, the evaluation score is based on the quantity and quality of observed father's behavior [33]. This method is limited by time, location, and equipment, and requires a lot of manpower and material.

6.5 Time Diary

Time diary refers to father's recording in the form of a diary on the time spent on activities related to mother or child, such as feeding or playing. It is generally divided into two types: diary on weekdays and non-weekdays, mostly from midnight on the target day to midnight on the next day. During this period, fathers are required to record or narrate their activities in detail (every 15 or 30 minutes), reducing memory and social expectation bias. Compared with questionnaire surveys, the method of time logging is time-consuming, laborious, and costly [26].

7. COMMON QUESTIONNAIRES AND SCALES

The questionnaires and scales can be divided into two categories: single dimensional and multi-dimensional comprehensive measurement. Applicable subjects can be healthy children and children with chronic diseases, including infants, young children, or adolescents, and content involves daily care,

involvement in activities, assistance to families, and one or more aspects of healthcare.

7.1 Single Dimensional Measurement

This kind of tools are only evaluated a certain aspect of father's involvement, such as targeting father's involvement in children's literacy teaching, warm interaction with children [30], infant care, participation and contribution to children's chronic diseases, and children health management. Due to only focusing on a certain aspect of father's involvement, which is easy to operate, but neglecting the universality of concept of father's involvement, it is not applicable for evaluating the universal significance of father's involvement.

7.1.1 Father Caretaking Inventory, FCI

FCI was developed by Nurgent et al. [34] in 1991 to measure the father's involvement in caring for infants under 1 year old. FCI includes 10 items in 6 aspects: accompanying sleep, caring for the body, humming nursery rhymes, accompanying play, feeding, and soothing. A 5-level scoring is used, with values from 1 to 5 representing "never" to "always". The dimensional internal consistency coefficient ranges from 0.92 to 0.96. In 2021, it was introduced into China by Sun J et al. [35] and pointed out that the father's involvement of infants under age of 3 months in China is relatively low. However, the author did not evaluate the reliability and validity of this scale. Whether it is suitable for Chinese fathers remains to be verified.

7.1.2 Dads' Active Disease Support Scale, DADS

Developed by Wysocki [36], DADS has 24 items which aims to assess father's involvement by self-reporting or mother's reporting in six chronic pediatric diseases including asthma, cystic fibrosis, type I diabetes, phenylketonuria, inflammatory bowel disease or spina bifida. The 5-level Likert scoring is used to assess the frequency of fathers' involvement and the extent to which fathers' involvement make it more difficult or easier for families to cope with the disease. Through testing 224 couples (with children aged 2-18), regarding the participation, the internal consistency coefficient of the mother's version is between 0.86 and 0.96, while that of the father's version is between 0.84 and 0.95; regarding the assistance in enabling families to cope with the disease, the internal consistency coefficient of the mother's version is between 0.91 and 0.96, while that of the father's version is between 0.90 and 0.94 [37]. DADS is suitable for measuring the father's involvement in children's disease management, and the impact of father's involvement on disease outcomes and parenting pressure [38].

7.1.3 Father Involvement in Health-Preschool, FIH-PS

FIH-PS is developed [39] to measure the father's involvement in health maintenance for preschool children (i.e. 3-5 years old). A total of 20 items is divided into four subscales, namely acute disease, general health, emotional

health, and role model. The internal consistency reliability of the total scale is 0.953.

7.2 Multidimensional Measurement

Most multidimensional measurements are based on Lamb or Pleck's model. Due to factors such as differences of father's involvement content at children's different stages, authors' focus, characteristics of children of different age, and socio-culture, different tools have been developed.

7.2.1 Inventory of Father Involvement, IFI

IFI is prepared by Hawkins et al. [18] to measure fathers' involvement in children's behavior, cognition, emotion and morality education, which is applicable to various family structure. There are two versions of IFI: long and short version. The long version has 35 entries, but the short version with 26 entries is more commonly used. The 26 entries are divided into 9 dimensions: providing financial support, supporting children's mother, disciplining and cultivating a sense of responsibility, encouraging academic achievement, giving praise and emotional support, communicating or chatting with children, paying attention to children's daily life, teaching children to read, and encouraging children to develop their talents. A 7-level rating of 0 (very poor) to 6 (very good) indicates that the higher the score, the more involvement of the father's involvement. Hawkins et al. found that the reliability and validity of the short version are better than those of the long version [2]. In 2012, IFI was introduced into China and tested the fathers of 871 children (8-15 years old) [40]. It was found that the internal consistency reliability of the entire scale was 0.95, the retest reliability was 0.84, and the internal consistency reliability of each subscale was 0.74-0.91.

7.2.2 Father's Parenting Investment Questionnaire, FPIQ

FPIQ was developed by Wu et al. [27]. The author modified Lamb's three factor model and selected fathers of Chinese children aged 3-18 for testing. 324 questionnaires were used for project analysis, 1022 questionnaires for confirmatory factor analysis and internal consistency coefficient calculation, and 211 questionnaires for retesting reliability and criterion validity analysis. The final version is composed of 56 projects divided into three dimensions of interaction, accessibility, and accountability, as well as 12 sub-dimensions. The Likert 5-level scoring is used to score 1 to 5 points corresponding to "never" and "always". The internal consistency coefficients of the entire questionnaire and three dimensions are above 0.82, and the retest reliability coefficients are above 0.66.

7.2.3 Adolescence Revision of Parental Involvement Behavior Questionnaire-Father Version, ARPIBQ-FV

Revised by Wu et al. [32], ARPIBQ-FV has a total of 22 items divided into 4 dimensions, namely emotion and leisure, discipline and reprimand, schoolwork support and childcare. The Likert 5-level scoring is adopted, and the higher the

score, the higher the frequency of this behavior. The internal consistency and retest reliability coefficient of each dimension are all above 0.70.

7.2.4 Paternal Involvement with Infants Scale, PIWIS

PIWIS was developed [41] to measure the father's involvement in infant rearing. It consists of 35 items divided into 5 subscales, namely warmth and tuning, control and process responsibility, setbacks, indirect care, and active participation. The higher the total score, the higher the father's involvement. The 7-point rating is adopted, with 1 point being "never" and 7 points being "more than once a day". The internal consistency of each subscale is 0.78-0.96. PIWIS was later applied [42] to evaluate the involvement of Latino fathers, and the internal consistency reliability coefficients of 5 subscales are all greater than 0.78. PIWIS is aimed at fathers who live with mothers and children, and is used to evaluate the impact of father's involvement on breastfeeding [42] and the parenting pressure of mothers [43].

In summary, the academic community has developed a series of tools for assessing the father's involvement for different populations and research content, such as fathers of infants, young children, preschool children, adolescents, etc. Considering the different ways or forms of father's involvement in different stages of children, corresponding tools have been developed. At the same time, in terms of measurement content, suitable tools can be developed for different involvement methods and research focuses of fathers of healthy and sick children. However, most scales only evaluate the level rather than the quality of father's involvement. In addition, most of the tools are developed by foreign scholars, and there are only tools for young children and above in China. Due to the significant impact of geographical and cultural backgrounds on the content and form of father's involvement, there is an urgent need to study localized concepts and tools for children of different ages.

8. TRENDS AND REFLECTIONS ON RESEARCH

8.1 Research Trends

8.1.1 Integration

At present, research on father's involvement not only focuses on the integration of home-based fathers, but are more and more realizing the importance of studying non home-based fathers. Moreover, researchers are not only focusing on the father as an independent individual, but also studying the father's integration from a holistic and systematic perspective, placing father in the entire family, or examining father's integration from the relationship between father and mother. For example, researchers have found a significant correlation between father involvement and mother's depression in broken families [44]; in divorced families, there is a significant positive correlation between the relationship between father and his ex-wife and father's involvement [45], suggesting that a more friendly relationship between father and his ex-wife after divorce is more conducive to

father's involvement. It can be seen that holistic study is more conducive to a comprehensive understanding of the impact of father's involvement.

8.1.2 Refinement

Relevant research is becoming more and more in-depth and detailed, which is reflected in the multi perspective examination of father's involvement. For example, a study [46] examined father's involvement in the special case of father being imprisoned. On the other hand, it is reflected in the impact of father's involvement on certain specific aspects of children's development. For example, Horne [47] examined the impact of father's involvement on the commitment, sexuality, and pregnancy concepts in children's romantic relationships from the perspective of father absence.

8.1.3 Trends in cross-cultural studies

The role of father's involvement is increasingly valued, but relevant research is more prevalent in the West than in the East, with more white people than people of color. Due to different cultural backgrounds, father's involvement of different races varies. Therefore, there are an increasing number of cross-cultural and racial studies on father's involvement. For example, some scholars have begun to study the impact of father's involvement on the health of mothers and children in African families [48], and found Muslim fathers in Malaysia have a unique understanding of father's involvement, believing that economic supply, moral education, prayer, recitation of the Quran, and fasting with children are their religious duties and tasks entrusted by the gods. China and other Eastern countries are also increasing the breadth and depth of research on father's involvement based on their respective cultural characteristics, in order to obtain more empirical research results, provide theoretical basis for guiding father's involvement in their own countries, and conduct cross-cultural comparative studies with Western research to learn from each other.

8.2 Prospects for Research

Although many researchers have conducted theoretical and empirical research on father's involvement since the 1980s, there are still many areas that need improvement. First, in terms of research methods, multiple and dynamic research methods should be used to conduct multidimensional and multi-level analysis of the quality and effectiveness of father's involvement, and longitudinal research should be used to examine the predictive role of early father's involvement in the later development of children. Second, the theories of father's involvement are still immature. For example, Lamb proposed his "Important Father Theory" for the "Essential Father Theory", believing that the role of father may not be necessary, but it is very important. It can be seen that each theory has certain limitations in elucidating and explaining the internal mechanism of father's involvement.

Although there are still some shortcomings in guiding theories and methods, the important role of father's involvement is a consistent result of many studies.

However, when examining the impact of father's involvement on children's development, several points should be noted: first, father's involvement can affect certain developmental outcomes of children, but similarly, certain developmental outcomes of children can also in turn affect father's involvement. Second, a more situational approach should be adopted. Therefore, future research should pay more attention to the fact that the positive effects of father's involvement may only occur in special situations. Furthermore, the effect of father's involvement on children is not only through direct interaction between fathers and children, but also through indirect channels.

9. CONCLUSION

In summary, father involvement is an important topic in multiple disciplines such as sociology, psychology, education, and medicine, which is increasingly attracting academic attention. The related research is becoming more extensive and in-depth, and the fruit industry is becoming increasingly rich. However, due to the strong cultural dependence of father involvement and the limitation of research methods to theoretical analysis, previous studies have not yet reached a unified consensus on the connotation, structure, measurement methods, and intervention pathways of father involvement. In the future, we need to vigorously carry out large-scale, multi center, interdisciplinary, and cross-cultural quantitative research to clarify the relevant issues of father involvement from an empirical perspective.

COMPETING INTERESTS

Author has declared that no competing interests exist.

REFERENCES

1. Bowlby J. Attachment theory and its therapeutic implications. *Adolescent Psychiatry [J]*. 1978;6:5–33.
2. Torres N, Verissimo M, Monteiro L, et al. Domains of father involvement, social competence and problem behavior in preschool children[J]. *Journal of Family Studies*. 2014;20(3):188-203.
3. Flouri E, Midouhas E, Narayanan MK. The relationship between father involvement and child problem behaviour in intact families: A 7-year cross lagged study[J]. *Journal of Abnormal Child Psychology*. 2016;44(5):1011-1021.
4. Jeynes WH. A Meta-analysis: The relationship between father involvement and student academic achievement[J]. *Urban Education*. 2015;50(4):387-423.
5. Bussey K, Bandura A. Social cognitive theory of gender development and differentiation[J]. *Psychological Review*. 1999;106(4):676-713.
6. Papoudi D, Jrgensen, CR, Guldborg K, et al. Perceptions, experiences, and needs of parents of culturally and linguistically diverse children with autism: A scoping review[J]. *Review Journal of Autism & Developmental Disorders*. 2021(1):210-238.

7. Goldberg S. Social competence in infancy: A model of parent-infant interaction[J]. *Merrill Palmer Quarterly*. 1977;(3):163-177.
8. Calhoun ML, Roseb TL, Hanftc B, et al. Social reciprocity interventions: Implications for developmental therapists[J]. *Physical and Occupational Therapy in Pediatrics*. 2009;(3):45-56.
9. Xing XW, Wu XC, Hou JF, et al. The influence of father's role attitude on their educational investment: The regulating effect of mother's attitude types[J]. *Psychological Development and Education*. 2014;30(4):387-395.
10. Brown GL, Cox MJ. Pleasure in parenting and father-child attachment security[J]. *Attachment & Human Development*. 2020;22(1):51–65.
11. Fernandes C, Monteiro L, Santos AJ. Early father-child and mother-child attachment relationships: Contributions to preschoolers' social competence[J]. *Attachment & Human Development*. 2020;22(6):687–704.
12. Boldt LJ, Kochanska G, Yoon JE, et al. Children's attachment to both parents from toddlerage to middle childhood: Links to adaptive and maladaptive outcomes[J]. *Attachment & Human Development*. 2014;16:211-229.
13. Li XW, Wei XY. The current situation of father's involvement and its relationship with young children's social abilities - The mediating role of mother's parenting efficacy[J]. *Journal of Beijing Normal University (Social Sciences Edition)*. 2017;(5):49-58.
14. Haefner J. An application of Bowen's Family Systems Theory[J]. *Issues in Mental Health Nursing*. 2014;(11):835-841.
15. Zhang Y. The progress and inspiration of promoting father's involvement in child rearing in the United States[D]. Qufu: Qufu Normal University; 2020.
16. Ma YY, Zhou Q, Xing SF. Family rearing environment and children's development: The differential susceptibility hypothesis[J]. *Advances in Psychological Science*. 2015;23(11):1931- 1941.
17. Lamb ME. The fathers' role: Applied perspectives[M]. New York: Wiley; 1986.
18. Hawkins AJ, Bradford K, Palkovitz R, et al. The inventory of father's involvement: A pilot study of a new measure of father's involvement[J]. *Journal of Men's studies*. 2002;10(2):183-196.
19. Palkovitz R. Reconstructing "involvement": Expanding conceptualizations of men's caring in contemporary families, Hawkins AJ & Dollahite DC. (Eds.), *Generative fathering: Beyond deficit perspectives*[M], Thousand Oaks, CA: Sage; 1997.
20. Pleck JH. Integrating involvement in parenting research[J]. *Parent-SciPract*. 2012;12(2-3):243-253.
21. Schoppe Sullivan SJ, Fagan J. The evolution of fathering research in the 21st century: Persistent challenges, new direction[J]. *J Marriage Fam*. 2020;82(1):175-197.
22. Doherty WJ, Kouneski EF, Erickson MF. Responsible fathering: An overview and conceptual framework[J]. *Journal of Marriage and the Family*. 1998;(2):277-292.

23. Bruce Carol, Fox G Litton. Accounting for patterns of father involvement: Age of child, father-child coresidence, and father roles salience[J]. *Sociological Inquiry*. 1999(1):63-81.
24. Dollahite DC, Hawinks AJ, Brotherson H. Generative fathoming: Beyond deficit perspectives[M]. Thousand Oaks CA: Sage; 1997.
25. Amato PR. More than money? Men's contributions to their children's lives[M]. In A. Booth & J Dunn (Eds); 1998.
26. Rollè L, Gullotta G, Trombetta T. Father involvement and cognitive development in early and middle childhood: A systematic review[J]. *Front Psychol*. 2019;10:2405.
27. Wu XC, Liu C, Hu YR, et al. Development and reliability and validity testing of Father's Parenting Investment Questionnaire[J]. *Chinese Journal of clinical psychology*. 2015;23(4):576-579.
28. Xiao N, Che Y, Zhang X, et al. Father – child literacy teaching activities as a unique predictor of Chinese preschool children's word reading skill[J]. *Infant Child Dev*. 2020;29(4):e2183.
29. Baker CE. Father-son relationships in ethnically diverse families: Links to boys' cognitive and social emotional development in preschool[J]. *Journal of Child Family Study*. 2017;26(8):2335-2345.
30. Charles P, Spielfogel I, Gorman-Smith D. Disagreement in parental reports of father involvement [J]. *J Fam Issues*. 2018;39(2):328-351.
31. Terui T, Yoshida K, Sasaki M, et al. The association between fathers' self-assessment of their own parenting and mothers' recognition of paternal support: A municipal-based cross –sectional study[J]. *Journal of Epidemiology*. 2021;31(12):608-614.
32. Wu XC, Liu C, Zou SQ, et al. The revision of the questionnaire on adolescents' evaluation of parental rearing input behavior and its reliability and validity[J]. *Chinese Journal of clinical psychology*. 2018;26(4):647-651.
33. Nordahl KB, Zambrana IM, Forgatch MS. Risk and protective factors related to fathers' positive involvement and negative reinforcement with 1-year-olds[J]. *Parenting*. 2016;16(1):1-21.
34. Nugent JK. Cultural and psychological influences on father's role in infant development[J]. *Journal of Marriage Family*. 1991;53(2):475-485.
35. Sun J, Yun F, Cheng TH, et al. A study on the current situation and influencing factors of father involvement in childcare of infants under 3 months of age[J]. *Nursing and Rehabilitation*. 2021;20(3):21-26.
36. Wysocki T. Psychometric properties of a new measure of fathers' involvement in the management of pediatric chronic diseases[J]. *J PediatrPsychol*. 2004;29(3):231-240.
37. Rausch RJ, Drotar D, Hilliard EM, et al. Patterns and predictors of paternal involvement in early adolescents' type 1 diabetes management over 3 years[J]. *Journal of Pediatric Psychology*. 2014;39(1):74-83.
38. Teasdale A, Limbers CA. Online assessment of problem-solving skills among fathers of young and school-age children with type 1 diabetes: Associations with parent and child outcomes[J]. *Journal of Child Health Care*. 2021;25(3):379-392.

39. Garfield CF, Fisher SD, Barretto D. Development and validation of a father involvement in health measure[J]. *Psychol Men Masc.* 2019;20(1):148-160.
40. Yin XY, Li ZH, Yang XH, et al. Reliability and validity testing of the Father's Participation in Parenting Questionnaire (Chinese version)[J]. *Chinese Journal of Mental Health.* 2012;26(7):557-560.
41. Singley DB, Cole BP, Hammer JH. Development and psychometric evaluation of the Paternal Involvement with Infants Scale[J]. *Psychol Men Masculinity.* 2018;19(2):162- 183.
42. Atkinson A, Silverrio SA, Bick D. Relationships between paternal attitudes, paternal involvement, and infant-feeding outcomes; Mixed-methods findings from a global online survey of English-speaking fathers[J]. *Matern Child Nutr.* 2021;17(Suppl 1):e13147.
43. Zhang X, Middlemiss W, Zhang T, et al. Mothers' parenting stress in Chinese immigrant families: The role of fathers' involvement and support[J]. *J Fam Stud.* 2021;19:76250.
44. Slade AN. The relationship between nonresident father involvement and maternal depression in fragile families[J]. *Social Service Review.* 2013;87(1):3-39.
45. Castillo JT, Fenzl-crossman A. The relationship between non-marital networks and social capital and father involvement[J]. *Child & Family Social Work.* 2010;15(1):66-76.
46. Charles P, Gorman-Smith D, Jones A. Designing an intervention to promote child development among fathers with antisocial behavior[J]. *Research on Social Work Practice.* 2016;26(4):440-467.
47. Horne M. The impact of father absence on adolescent romantic relationship ideals [D]. New York: New York University; 2011.
48. Juhari R, Yaacob SN, Talib MA. Father involvement among malaymuslims in Malaysia[J]. *Journal of Family Issues.* 2013;34(2):208-227.

Biography of author(s)



Yongmei Hou

Department of Psychology, School of Humanities and Administration, Guangdong Medical University, Dongguan, Guangdong, China.

She is from Zhanjiang City, Guangdong Province, China. She acts as a Professor of Medical Psychology, National Level 2 Psychological Counselor, and Master's Supervisor in Psychology. She is a member of the Chinese Psychological Association, member of the Chinese Sexual Association, member of the International Federation of Chinese Medical Psychologists, member of the International Chinese Sexual Health Research Association, and member of the Guangdong Provincial College Psychological Counseling Committee. Currently, she is teaching at the Department of Psychology, School of Humanities and Management, Guangdong Medical University, engaged in teaching, research, and clinical intervention work in medical psychology and basic psychology. Her main research direction is the handling of women's psychological problems and the behavioural development and intervention of children and adolescents, specializing in counselling and treatment of various psychological problems, especially those of children, adolescents, and women. She has published 54 papers in authoritative journals both domestically and internationally, with 7 academic monographs as the editor-in-chief, 3 academic monographs as the deputy editor-in-chief, and 4 academic monographs as co-editors.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

The Development Related Role of Pottery Production in the Ankole Region in Western Uganda: A Case Study

William K. Kayamba^{a*} and Philip Kwesiga^b

DOI: 10.9734/bpi/rtass/v8/9617F

ABSTRACT

The main aim was to look at how the pottery business contributes to reducing poverty and unemployment as well as how it affects the environment. The study looked into the socioeconomic and technical aspects of pottery manufacture in the Ankole district of western Uganda. Both qualitative and quantitative techniques of data gathering and analysis were used throughout the study's fieldwork. First, 148 respondents were given questionnaires from a diverse cross-section of the Ankole district. Second, in order to get a more thorough grasp of the experiences and viewpoints of both traditional and modern potters—something a questionnaire alone could not provide—40 potters were interviewed and seven focus group talks were held with potters from this region. According to the results, women are predominantly responsible for creating traditional pottery, whereas males are mostly involved in developing new techniques and manufacturing commercial pottery. Unquestionably, brick and tile manufacturing has developed into a successful industry, particularly for male adolescents because to the great demand for the goods from both rural and urban populations. However, pottery-related activities have wreaked havoc on the ecosystem. These efforts have produced pools of still water in some locations, which serve as breeding grounds for mosquitoes that carry malaria over much of the region.

Keywords: Pottery production; pottery use; practices; narratives; attitude; motivation; perception; socio-economic issues.

1. INTRODUCTION

Pottery is the art of creating pots and other items out of clay and other raw materials and then firing them at high temperatures to give them a tough and long-lasting shape. In its narrative a pottery (plural potteries) is the location

^a Faculty of Engineering, Technology, Applied Design and Fine Art, Kabale University, P.O. Box 317, Kabale, Uganda.

^b Department of Industrial and Commercial Art, School of Art and Industrial Design, Kyambogo University, P.O. Box 1, Kyambogo - Kampala, Uganda.

*Corresponding author: E-mail: wkayamba@gmail.com, wkayamba@kab.ac.ug;

where a potter creates such items. The ASTM International [1] defines pottery as "all fired ceramic wares that contain clay when formed, except technical, structural, and refractory products". Pottery is one of the oldest human inventions, originating before the Neolithic period, with ceramic objects such as the Gravettian culture Venus of Dolní Věstonice figurine discovered in the Czech Republic dating back to 29,000–25,000 BC, [2] and pottery vessels that were discovered in Jiangxi, China, which date back to 18,000 BC. Early Neolithic and pre-Neolithic pottery artifacts have been found, in Jōmon Japan (10,500 BC), the Russian Far East (14,000 BC), Sub-Saharan Africa (9,400 BC), South America (9,000s–7,000s BC), and the Middle East (7,000s–6,000s BC) [2,3,4,5,6]. Pottery is traditionally divided into three types: earthenware, stoneware and porcelain. All three may be glazed and unglazed. All may also be decorated by various techniques. In many examples the group a piece belongs to is immediately visually apparent, but this is not always the case; for example fritware uses no or little clay, so falls outside these groups. Historic pottery of all these types is often grouped as either "fine" wares, relatively expensive and well-made, and following the aesthetic taste of the culture concerned, or alternatively "coarse", "popular", "folk" or "village" wares, mostly undecorated, or simply so, and often less well-made [7]. The study investigated the role of pottery production activities in the Ankole region of Western Uganda, focusing on technical and socio-economic issues. The area under study is called Ankole which stands astride the equator in south western Uganda. The people of Ankole are called Banyankore, and are identified by two main groups, the Bairu (cultivators), who mostly live in hilly lands of the west and south; and their main economic occupation is farming. The second group is the Bahima, who live in the eastern grassland plateaus of Ankole who are pastoralists, herding the famed Ankole long-horned cattle. "The distinction between the two groups still exists. However, although the Bairu and Bahima presently dominate in agriculture and pastoralism respectively, their occupations are no longer as exclusive as they used to be in pre-colonial day, although the Bairu have maintained their pottery craft," [8]. Beyond the main agricultural and cattle herding activities is pottery making.

Making earthenware or baked containers, sometimes known as pottery, is a well-known worldwide tradition and the most popular among indigenous peoples. The people of Africa, in general, and Uganda in particular, continue to practice it in an uninterrupted history, making it the oldest form of representation. Speight and Toki [9] note that women make up the majority of the workforce in Africa's pottery industry. Freestone and Gaimster [10] suggest that potting, or the making of items out of clay, is connected to childbirth and has historically been limited to women, which lends credence to this argument. Indeed, there are a few communities where potting is carried out by both women and men. Although highly mechanized elsewhere, traditional practices of pottery production have survived in Ankole. It has always had a special place in the Ankole society since time immemorial, starting from the unbaked clay pots, the unglazed terracotta pottery to the glazed pottery used in modern homes [11]. A large percentage of this pottery has been produced by the informal sector, at family level, employing very rudimentary technology. As a result, production costs are comparatively low, quality with likelihood of pollution [11]. Several aspects of pottery production have

particularly stayed at a very traditional level, including prospecting for clay, forming and decorating methods, and the firing technology.

For centuries, the pot has been a major utensil in Ugandan homes, and Ankole in particular, used for various functions, including cooking, storage, administering medicine, and used in ritual ceremonies among others. With the introduction of Christianity in Uganda in the second half of the 19th Century, which ushered in Western education, the pottery craft and the use of pottery in homes, other than for cooking, was despised and associated with paganism. When Uganda was a British protectorate, and after her independence from the British in 1962, many Ugandans acquired western education [12,13]; which had been reserved for the privileged class, who were mainly sons and daughters of chiefs. The education inherited from colonial masters retained western orientation and hence, most of the educated were influenced by the western cultural values, nonetheless, although they, in many ways, kept their African traditions.

Kayamba [14] states that potting has played a fundamental part in the rural subsistence economy and social relations of country-side communities. He further argues that the turning point in Ankole pottery came in the 1950s with the establishment of Kahaya Memorial School (the present day Uganda Technical College, Bushenyi), when men realised the commercial prospects of pots, especially as demand for thrown pots increased with the rising costs of the imported Chinese ceramic table ware. Indeed men also started training as potters from the newly established college. As a spin off, the potters' wheel and an up draught kiln to fire pots were introduced in the Ankole region. With the ability to save and control the heat distribution in the firing chamber, the potters were able to do both biscuit and gloss firing. Since then, many contemporary potters and ceramicists, who graduate from technical institutions and universities, have been actively engaged in pottery production.

In eastern Uganda, the Gisu communities, have different sizes of pots used when brewing and for serving beer. Pots are used on different occasions, which include large gatherings of people, weddings, funerals, and during communal labour. Small pots are used in small family groups and small gatherings (Gombe 2002:46). Similarly, Phillips [15] grounds this observation when he notes that beer drinking was, and still is, an important aspect of social life, where especially large drinking vessels and finely plaited drinking-straws with filter ends are used. It has been noted that "in many African societies, beer is a highly desirable luxury which binds people socially and serves to reinforce social hospitality and communality during ceremonial and everyday activities. It represents a common cultural marker of wealth and status; it is a commodity of reciprocity, hospitality and communality" [16]. However, Goody [17] explains that the variety of pottery vessels in a community suggests diversity in the foods and in their storage and cuisine.

In Ankole, like in many parts of Africa, pottery is carried out during the dry season for particular and symbolic reasons. The weather is conducive to dry the products; the pots need to be dry enough before firing to avoid cracking. However, most people use the rainy season for working in the fields for food production [18]. Indeed, over the whole African continent indigenous production

is enormous. However, in Uganda pottery is seen dramatically endangered by being displaced by modern vessels of aluminum, enamelware, plastic or more informal containers from western-style industrial packaging [13].

As mentioned earlier, Uganda's cultural and customs diversity are threatened by modernity, where the once largely rural populations are being drained to urban centres [19]; they encounter changes brought about by Western influence [20]. Such influence affects pottery in the country. It has been argued that in traditional societies world over, that the production of ceramics is threatened by new materials and lifestyle. Although these techniques have survived successfully until the present day in all continents, it seems unlikely that this will continue for much longer [21]. However, in urban homes, it may seem that traditional pots are, in all ways, being replaced by modern vessels of aluminum, enamel-ware and plastics or more informal containers scavenged from the western-style industrial packaging [22]. Pottery is seen as dramatically endangered. Uganda is not an exception, pottery craft is at the cross-roads; it is challenged by modern vessels. The demand for local pots is dwindling rapidly, and the result is growing unemployment among the pottery producing families and a breakdown of the social fabric. Behind our heritage: (Basiime, 2021) posits "from east to west, north to south, pots in Ugandan culture have rich connotations ranging from strengthening relationships among family members to a sign of respect to elders".

2. METHODOLOGY

2.1 Study Population

The study sample population included 4 studio potters, 36 local potters and 105 selected consumers of pottery products in Ankole. It also included three (3) lecturers from Makerere University who teach ceramics because of their familiarity with Ugandan pottery, their knowledge and experience on the subject. The research also considered their understanding of the pottery situation in Uganda and looked at them as agents of change from traditional to contemporary pottery.

2.2 Methods

While conducting this research, the study used quantitative and qualitative research methods. 148 questionnaires were administered to assess responses from respondents from the sampled group (Table 1). The second phase of the study involved conducting interviews with 40 potters from Ankole. Structured and semi-structured questions were used during the study. In designing questions, cognizance was taken on the type of information the researcher required. To test experience or behavioral responses and opinions or values, follow up questions were necessary for greater depth of inquiry. In all circumstances, data analysis followed as a systematic pattern where data was collected and analyzed. Through this process, my understanding grew and began creating models of the relationships in the data and the literature [23].

Table 1. Questionnaire investigating pottery production and pottery use

Qns	Response item	Response	Count	Percentage	Total
1	Locally made Ugandan pots are central in my home.	1	133	89.9	148
		2	15	10.1	
2	Pottery is very useful in cooking food.	1	121	81.8	148
		2	27	18.2	
3	We make pots in our family for domestic and economic reasons.	1	75	50.7	148
		2	73	49.3	
4	Young males below the age of 17 years in my community are interested in making pots.	1	79	53.4	148
		2	69	46.6	
5	Young girls below the age of 17 years in my community are interested in making pots.	1	100	67.6	148
		2	48	32.4	
6	Majority of people in my community use locally produced Ugandan pots.	1	138	93.2	148
		2	10	6.8	
7	There are special pots used in your community.	1	119	80.4	148
		2	29	19.6	
8	Particular age group / particular people have pots.	1	106	71.6	148
		2	42	28.4	
9	Potters in my community decorate their pots.	1	127	85.8	148
		2	21	14.2	
10	Decorations on pots have social meaning in my community.	1	99	66.9	148
		2	49	33.1	

During the study, the researcher visited some craft centres within Ankole region to assess the responses from the population towards the local pottery products. In addition to questionnaires, individual interviews were conducted with 40 potters from twelve sites, from the three districts, and with three lecturers from Makerere University. Interviews were conducted with individuals to respond to a set of questions in a moderated setting, which created an opportunity for the investigator to understand the participants' view of pottery practices as described in their own words. Formal and conversational techniques were employed to obtain more information regarding pottery practices and innovations in the Ankole region, which could not be provided in the questionnaires.

The individual respondents were later grouped according to their experiences and interests to form 7 focus group discussions (FGD). By using these groups the author hoped to get more in-depth understanding of the issues that had been raised during individual interviews (Amin, 2005:187). During the discussions, the author used a discussion guide which had structured and semi-structured questions. This created an opportunity to get a deeper understanding of the participants' views and free expression about pottery practices described in their own words. The target group for the FGDs shared similar backgrounds and levels of understanding, which enhanced and generated debate on the issues under study. However, there were some limitations during the course of data collection, especially during interviews. Some potters were not willing to give accurate information because the idea of sharing information is not common among them. Traditionally, some techniques are guarded carefully. All research findings from the data analyses were clearly described.

The researcher also made site visits in order to observe and document innovative processes in pottery production at different sites. Sarantakos (1998:207) argues that observation is one of the oldest methods of data collection. It is a method that employs vision as its main means of data collection and is open to all observable social phenomena.

The research was conducted in three districts out of six that form Ankole region, because of their diversity in pottery practices and proximity to each other which made the research activities to be easily carried out. These were Bushenyi, Mbarara and Ntungamo. While conducting this research, the importance and understanding of ethical considerations was quite vital and some fundamental considerations had to be acknowledged. This is because the conduct of ethically informed research should be a goal to all social researchers. These agreements were covered with the parties involved [24,25].

3. FINDINGS

Presented here are findings regarding the role of pottery in a developing society focusing on social and economic issues in the Ankole region. The premise is that the pottery craft, which has been a source of livelihood for many craft potters and contemporary ceramicists, is now challenged by modern conveniences as a viable occupation for future generations. The introduction of plastics and metal

containers forced pottery communities to re-evaluate the need for and the importance of hand- made clay products for daily use. The change in lifestyle of many Ugandans has caused the modification of pottery to suit the changing circumstances or even to maintain the same pottery shape but used differently within a modern setting.

3.1 Analysis of the Data

The study assessed views and opinions about locally produced pots in Uganda. According to research findings, 89.9% respondents indicated that people in their communities use locally produced Ugandan pots because food prepared from pots is believed to be more delicious, especially millet; pots can keep food warm for a longer period compared to metallic pans (Fig. 1). Christensen [26] explained that when clay interacts with acidity in the food, it neutralizing the pH balance. Something that is naturally very acidic, like a tomato sauce, will take on some natural sweetness when cooked in a clay pot. However, those people living in towns (10.1%) considered cooking in pots a backward practice; they use aluminium saucepans for cooking.

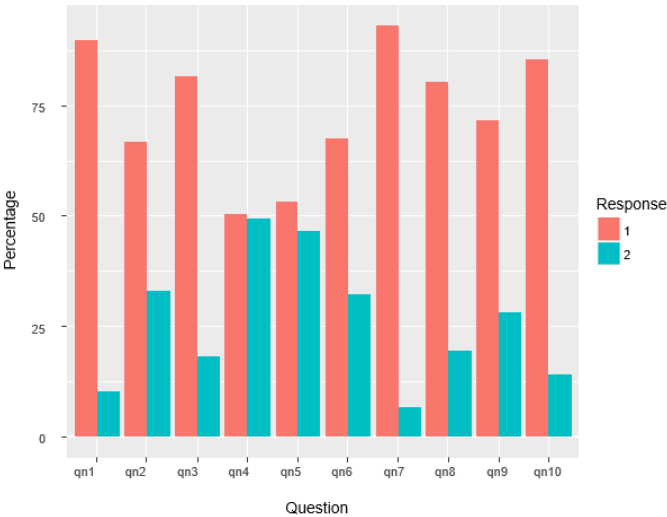


Fig. 1. Graph indication pottery production and pottery use

The research went further to investigate those who make pots in their families for domestic and economic reasons. The findings indicated that 50.7% agreed while 49.3% disagreed. Appau et al. [27] asserts that while some women opt for pottery as a complete occupation, others take it as an extension of domestic activity where money accrued from proceeds go into the provision of household necessities.

The study went further to investigate whether young males and females below the age of 17 years were interested in making pots in the various communities. Research findings indicated mixed feelings. Whereas the research indicated that 46.6% of young boys regarded pottery as worthless, 53.4% treasured the activity. Many youths have realised the importance of pottery making, especially school drop-outs who are engaged in making building materials like bricks and tiles. On the other hand, findings indicate that 67.6%, of female youths have been positive about pottery making, and 32.4%, especially those who go to school, feel that pottery is for the low class and it is a dirty job. In addition, men who make pots are considered poor and are accorded little respect among fellow men, although they are hailed among women. For that matter, this has resulted into diversity in technology, from making traditional pots to roofing tiles and other building materials. This sector is attracting many young boys because they see it as a new technology which is not feminine, compared to pot making.

The research went further to investigate whether the majority people in the Ankole communities use locally produced Ugandan pots. Research findings indicated that 93.2% of the Ankole community use locally produced Ugandan pots while 6.8% do not. This is an indication that the Ankole community is still a rural community living on subsistence economy. Gombe (2002:45) states that up to 85% of Uganda's population live in rural areas where people derive all or part of their livelihood through farming, but many homesteads need supplementary sources of income. These homesteads make use of their environmental resources to produce various kinds of indigenous crafts, pottery being one of them, to earn additional income for a basic standard of living or for improved quality of life.

The research investigated whether there are special pots used in the community. 80.4% of the respondents indicated that they had special pots they used while 19.4 said that they did not have them. In addition, 71.6% indicated that particular age group had pots while 28.4% did not have any. Responses indicated that there were special vases used by the newly wedded brides for keeping hot water and perfume pots. In addition, smoking pipes are used by elderly people.

The research went further to investigate whether potters in the Ankole community decorated their pots. 85.8% of the respondents agreed, while 14.2% did not agree. In addition, the researcher tried to investigate whether those decorations on pots had social meaning in their communities. According to research findings 66.9% respondents agreed that they had social meanings while 33.1% did not agree. According to Gosselain [28] and Tite [29] pottery vessels were subjected to a range of surface treatment; this treatment served as decoration and, to reduce the permeability of the vessel to liquids. Barley [22] argues that pots on the other hand, enter largely into the exchange of meaning that constituted everyday life and defines relationships and events. Differences of form and decoration help create categories of vessels that would be easily related to categories of time and persons. However, some decorations are purely aesthetic to add beauty and commercial value to the pot.

4. POTTERY AS EMPLOYMENT

Any discussion of pottery production must begin with the establishment of the materials used; the prospecting of clay and its preparation, followed by forming, surface treatment and how pots are fired. During the course of the study, the author documented potters using hoes to extract clay from the swamp. The potters worked in small groups, mainly at household level. As they extracted the clay, they kept checking it to ensure its quality. A potter who extracted clay removed vegetable matter and sand, leaving what she considered to be quality clay (Fig. 2). She tested it between her fingers to check its plasticity, a primary requirement for forming (Tite, 1994:184).

The potter who was extracting clay informed this research that clay colour changes with seasons. During dark nights, the clay becomes dark-grey but during moonlight periods it turns to light-grey. During the full moon, when a red colour is visible at moon rise, they usually get clay with red strips. This also affects the colour of pots after firing; red strips are evident on the pots' surfaces. Similarly, she informed the researcher that when a woman under menstruation extracts clay, her pots fire with red strips. This was emphasised by saying that there are taboos which must be observed. Most frequent prohibitions concern sexual intercourse, menstruation and pregnancy. According to Gosselain [28] breaching a taboo may affect three stages of the manufacturing process. These are clay extraction, it may suddenly disappear, loses its workability; during drying pots may crack; and pots may explode during the firing process. For that matter, old women who no longer experience menstruation periods usually extract clay from the pits in this region. Appau et al. [27] further emphasises that women in their menstrual periods are not allowed to engage in clay winning process. Women who break this rule may suffer premature menopause which implies a break in fertility. In addition men are traditionally forbidden to participate in the winning of the clay. Failure to abide by this may render them impotent. However, with many people turning to Christianity in Uganda, such taboos are no longer respected.



Fig. 2. Checking the quality of clay

Whereas clay is a major raw material for pottery, temper is another basic raw material potters consider to improve the quality of clay. It is added to clay in order to reduce rapid shrinkage and expansion during the firing process. Temper allows for an even distribution of heat through the ceramic paste during firing, [30]. Many potters in the Ankole region use grog as the major source of temper, mainly obtained from old potsherds that are no longer of any use. However, some potters who make pots on large scale find themselves without enough grog to mix in their clay; they obtained their temper from granite rocks and other soft stones.

Most of the pots made by women potters were of different sizes, and for domestic use including harvesting rain water and clay cooking stoves. The men made perfume pots (*rukomyo*) and fumigators (*ebicunga*). Unlike cooking pots, perfume pots and fumigators were burnished using pebbles (*enkurungu*) and a handle of a spoon to give a glossy surface.

The study indicated that potters made clay stoves and water pots which has become a full-time employment venture especially for women and young girls (Fig. 3). This is in response to high demand for clay stoves because they are energy efficient. Nevertheless, there are a few men who have joined the pottery industry on a full-time basis. Production was specialized one to person making clay slabs (Fig. 4), as another person making coils while the third person building the stove. Children were involved in almost all activities of pottery production, beginning with clay preparation, but more especially, making coils, which did not need a lot of energy. This indicated that pottery production in Ankole was becoming more organized with division of labour compared to the past, although it is still done at household level, involving members of the family. In contrast 4 potters in Bushenyi district used a potters' wheel to make pots (Fig. 5). These were trained from established institutions and others trained on the job. The potters made different items which included cups, teapots, drinking water pots, soup bowls planters and cook stoves. They glazed their pots using local glazes made from granite powder mixed with clay and borax obtained largely from stone quarries, particularly stone dust. They fired their kiln to about 1050°C, which was sufficient to melt the glaze powder. The glazed pots looked brownish, ranging from dark to honey brown (Fig. 6).

A roulette woven from grass was the main decorating tool to create some textured pattern around the neck of the pot (Fig. 7). In contrast, some of the pots, especially fumigators and perfume pots, were burnished using a pebble or a folk handle. Burnishing makes pots waterproof by sealing pores on the pot's surface, and the areas which were decorated with roulette keeps the pores of the pot open. The rouletted parts make the pot slip resistant while in use and they cool the water for drinking at room temperature (Fig. 8).



Fig. 3. Making clay stoves using coils



Fig. 4. Making a slab using a pebble



Fig. 5. Throwing on a potter's wheel



Fig. 6. Glazed pots with granite powder



Fig. 7. Decorating a pot with roulette



Fig. 8. Burnished and smoked pot

4.1 Social Dimension

The study investigated why pottery has survived for so long in spite of stiff competition from cheap industrial products like plastic containers. One respondent said that some items used in their culture cannot be imported because of their unique nature. Some shapes or types of pots cannot be produced by western manufacturers because they do not have those cultural attachments. Such pots are used at functions like “give-away” ceremonies (*Okuhingira*), and are meant to create an aroma, or for appeasing the supernatural, which is a cultural function. Some pots are used for keeping warm water, while others are for providing fragrance to a room and the woman’s body. The researcher was honoured to document a “give-away” marriage ceremony. Although the ceremony was conducted in a modern western religious manner, in the presence of Bishops, the Ankole culture was not forgotten. The *Omugamba* had a water pot and perfume pot, among other objects, as symbols of fertility (Fig. 9). At the same function, they served food from special bowls to the guests because it is strongly believed bowls are meant to serve special guests at such functions because they signify hospitality, high respect for the guests, and other social relationship one has with them. Haaland [31] argues that food items are not food for the body but they are also food for the thought about relations to others in the world of living people, and the cosmology forces. It is the strong symbolism that many Banyankore attach to the pots that has enabled Ankole pottery to survive in spite of stiff competition from imported ceramic and metallic wares.



Fig. 9. Omugamba containing bridal items

The researcher further documented a woman harvesting water using a pot during a heavy downpour (Fig. 10). This is a common practice among the people of Ankole, especially those who do not have water tanks. It was this rudimentary practice that called for construction of water tanks to harvest enough water. However, before many families constructed iron roofed houses, they used to

harvest rain water from trees using banana leaves and pots. Harvesting the rain water and storing it in household water tanks has improved water access in rural areas. Lack of clean water can contribute to a high level of diarrheal diseases, malaria, and fever. The provision of adequate and safe water is a necessity for healthful living and the well-being of individuals. It saves women's time, and enables them to devote more time to food production and preparation, with consequent nutritional benefit to their children.

Further studies indicated that pots were used as music instruments in this region. At a cultural festival, pots of different sizes were played to produce varied sound, to accompany drums during the dance (Fig. 11). The study also found out that in this region, pots are still used as musical instruments in many churches during worship, to accompany the western instruments although the number of churches using pots as instruments is declining, especially in urban places, because the pots are very delicate to handle and to keep, because they are not properly fired.



Fig. 10. Harvesting rainwater



Fig. 11. A cultural dance using pots as music instruments

Research findings indicated that most potters did not have the skills to market their products. Pots were sold in weekly markets, although at times, potters got orders from direct consumers for particular items. Following the orders from a customer, the potter carried the pots on the head or got help from a family member to push them on the bicycle. To date, most traditional potters sell their products in weekly markets where they display their products on the ground (Fig. 12). Contrary to studio potters who run a small-scale crafts business, although, sometimes, it represents a professional identity as much as a family income. They display their pottery products from their workshops and sell them to visitors and customers because their studios are, usually, strategically positioned near towns and by the roadside. In addition, they sell their products at craft centres.



Fig. 12. Displaying pottery in a weekly market

4.2 Pottery Innovations

Although pots are not used on a daily basis, there are special pots which are still valued highly because of the cultural meaning attached to them. With the changes in lifestyle, particularly among the educated, there has been an increase in alternative uses of pottery products, in addition to the traditional ones. This has called for innovative activities in pottery production in response to changes in demand associated with urban market. These innovations have improved the income levels of the potters, especially women, who are involved in the pottery craft. The new developments in pottery use have also helped to improve the firing technology to attain higher temperatures than the traditional pottery practices.

Traditionally, pots have always been used for cooking and safe keeping of liquids. However, due to political stability in the country, there has been a boom in the construction industry. The construction of storied flat houses has become a

fashion to cater for the ever increasing number of people in big towns. In addition, many people desire to have some plants but do not have where to plant them. Besides, some medicinal plants are on the verge of extinction. As such, there is a growing demand for planters in urban centres. Some pots are needed by urban dwellers to grow flowers and other plants. These plants are mostly placed on verandas or in homes for decorative purposes, to create a beautiful living environment. Other are for plants which are grown in pots are for medicinal purposes, especially herbs for children. Many herbal plants are on the verge of extinction because many people have cleared land for farming. Similarly, many forests are threatened with agricultural activities and other human commercial activities, which have caused many plant species to face extinction. Therefore, parents have resorted to planting herbs for children in plant pots. Similarly, some people grow vegetables for food in planters. This innovation has helped many town dwellers improve on their nutrition and as well as cut on their food expenses, especially on vegetables.

In a related development, the pot which had been confined to the kitchen as a cooking utensil, has graduated from this role to becoming a building and decorative item in architecture. With the development of the tourism industry in Uganda, some Ugandans have gone back to the tradition of roofing restaurants with grass, a fashionable trend in urban centres. Also, because of the high pitch of the roof, a pot is used to hold the grass to prevent it from falling off and causing the roof to leak during the rainy season (Fig. 13). The pots do not only stop the grass from falling but also add beauty to the structure. Both the pot and the grass thatched huts and houses are commonly found in rural parts of Uganda. This practice has tried to bridge the gap between old tradition and modernity, by bringing such architectural designs in urban centers. By so doing, there is a continuity of the traditional culture in a modern society, which is confronted by the western influence. In addition, pots were used for interior decoration in hotels and public places (Fig. 14).



Fig. 13. Architectural structures decorated with pots on the roof



Fig. 14. Pots used as interior decors

4.3 Modern Roles of Pots

Blum (2005) warns that a vast majority of women in developing countries, especially in densely populated areas, are experiencing an ever increasing shortage of firewood. They find that meeting the daily needs for fuel to cook meals for the family is often a struggle for women. As more and more land is cleared for agriculture, the problem worsens because few trees remain. This has called for an intervention to find a solution to this problem. In relation with this, potters in this region have engaged themselves in making clay stoves which has become a full-time employment venture, especially women and young girls (Fig. 15). This is in response to high demand for clay stoves because they are energy efficient, portable and easy to handle in an urban setting.



Fig. 15. Energy saving stove with a ceramic insert

Nevertheless, there are a few men who have joined the pottery industry on a full-time basis. It is believed that the production of clay cook stoves would reduce

wood fuel consumption, thereby minimizing the number of trees cut down for fuel. Thus slowing down or possibly reversing deforestation and desertification.

The group above was also involved in making modified clay pots for drinking water. In many Ugandan homes, clay pots are used for storing drinking water. Although this is a preferred method for storing water, the repeated hand contact contaminates it quickly, which is a great disadvantage. This has called for the development of new improved pot designs fitted with taps, which are ideal for rural communities. The production of modified pots has benefited the rural poor by selling the pottery products to urban centres [19]. According to Dinh [32], the modified pots have become popular among the local people, because they keep the water cool and are palatable. It is also convenient to use, even for children, when getting water for drinking. On top of that they prevent the spread of diseases (Fig. 16).



Fig. 16. Traditional water pot fitted with tap

5. CONCLUSION

In conclusion, it can be said that pottery making was still in the hands of women although some men have joined the pottery industry due to the economic potential that has been identified with it. The women who are engaged in the pottery industry are able to earn themselves a sustainable income, rather than depending on their spouses. They are able to raise fees for their children, pay hospital bills, community contributions and able to meet their daily needs. The use of pots for keeping boiled water for drinking has improved the hygiene of many homes in the area. The improved cooking stoves have contributed to a safe cooking environment, energy saving, cost effective and economical, in terms of fuel, and safety for children. However, there is still need to improve on the marketing strategy for potters if the pottery industry is to develop which will eventually help to create employment for various groups, especially women and the youth [33,34-35].

COMPETING INTERESTS

Authors have declared that no competing interests exist.

REFERENCES

1. Standard Terminology of Ceramic Whitewares and Related Products.' ASTM C. ASTM International. 2007:242–01
2. Lienhard John H. (November 24, 1989). "No. 359: The Dolni Vestonice Ceramics". *The Engines of Our Ingenuity*. University of Houston. Archived from the original on January 9, 2010. Retrieved September 4, 2010.
3. Diamond Jared (June 1998). "Japanese Roots". *Discover*. Discover Media LLC. Archived from the original on 2010-03-11. Retrieved 2010-07-10.
4. Derevianko AP, Kuzmin YV, Burr GS, Jull AJT, Kim JC. AMS 14C Age of The earliest pottery from the Russian far east; 1996–2002.' *Nuclear Instruments and Methods in Physics Research*. 2004;B223–224:735–39.
5. Simon Bradley, A Swiss-led team of archaeologists has discovered pieces of the oldest African pottery in central Mali, dating back to at least 9,400BC Archived 2012-03-06 at the Wayback Machine, SWI swissinfo.ch – the international service of the Swiss Broadcasting Corporation (SBC). 18 January 2007.
6. Roosevelt Anna C. *The Maritime, Highland, Forest Dynamic and the Origins of Complex Culture*. In Frank Salomon; Stuart B. Schwartz (eds.). *The Cambridge History of the Native Peoples of the Americas*. Cambridge, England New York: Cambridge University Press. 1996:264–349. ISBN 978-0-521-63075-7.
7. Heck Mary-Frances. *The Food & Wine Guide to Clay Pot Cooking*. Food & Wine. Retrieved. 2022-01-26.
8. Mwambutsya N. *Pre-capitalist social formation: the case of Banyankole of Southwestern Uganda*; 1991. Available:<http://www.ossrea.net/eassrr/jan91/mwambus.htm>
9. Speight N, Toki J. *Hands in clay: an introduction to ceramics*. 3rd Edition, Mountain View, CA: Mayfield; 1995.
10. Freestone I, Gaimster D. *Pottery in the making: ceramic traditions*. London: British Museum Press; 1997.
11. Kayamba WK. *Trends in Ugandan ceramic technologies with special reference to the Ankole region*. Vaal University of Technology, SA. Unpublished PhD thesis; 2012.
12. Kwesiga P. *Pottery function and Nkore social activity*. *Craft Research*. 2013;4(2):223-244.
13. Kwesiga PK. *Transformation in pottery education, production and use in Nkore south-western Uganda*. Middlesex University, UK. Unpublished PhD. Thesis; 2005.
14. Kayamba WK. *Transformation of ideas of ceramics*. University of Wales, UK. Unpublished MA thesis; 2001.

15. Phillips T. Africa: The art of a Continent, London: Presel; 1999.
16. Arthur J.W. Brewing beer: status, wealth and ceramic use alteration among the Gamo of South-Western Ethiopia. *Journal of World Archaeology*. 2003;34(3):516-526.
17. Goody J. Cooking, cuisine, and class: a study in comparative sociology. Cambridge University Press; 1982.
18. Mack J. Burnished pots. *African Journal of Arts and Cultures*. pp. London: British Museum Press; 2000; 212-4.
Available:<http://www.thebritishmuseum.ac.uk/compass>.
19. Kwesiga P, Kayamba W. Experiments in design process and product development in Uganda's ceramics. *Net Journal of Social Sciences*. 2014;2(3):92-99.
20. Otiso MK. Culture and customs of Uganda (Culture and Customs of Africa). Greenwood; 2006.
Available:<http://www.jinja.eu/en/component/jcollection/item/40-culture-and-customs-of-uganda>.
21. Vincentelli M. Women and ceramics. Gender vessels. Manchester University Press. UK; 2000.
22. Barley N. Smashed pots: feats of clay from Africa. London: British Museum Press; 1994.
23. Mayan JM. An introduction to qualitative methods: a training module for students and professionals. International institute for qualitative methodology. Edmonton, Canada. University of Alberta; 2001.
24. Goddard W, Melville S. Research methods: an introduction. Lansdowne: Juta; 2001.
25. Blaxter L, Hughes C, Tight M. How to research. 2nd Edition. Philadelphia: Open University Press; 2003.
26. Christensen E. Two unique and unexpected benefits of cooking in clay; 2011.
Available:<http://www.thekitchn.com/whats-the-deal-with-clay-pots>.
27. Appau EA, Kofi A, Opoku-Asare A. The theoretical and socio-cultural dimensions of Kpando women's pottery. *Journal of Research on Humanities and Social Science*. 2013;3(1):60-72.
28. Gosselain PO. In pots we trust, The processing of clay and symbols in Sub-Saharan Africa. *Journal of Material Culture*. 1999;4(2):207-212.
29. Tite MS. Pottery production, distribution and consumption-the contribution of physical sciences. *Journal of Archaeological Methods and Theory*. 1999;6(3):184-192.
30. Blandino B. Coiled pottery: Traditional and contemporary ways. London: A&C Black; 2003.
31. Haaland R. Porridge and pot, bread and oven: Food ways and symbolism in Africa and the Near East from the Neolithic to the present. *Cambridge Archaeological Journal*. 2007;17(2):165-182.
32. DINH D. Student Helps Keep Water Fresh in Uganda; 2009.

Available:http://nature.berkeley.edu/blogs/news/2009/10/cnr_student_help_s_ke_ep_water_f.php

33. World Bank Report. World Development Report 2000/2001 Attacking poverty. Washington DC, USA. Oxford University Press; 2001.
34. Musiime F. Uganda Pottery Culture. The Monitor, Kampala Uganda; 2021.
35. Kayamba WK, Kwesiga P. The development related role of pottery production in the Ankole region in Western Uganda: A Case Study. Net Journal of Social Sciences. 2023;4(4):81-90.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

DISCLAIMER

This chapter is an extended version of the article published by the same author(s) in the following journal.
Net Journal of Social Sciences, 4(4): 81-90, 2016. Available:https://www.netjournals.org/z_NJSS_16_023.html

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

Condoms Breakage and Slip off: Risk Factors for HIV Infections Amongst Individuals Keeping Multiple Sexual Relationships in Tiv Land, North Central Nigeria

Godwin Aondohemba Timiun ^{a,b*}

DOI: 10.9734/bpi/rtass/v8/6273C

ABSTRACT

Despite the awareness that proper and consistent usage of condoms by individuals keeping multiple sexual relationships or who engage in casual sex would prevent the transmission of HIV; gaps still exist in knowledge on the effective utilisation of condoms amongst partners keeping multiple relationships in Nigeria. This paper examines condoms breakage and slip off during sexual intercourse amongst partners and HIV risk in Nigeria. A sample of 1,621 respondents was collected using multi-stage and purposive sampling methods. Structured and in-depth interviews were used for data collection. SPSS (version 21) was used for quantitative data analysis. The incidences of condoms breakage and slip off are high, and may constitute risk factor for HIV infection. The reduction in the rate of HIV infections through this source by utilising scientific knowledge for programme interventions will impact positively on the sexual wellbeing of individuals and public health in Nigeria.

Keywords: Condoms breakage; condoms slip off; HIV risk; Nigeria.

1. BACKGROUND

Despite the awareness that proper and consistent usage of condoms by individuals keeping multiple sexual relationships or who engage in casual sex would prevent the transmission of HIV; gaps still exist in knowledge on the risk factors for HIV infection due to ineffective utilisation of condoms amongst partners keeping multiple relationships in Nigeria. This paper examines condoms breakage and slip off during sexual intercourse amongst partners and HIV risk in Nigeria.

^a Australian Catholic University, 115 Victoria Parade, Fitzroy Vic 3065, Melbourne, Australia.

^b Department of Sociology, Benue State University, Makurdi, Benue State, Nigeria.

*Corresponding author: E-mail: gatimiun@gmail.com, godwinaondohemba.timiun@myacu.edu.au;

An estimated 1.7 million people were living with HIV in Nigeria by the year 2020, out of this figure, 86,000 were newly infected cases [1]. Globally, Nigeria has the second-highest number of people living with HIV and contributes 9% of the total global burden of HIV/AIDS [2,3]. Generally, unprotected sex still contribute substantially to incidence cases of HIV infection in sub-Saharan Africa [3].

While male coercion [4], lack of anticipation for sex [5,4], procreation [6], age [7,5,8,9,4,10] and sexual pleasure [10,11] are predictors of low utilisation of condoms during sex in Nigeria; the information on risk factor for HIV infection due to improper use of condoms remains unclear. The reduction in the rate of HIV infections through this source by utilising scientific knowledge for programme interventions will impact positively on the sexual wellbeing of individuals and public health in Nigeria.

According to Center for Disease Control and Prevention [12], the two main types of condoms are the externally and internally used condoms. An external condom (other words called a male condom or just a condom) is worn over the penis during sex. It is a thin layer of latex, plastic, synthetic rubber, or natural membrane. Latex condoms are more effective in providing protection against HIV. Plastic (polyurethane) or synthetic rubber condoms are good for people with latex allergies (these condoms are more fragile than latex condoms. The Natural membrane (such as lambskin) condoms have small holes in them and don't block HIV and other STDs. They are not suitable for HIV or STD prevention. An internal condom (other words called a female condom) is used in the vagina or anus during sex. It is a thin pouch made of a synthetic latex product called nitrile. This is very suitable for HIV prevention.

Apart from abstinence, correct and consist utilisation of of condoms during sex prove to be the most effective ways of preventing the transmission of HIV among multiple sexual partners [12]. Despite the potency of condoms to prevent HIV transmission, studies have reported that there are inconsistent and underutilization of condoms among sexually active individuals in sub-Saharan Africa [13,14]. The need to further understand what happens to these condoms when they are utilised among sexual partners becomes imperative. Preventing HIV infection requires concerted efforts at different fronts including how effective condoms are utilised among sexual partners in Nigeria.

2. METHODS

2.1 Theory

The theoretical conception of this research is that sexual behaviour especially unsafe sex results to unwanted pregnancies and sexually transmitted diseases including HIV. Although there are contending opinions of what sexual act constitute safe or unsafe sexual behaviours; the belief that once the sexual outcomes of sexually transmitted diseases including HIV/AIDS are against the initial motives of the participants, it would be considered unsafe sexual

behaviour. Unwanted pregnancies, STDs and HIV/AIDS are linked to unsafe sexual behaviours [15].

Sexual performance refers to “the things the individual actually does to initiate a sexual encounter, enhance sex or during sexual encounters” [13]. Performance variables include all the things that people actually do to enhance sexual encounters. This can be before or during the sexual encounter. Taking of alcohol or drugs to perform sex constitutes part of the performance. The achievements through performing sex reinforce the desire for future performance to attain the yet unachieved targets. The actual things the individuals do that constitute ‘good’ sexual performance and better results are difficult to discard if the individuals still desire similar positive results. If unprotected sex or prolonged drugs induced sex constitute good performance and better results, it will be difficult to discard except if the specific needs for such performance are addressed. Condom failure due to breakage and leakage, infidelity and lack of sexual satisfaction, are all performance factors [13]. Thus the health risk from sexual performance can be high, moderate, low or very low based on different performances such as ‘no protection’, ‘sometimes with protection or protection with known incidences of failure’; often ‘use protection’, and sex with ‘exclusive partners’ only.

The values of procreation in marriages have made negotiation for condoms usage amongst formal unions difficult especially on the part of the woman. Women who are disposed to condom usage are seen to court infidelity; hence they are using condoms for protection against disease or pregnancy. In a similar manner, the young adults are not expected to have sex until they are married, thus, sex amongst them is mostly secretive and without the usage of condoms. Condoms abhorrence includes those living with HIV; they sometimes fail to use condoms in sero-discordant (one partner positive while the other is not) relationships. In addition to these factors that have impacted negatively on the use of condoms, there are incidences of condoms breakage and slip off during usage, which poses serious health risk to the partners. Inconsistent use of condoms will not provide the opportunities for the individuals to be acquainted with condoms and its utilisation.

2.2 Quantitative Methods

A sample of 1,621 (864 women; 757 men) respondents was collected from 2 clinics (Mkar; Aliade) and other 2 locations (Jyovkundun; Udei) using multi-stage and purposive sampling methods. An eight page questionnaire with closed and open ended questions was used for quantitative data collection amongst 805 HIV seropositive clinic attendees and 796 HIV seronegative individuals on background characteristics, sexual performance, risky sexual behaviours, and HIV in the first stage. In the second stage, face to face interviews were conducted with the respondents by the researcher (correspondent-author), with the aid of various research assistants. The questionnaires were pretested by conducting a mock data collection with 50 respondents before the actual data collection exercise. The internal consistency and reliability of the data collection instrument was very high. The quantitative data collection lasted for five months

between April and August, 2014. Completed questionnaires were scrutinised in the field to ensure exactness of the recorded information. Thereafter, they were retrieved and stored in a well secured office, accessed by the researcher alone.

At the completion of data collection, the responses were coded and entered into Statistical Product and Service Solution (SPSS) version 21 software, which has provision for the Generalised Linear Regression with Cumulative Link, was used for the analysis of quantitative data. The level of significance was set at 0.05.

2.3 Qualitative Methods

In this segment of data collection, purposive sampling was used in selecting 20 respondents who participated in in-depth interviews. Five individuals were selected in each location. The interviews were conducted in Tiv language using a guide with questions on structural factors (sexual performance, risky sexual behaviours and HIV, poverty, and cultural factors,) influencing sexual behaviours. An audio recorder was used for recording the discussions during the in-depth interviews for the purpose of transcription after the data collection sessions. The data were transcribed and analysed by the researcher. The findings from qualitative data provided further insight into the intricacies of illicit sexual behaviours.

3. RESULTS

They were 46.3% men and 53.7% women. Those between 30 and 34 years were 23.4%, while those between the ages of 25 and 29 years were 21.9%. Approximately 55% were married, 17.9% were either divorced or separated, while the single and those cohabiting were 26.2% and 0.6% respectively. Generally, their income is low, 70.7% are earning less than N25, 000 (approximately \$125 USD) per month. The common condoms used by respondents are Gold circle (79.9%), Rough rider (9.6%), Lifestyle (3.4%), Fantasy (3.1%) and others (4.0%). Amongst the respondents, 44.2% experienced condom breakages while 24.9% experienced slip off, and only 30.9% cared about the quality of condoms they use. Whereas 47.6% of people living with HIV experienced breakages, 30.6% experienced slip off. Condoms breakage and slip off indicate high risk of HIV infections under seemingly protected sex amongst multiple sexual relationships (81.9%). Controlling for education, income, religion, relationship status, and occupation; the factors of age ($P = 0.01$), sex while drunk (0.000), number of sexual partners (0.000), and HIV status (0.000) significantly correlates with condoms breakage (see Table 2). While education (0.001), religious organisation (0.03), sex while drunk (0.000), number of sexual partners (0.01), and HIV status (0.000) significantly correlates with condoms slip off (see Table 1).

Table 1. Correlates of condoms slip off

Variables	B	Test of significance		Exp(B)	95% Confidence Interval for Exp(B)	
		df	Sig.		Lower	Upper
Condoms slip off (Yes)	-4.703	1	.000	.009	.002	.046
Condoms (No)	-2.004	1	.015	.135	.027	.679
Age (18-19yrs)	-1.434	1	.033	.238	.064	.890
20-24yrs	-2.005	1	.002	.135	.037	.486
25-29yrs	-1.969	1	.003	.140	.039	.501
30-34yrs	-2.096	1	.001	.123	.034	.441
35-39yrs	-1.533	1	.021	.216	.059	.794
40-44yrs	-1.826	1	.006	.161	.044	.590
45-49yrs	-1.922	1	.004	.146	.039	.549
50-54yrs	-1.464	1	.034	.231	.060	.892
55-59yrs	-1.654	1	.028	.191	.044	.833
Sex while drunk						
Yes	-.459	1	.000	.632	.492	.811
No	-.308	1	.023	.735	.563	.959
Number of partners	-.195	1	.014	.823	.705	.961
HIV positive	-.770	1	.000	.463	.378	.567
Levels of Education	0 ^a			1		
No schooling	.782	1	.001	2.185	1.364	3.501
Primary	.654	1	.001	1.922	1.308	2.824
Secondary	.170	1	.107	1.185	.964	1.457
Religious Organisation						
Catholics	-.937	1	.037	.392	.162	.947
Protestants	-.892	1	.050	.410	.168	1.002
Pentecostal	-1.024	1	.030	.359	.143	.905
Islam	-1.112	1	.149	.329	.073	1.489
Traditional	-.294	1	.583	.745	.261	2.128

Note. Source of data is from field survey, 2014

Table 2. Correlates of condoms breakage

Variables	B	Std. Error	Test of Significance	Exp(B)	95% Wald Confidence Interval for Exp(B)	
			Sig.		Lower	Upper
Condoms breakage (Yes)	-3.670	.7563	.000	.025	.006	.112
Condoms breakage (No)	-1.908	.7494	.011	.148	.034	.644
Age (18-19yrs)	-1.804	.7438	.015	.165	.038	.707
20-24yrs	-2.452	.7359	.001	.086	.020	.364
25-29yrs	-2.655	.7355	.000	.070	.017	.297
30-34yrs	-2.524	.7360	.001	.080	.019	.339
35-39yrs	-1.926	.7438	.010	.146	.034	.626
40-44yrs	-2.180	.7425	.003	.113	.026	.484
45-49yrs	-2.114	.7568	.005	.121	.027	.532
50-54yrs	-1.579	.7619	.038	.206	.046	.918
55-59yrs	-1.480	.8100	.068	.228	.047	1.114
Sex while drunk						
Yes	-.748	.1331	.000	.473	.365	.614
No	-.465	.1362	.001	.628	.481	.821
Number of partners	-.300	.0793	.000	.741	.634	.866
HIV positive	-.520	.1006	.000	.595	.488	.724

Note. Source of data is from field survey, 2014

Inconsistent use and abhorrence of condoms have not offered some individuals the opportunities to acquaint themselves with condoms and ways of proper utilisation. This problem of abhorrence has been captured in the following statement:

Some men don't like using condoms. There is a man in my place, he is positive together with his first wife and both of them are taking drugs. He has married a second wife and he is not using condoms with the second wife and the second wife does not know that the man is positive (Female; single, 26 years).

4. CONCLUSION

In this study, the factors of age, sex while drunk, number of sexual partners, and HIV status significantly correlates with condoms breakage during intercourse; while education, religious organisation an individual belongs to, sex while drunk, number of sexual partners, and HIV status significantly correlates with condoms slip off. Ineffective use of condoms such as breakage and/ or slip off has not been given much attention, despite the fact that it poses HIV risk comparable to inconsistent or non-utilisation of condoms during intercourse among those keeping multiple partners. It seems inconsistent or non-utilisation of condoms might be contributing factors to ineffective condoms use. Several studies have suggested likely reasons for inconsistent or non-utilisations of condoms among partners; those who are in need of procreation are predisposed to not utilising condoms during sex [16]. Another observation consistent with non-utilisation of condoms has been made in Nigeria where the men insist that condoms should not be used during sex, thus increasing the propensity for inconsistent or non-utilisation of condoms [17]. Similarly, men in Kenya are more likely not to use condoms with casual or regular partners [18]. Knowledge of HIV transmission, and religious affiliation of the individuals can influence inconsistent or non-utilisation of condoms [19,20]. In this study, condoms slip off was more common among those living with HIV.

Among 108 male Clinic attendees in Sydney who used 4809 condoms during intercourse in the 12 months preceding the study, 4.9% experienced breakages, while slipped off was 3.1% [21]. The study further reported that the correlates of condoms breakage were infrequent use, male sexual partner (s), and rolling the condom on; while the correlates of condoms slipped off were young age, being circumcised, having less life-time condom experience. Age as a factor for condom breakage or slip off reported by Richers and his colleagues corroborates the findings in our study. Trussell and his colleagues [22] also observed condom slip off or breakage (7.9%) during intercourse or withdrawal among 68 couples who used 405 condoms during the study in USA.

It can be inferred that condom breakage or slip off during intercourse or withdrawal is a common phenomenon among sexual partners using the male condoms in both the developed and less developed countries. Whereas condoms breakage may be attributed to low quality, poor storage conditions,

expiry and improper usage; slip off results from improper use. The rates of condom breakage and slip off in Tiv Land, Nigeria requires policies addressing quality and storage of condoms. Furthermore, efforts should be geared towards developing the capacity of sexual partners to perform safer sex through effective utilisation of condoms. This would arrest the possibilities of HIV infections under seemingly protected sex, and enhance the sexual wellbeing of individuals and public health.

ETHICAL ISSUES

Application for Ethics clearance was sent to ACU HREC, and Ethics approval with registration number 2013 233V was given in March, 2014, and was renewed annually throughout the period of the study. The researcher adhered completely to the ethical provisions of both the University and other regulatory bodies (Nigeria) involved in overseeing research conducted with human beings. The ethics approval from ACU was sustained in Nigeria. The research was conducted with integrity noting its responsibilities to all stakeholders.

COMPETING INTERESTS

Author has declared that no competing interests exist.

REFERENCES

1. Joint United Nations Programme on HIV/AIDS (UNAIDS, 2021). Country factsheets Nigeria 2020: HIV and AIDS estimates: UNAIDS; 2021 Nov 5. Available: <https://www.unaids.org/en/regionscountries/countries/nigeria>
2. Bashorun A, Nguku P, Kawu I, Ngige E, Ogundiran A, Sabitu K, et al. A description of HIV prevalence trends in Nigeria from 2001 to 2010: what is the progress, where is the problem? The Pan African Medical Journal, 2014;18(Suppl1).DOI: <https://doi.org/10.11694/pamj.suppl.2014.18.1.4608> PMID: 25328622
3. Jahagirdar D, Walters MK, Novotney A, Brewer ED, Frank TD, Carter A, et al. Global, regional, and national sex-specific burden and control of the HIV epidemic, 1990–2019, for 204 countries and territories: The Global Burden of Diseases Study 2019. The Lancet HIV. 2021;8(10):e633–e51. DOI: [https://doi.org/10.1016/S2352-3018\(21\)00152-1](https://doi.org/10.1016/S2352-3018(21)00152-1) PMID: 34592142
4. Mberu BU. Protection before the harm: the case of condom use at the onset of premarital sexual relationship among youths in Nigeria. Union for African Population Studies. 2008;23(1):57-83.
5. Adebisi AO, Asuzu MC. Condom use amongst out of school youths in a local government area in Nigeria. Afr Health Sci. 2009;9(2):92-97.
6. Smith DJ. Premarital sex, procreation, and HIV risk in Nigeria. Studies in Family Planning. 2004;35(4):223-235. DOI: <http://dx.doi.org/10.1111/j.0039-3665.2004.00027.x>

7. Akinyemi JO, Awolude OA, Adewole IF, Kanki PJ. Condom use among antiretroviral therapy patients in Ibadan, Nigeria. [Research Support, Non-U S Gov't. J Infect Dev Ctries. 2010;4(8):495-502.176
8. Amoran O, Ladi-Akinyemi T. Sexual risk history and condom use among people living with HIV/AIDS in Ogun State, Nigeria. J Sex Med. 2012;9(4):997-1004
9. Danjin M, Onajole AT. HIV/AIDS Behavioural tendencies among secondary school students in Gombe, Nigeria. Internet Journal of Health. 2010;11(1):1-12.
DOI:10.5580/b8a
10. Oyediran KA, Feyisetan OI, Akpan T. Predictors of condom-use among young never-married males in Nigeria. J Health Popul Nutr. 2011; 29(3):273-285.
11. Chingle M, Odunze P, Mohammed A, Bitto T, Sodipo O, Zoakah A. Predictors of male condom utilization in Plateau State, Nigeria. Nigerian Journal of Clinical Practice. 2017;20(9):1079–87.
DOI: https://doi.org/10.4103/njcp.njcp_56_17
PMID: 29072229
12. Centers for disease control and prevention (CDC, 2021). What are condoms?; 2021 Nov 5. Available:<https://www.cdc.gov/hiv/basics/hiv-prevention/condoms.html>
13. Protogerou C, Johnson BT, Hagger MS. An integrated model of condom use in Sub-Saharan African youth: A meta-analysis. Health Psychology. 2018; 37(6):586. <https://doi.org/10.1037/hea0000604> PMID: 29708390
14. Mberu BU. Protection before the harm: The case of condom use at the onset of premarital. African Population Studies. 2008; 23(1).
15. Timiun GA. Sexual webs model for the examination of unsafe sexual behaviors and the spread of sexually transmitted diseases including HIV/AIDS. Asian Social Science. 2012;8(7).
DOI: 10.5539/ass.v8n7p119
16. Asa S, Titilayo A, Kupoluyi J. Assessment of contraceptive use by marriage type among sexually active men in Nigeria. International quarterly of community health education. 2018;38(3):181–94.
DOI: <https://doi.org/10.1177/0272684X17749800>
PMID: 29307287
17. Bolarinwa OA, Ajayi KV, Sah RK. Association between knowledge of Human Immunodeficiency Virus transmission and consistent condom use among sexually active men in Nigeria: An analysis of 2018 Nigeria Demographic Health Survey. PLOS Glob Public Health. 2022;2(3): e0000223. DOI: <https://doi.org/10.1371/journal.pgph.0000223>
18. Olagunju OS, Obasanjo BA, Temitope EP, Saliu O, Taiwo I, Musa Z, et al. Does family planning messages exposure in the preceding 12 months period predict the current use of a modern family planning method among women of reproductive age in Nigeria? American journal of public health. 2020;8(3):100–4.
19. Faust L, Yaya S. The effect of HIV educational interventions on HIV-related knowledge, condom use, and HIV incidence in sub-Saharan Africa:

- a systematic review and meta-analysis. BMC Public Health. 2018;18(1): 1-14.
20. Sinai I, Omoluabi E, Jimoh A, Jurczynska K. Unmet need for family planning and barriers to contraceptive use in Kaduna, Nigeria: culture, myths and perceptions. Culture, health & sexuality. 2020;22(11):1253–68.
 21. Richters J, Gerofi J, Donovan B. Why do condoms break or slip off in use? An exploratory study. Int STD AIDS. 1995 Jan;6(1):11-8. DOI: 10.1177/095646249500600104 PMID:7727577
 22. Trusell J, Warner DL, Hatcher RA. Condom slippage and breakage rates. Family Planning Perspective. 1992 Jan-Feb;24(1):20-3.PMID:1601122.

Biography of author(s)



Dr. Godwin Aondohemba Timiun

Australian Catholic University, 115 Victoria Parade, Fitzroy Vic 3065, Melbourne, Australia and Department of Sociology, Benue State University, Makurdi, Benue State, Nigeria.

Research and Academic Experience: He has twenty One (21) years of research and academic experience at both the undergraduate and postgraduate levels. He is a fellow of International Society for Development and Sustainability, and Directorate of Sexually Transmitted Disease, International Agency for Standards and Ratings.

Research Specialization: His area of research includes demography (reproductive health), social research methods, and social statistics.

Number of Published papers: He has over Twenty publications in peer reviewed Journals and Book Chapters.

Special Award (If any): He has received Australia Catholic University outstanding commencing international student award.

Any other remarkable point(s): He has also a member of eight professional bodies including International AIDS Society, Institute of Development Administration of Nigeria, International Union of the Scientific Study of Population, Population Association of America; Union of the scientific study of Population in Africa, American Sociological Association, and American Research Institute for Policy Development.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

The Chinese Teachings of Self-Cultivation to Form a Moral Being

Wen Ma^{a*}, Yaqin Zhu^a, Chunli Li^a, Bo Zhang^a and Xin Tian^a

DOI: 10.9734/bpi/rtass/v8/19863D

ABSTRACT

In ancient days, the Confucian classics tell us to pay close attention to rectify our thoughts and deeds. Nowadays, people who are concerned about the harmony of a society emphasize on the significance of self-cultivation. This article introduces the examples of the Chinese teachings of self-cultivation: to protect the weak ones; to cherish creatures; and to abstain from losing one's trustworthiness, obloquy, and scolding and cursing. It argues that what is common among all the above mentioned representations in the nature of morality is benevolence, trustworthiness and ritual propriety – the contents of self-cultivation.

Keywords: Confucius; mencius; self-cultivation; morality; trustworthiness; manner.

1. GENERAL TRENDS

The reason why a person differs from an animal is because she has morality [1]. To do what one should do is called morality. It is the original source of all moral deeds. And the joy we receive from practicing morality is called moral nature [2]. Physical strengths and intelligent power are resources to carry out morality; yet, if an individual's moral nature does not take the lead, her life is like a whole troop without a general. Her strong physical power will increase violence and her excellent intelligence will help the wrecked [3]. It is a shame.

What is common among all representations in the nature of morality is benevolence, trustworthiness and ritual propriety [4]. Benevolence is to love all; trustworthiness is to be honest; and ritual propriety is to take a proper stance. All things in the society are completed with the roots of benevolence, trustworthiness and ritual propriety. If the whole nation is filled with people who are selfish, then the moral cultivation and discipline will disappear [5]. Confucius says, "Let his words be sincere and truthful and his actions honorable and careful- such conduct may be practiced among the rude tribes of the South or the North" (The

^a Langfang Normal University, China.

*Corresponding author: E-mail: wen.ma@queensu.ca;

Analects, Wei Ling Gong 6). What Confucius tells us is that if people use trustworthiness to deal with others, and always hold the aim of treating others with a sincere and selfless manner, then, even the most violent person cannot offend her [6]. On the contrary, if one forgets about principles and justice, then, even the most gentle and weak person will pay back with an impolite manner. This article introduces the Chinese way to cultivate one's nature of morality. Its goal is to share the Chinese teachings that are passed down from generations: to always follow one's good conscious. If our thoughts, deeds and words can meet the needs of our good conscious, and are free from selfish sentiments, then we will live in a life that is guilt-free. We will become a moral being [7].

2. TO PROTECT THE WEAK ONES

In above mentioned paragraphs, we discuss the reason why we need to champion the cause of the weak. We say this under the circumstance when there is a conflict between the strong and the weak. In fact, no matter when, people always have sympathy and unsettled feelings toward the weak ones. It is a common human psychology that equality is the same as setting one's mind at rest [8]. When seeing someone who is weak, we right away feel inequality, and would like to do something to make him equal with everyone else. To reduce the extra gain to supplement the inefficiency is the reason why we protect the weak [9].

Animals evolving in a slower pace than humans have already done so. For example, in Peru, the wild goats often walk in groups. When facing hunters who attack them, the strong goats will stop and play the role of protectors. They will wait until all the goats safely walk away. Some rat families will give food to those ones who lose eye sights. In India, there is a type of bird. They would regularly provide food to those who loose eye sights or are wounded. As humans whose evolving has reached a great degree, can our behavior not be as good as goats, rats and birds? When stepping in and out of a vehicle or a boat, we yield the way to people who are disabled and assist them when it is difficult for them to stepping in and out of a vehicle or a boat. On buses, when seeing a woman, we need to give our seats to her. If the bag she carries are too heavy, we help her to place it safety. These are the examples to protect the weak.

The ship that is traveling on the ocean will use safety boat when encountering unfortunate events. According to the usage, it is necessary to give the priority to women and children. When there are extra empty spaces, men can climb in. If there are unreasonable men dare to fight with women or children, it is necessary to give him the most severe punishment. This is an act we have to do for the purpose of protecting the weak.

It is unavoidable that war involves killing. This is a sad thing. Yet, soldiers who surrender or are wounded, and women and children from the belligerent state cannot be hurt according to the conventions. From this fact we can see that to protect the weak ones is the common will for all humankind [10].

3. TP CHERISH CREATURES

Mencius says, an exemplary person is “lovingly disposed to people generally, and kind to creatures.” (The Work of Mencius, Jin Xin I : 45). This passage tells us: an individual will extend her kind heart to all creatures. Thus, “is the superior man affected towards animals, that, having seen them alive, he cannot bear to see them die; having heard their dying cries, he cannot bear to eat their flesh.”

In Spring and Autumn period, Mengsun from the State of Lu captures a deer. He then asks his friend Qinxu Ba to put the deer on a cart and bring it back. When Qinxu Ba sees the mother of the small deer following the cart all the way, he cannot help but release the small deer. Mengsun turns furious and throws Qinxu Ba out. Three months later, Mengsun asks Qinxu Ba to return and invites him to be the teacher of his son. He says, “for someone who has a kind heart to a deer, he can never hurt a child.” This story indicates that a heart to care for people and a heart to care for creatures are closely linked. This statement has already been accepted by people from ancient times. Presently, science has achieved great development. Thus, the following evidences show and teach people that we need to care and protect all creatures.

Firstly, in olden days, people often believe that “Spirits creates animals for people to enjoy”. Mr. Tian in the State of Qi once provides a sacrificing ceremony in his garden. There are one thousand of people are invited. They bring fishes and geese to the ceremony. Mr. Tian sees the gifts and signs: “the heaven is too kind to humans! It raises grains, fishes and birds for people to enjoy.” All the guests agree with him completely. Mr. Bao's Son who at that time twelve years old is sitting among the guests. He comes forward and says, “The truth is not what you just said. All creatures from the heaven and earth are living in togetherness with us. The only difference is that we belong to different types. We are not differing in terms of status. We are tied up by different sizes or diverse intelligence. We depend on each other for food, not living for each other. Humans take what they can eat. It is not that they are eaten are created by the heaven. Mosquitoes bite human skin, tigers and wolves devour meat. Can we say that the heaven deliberately creates humans for mosquitoes to bite, and creates meat for tigers and wolves? ” We can tell that the remarks of this boy are quite advanced. Since the birth of revolution, we understand that humans are evolved from other types of animals. We share the same ancestor [11].

Secondly, there is an old saying of “animals have mere perception; humans have soul”. Since physiology has developed, we know that what is called soul is mere the summary of senses. We also realize there are dogs that can speak, horses that are count as a result of the development of animal psychology. All the evidences tell us that the senses of animals are the same as humans. The only difference is mere levels [12].

Thirdly, in olden days, people depend on animals to help them perform physical works. They whip and curse them until the animals become exhausted. As a result, the intention of loving and caring all creatures is hindered by a selfish

mind. Since machines have been developed in a speedy fashion, works involving animals such as transportation and planting have been replaced by machines. Thus, the acts of enslaving animals have been gradually disappearing [13].

Fourthly, eating meat is used as a primary way to maintain health in ancient time. The science of hygienics discovers the disadvantage of meat-eating. It not only spreads the contagious microbes, but when microbes are dying, they release a virus that is harmful to people who eat meat. As a result, vegetarianism becomes a fashion and slaughtering house is expected to vanish soon [14].

Nowadays, animal protection organizations become prevalent. Yet, the conducts of slaughtering and hunting still exist. Yet, we believe that through education, people's tolerance towards animals will be shown. In ancient times, Zhaizhuang from the state of Jin eats after planting his field, and hunting and finishing as his leisure. When he gets old, he stops hunting. People ask him: "Both fishing and hunting are things that hurt other creatures' lives. Why do you only quit one of them?" Zhaizhuang replies, "I take initiative to hunt; Fish come to me. Since I cannot quit two things at the same time, let me get rid of one thing that will hurt creatures' lives the most." When Zhaizhuang turns old, he stops fishing as well. Without a doubt, the universal act of caring and protecting animals will gradually become advanced.

4. TO ABSTAIN FROM LOSSING ONE'S TRUTHWORTHINESS

There are two types of losing one's trustworthiness: to break one's promise and unpunctuality.

The mistake of breaking one's promise is sometimes due to the unpredictable change of a plan. For example, Jinwengong in the State of Jin once heads the troops to crusade against the state of Yuan. He orders to bring food for three days. Yuan refuses to surrender, so he orders to retreat. A spy comes and reports to him: "The general of Yuan is about to surrender." The officer says: "Let's wait to retreat." This is an example of breaking one's words due to the changing of a plan. In other situations, people break their words because they forget things. One day, Weixiangong asks two of his friends, Sunwenzi and Ninghuizi, for dinner. The sun is setting and the dinner is still not ready yet because Weixiangong forgets his visitors and plays in his garden. Sometimes people make light promise. Like Laozu says to us: "The one who easily promises are difficult to trust." When Jinwengong hears what his officer suggests, he says, "It is worthless to gain the state of Yuan and losing one's promise." Here, Jinwengong teaches us: To break one's promise with an excuse of changing the plan is not doable. People in the state of Chu often say: "To gain lots of gold is less valuable than receiving Jibu's promise." Jibu does not easily make a promise. Once he does, he will certainly keep it.

The mistakes of unpunctuality can be made by various reasons. Guoji from Han Dynasty is traveling. When he reaches a place by the name of Meiji, he encounters a group of children who are riding on bamboo horses and performing

a ceremony to welcoming Guoji. Later, the children send Guoji to outside of the town and ask him when he will return. Guoji counts the date and tell the children. When Guoji returns, he is one day earlier than expected. Guoji thinks that this is to be contrary to the date that he promises to the children, he stops at the countryside and waits until the right date to enter the town.

Zhuoshu from the state of Wu is a sincere person. When he has a date with others, he will keep his promise for sure no matter even there is a snow storm. One day, he goes to say goodbye to his friend Zhugeke before returning home from Jianye. Zhugeke asks, "When will you return?" Zhuoshu tells his friend a date and says: "I will come to see you that day". When the date approaches, Zhugeke invites a large group of guests. He does not enjoy the feast himself but waits for Zhuoshu. All his guests believe that it is impossible for Zhuoshu to return because the two places are miles away from each other. Finally, Zhuoshu comes back right on time and all the guests at the banquet are surprised. Thus, we can tell from this story that we need to be punctuate when dealing with others. The reason why the relationship among people can predict the future of friendship will lead, and the relationship will not be in a chaotic fasion is due to promises. Situation can easily turn to a disorder when promises are not kept. The mind of suspicion will arise. Even though a mistake led by unpunctuality is less severe than breaking one's promise, it can result in wasting time and losing one's trust. It needs to be prevented right away [15].

5. TO ABSTAIN FROM OBLOQUY

Each one has a mind to distinguish truth and false. It is correct to admit the right things as right, and the wrong things as wrong. Each person holds a feeling of praising good people and their good deeds and hate bad people and their bad deeds. It is correct to say that we treat the good one with love, and the bad one with hate. It is difficult to make a right judgment that the nature of one thing is right or conclude that the character of one person is bad because there are complex factors involved in them [16]. Sometimes we say that this person is good or one thing she has done is right. The possible harm we cause by making this type of judgment may be minimal. Yet, there can be a greater harm if we make inappropriate judgments by saying that this person is bad or one thing she has committed is wrong. Thus, when criticize, we shall keep the following principle in mind: to reveal her goodness and rightfulness and cover her badness and wrongfulness. Even there is nothing to cover, what we can do is to say "no" to things they have done wrong, and to blame their badness. If there is nothing wrong or bad, the whole thing is imagined; or when the mistake and badness are not serious and they are exaggerated, it is called a slander [17]. Slander is something we need to prohibit [18].

Let's investigate the motive behind slander? Is it because to envy at another person's fame? Is it because one thinks that other's failure will bring advantage to herself? Or is it because one is using slander to hurt others to revenge? If we ask our conscience, we can do nothing from the above mentioned explanations. Those who slander often make the ones who are slandered to be blamed. They

in turn, will hurt themselves [19]. Shenxian from Han Dynasty once casts aspersions on Xuexuan for not being filial. Xuekuang, the son of Xuanxue has a friend by the name of Yangming. When Yangming hears about it, he beats up Shencheng outside of the royal palace. The prime minister thinks that the chaos led by ordinary people is wrong, so he decides to give Xuekuang a death penalty. Other officials believe that all people who are involved in the incidence are wrong including the one who are determined to revenge. At the end, all are exempt from death. Presently, all laws from civil nations indicate that if one is given an untrue and harmful statement about herself, she has the rights to compensate. It proves that the one who slanders will harm herself.

In ancient days, the one who is accused often do not give an alibi. In other words, the best way to stop accusations is to keep silence – a way of self-cultivation. Banchao in Han Dynasty is send by the Emperor to work in the territories of Turkestan. His colleague Liyi writes to the Emperor saying that Banchao is incapable of doing a good job in Turkestan. The emperor becomes very angry and blames Liyi while ordering him to return to Turkestan to work for Banchao. Later, Banchao asks Liyi to bring the hostage back to the Capital city. Another colleague of him asks: “Liyi used to humiliate you and ruin your career. Why do you not keep him here and ask him to return to the Capital?” Banchao says: “Liyi used to humiliate me, but I ask him to return to the Capital. I have a clear conscience, and I am not afraid of gossips.”

Cuixian is the prime minister in the State of Northern Qi. One day, he tells the emperor Wenxiang that Xingshao is the one he should be close and trust. Xingshao does not know what Wenxiang says to the emperor. Instead, he often makes untrue and harmful statement about Cuixian. The emperor Wenxiang is very upset. He says to Cuixian: “You often say good things about Xingshao, yet Xingshao is determined to slander you. Xingshao is such a foolish person.” Cuixian replies: “Xingshao is not a foolish person. What he says is nothing but truth.” This story is a good example of not finding excuses. People in the stories show us what nobilities are. They also teach us that although their virtues can make the ones who slander ashamed, slander needs to be prevented [20].

6. TO ABSTAIN FROM SCOLDING AND CURSING

Like other culture, the mistake we Chinese often make is curse [21]. A stranger whom we have never met before can incidentally have a minor offence with us. For example, two people may bump into each other. The issue can be solved by apology. Instead, they open their mouths and begin to curse. Sometimes they curse other animals, other times, they curse others' ancestors. This type of situation is common no matter it is people from Northern part of China such as Hebei Province or Southern part of China such as Zhejiang Province or Canton.

Is it reasonable to call each other animals when we are actually humans? According to the history of evolution, humans are relatively advanced among mammals, and reptiles are ancestors of mammals. Human fetus that develops for twenty eight days is the same as the fetus of dogs and turtles developing at

the same speed. Yet, when people curse others as animals, are they claiming that the level of their evolution is lower? The answer is no and many people hold this belief. For instance, Liukuan from Han Dynasty once sets up a banquet. He sends his servant to purchase liquor. After a while, the servant returns and is very drunk. The guests cannot accept the servant's behavior and curse him: "you are raised by an animal!" After a while, Liukuan sends people to keep an eye on the servant, because he is afraid that the servant will take his life away. He says to his guests: "He is also a human. Is there anything more humiliating than being cursed as a child of an animal? I fear that he does not want to live anymore." During the rule of the emperor Fujian in the days of Pre-Qin period, there is this person by the name of Wangduo who is upright and outspoken. He never speaks to Dongrong because he hates him like an enemy. Once, Wangduo says: "Dongrong is like a chicken and dog on the street. We, as the elites of the state should not speak to him." When Dongrong hears this, he is very angry and ashamed. He then persuades the emperor to kill Wangduo. Before Wangduo is killed, Dongrong says to him, "Do you still dare to call me a chicken and a dog?" The sentiment of people from the ancient time is fierce: whether to kill or being killed. How come people in present days do not feel strange when they still apply the ancient ways of cursing others?

When one family member makes a mistake, the rest of the family member shall not be implicated in it. It does not make any sense to insult the whole clan when the hatred feeling is for one individual. In ancient time, there is someone by the name of Sunkuai from the State of Wei. One day he lets the horse drinking water on the property of Zhongqiu, and carelessly breaks the items. People from Zhongqiu curses Sunkuai: "Your father is a brutal person." Let's take a look at another example. The emperor Qiwei is blamed by the emperor Zhouan. He is mad and begins to curse him: "Your mother is a slave and a maid." These are two examples of people from ancient time cursing each others' parents. The foul language can be used while one is laughing at others or teasing others. It says in the ancient classic of Baopuzi: "The words that are used to laughing at others or teasing others can sometimes involve ancestors and women." I dislike and severely blame this way of thinking. Once Chenlingong and Yixingfu have an adultery affair with the mother of Xiaweishu. One day, they go to the mother of Xiaweishu for a drink. Chenlingong teases Yixingfu by saying: "Xiaweishu looks just like you." Yixingfu responds: "He looks like you as well." At the end, Chenlingong is killed by Xiaweishu because of the teasing remarks he makes. The lesson we learn from the ancient time is obvious, and people presently shall not learn from them and naturally curse each other. Why is it?

People are used to speak by scolding or cursing. Even the most unreasonable words, they do not bother to investigate why people say what they say. Later on, it becomes normal for them to say what others say. The ancient saying says, "A child from the Confucius's family does not curse because they receive good education since they are born." I hope that people who are sensible can pay attention to their harmful habits and correct them [22].

7. CONCLUSION

The Western proverb tells us, righteousness is the best strategy. The Chinese sages and stories teach us that to live in this world, we cannot do things we want to do. Instead, we must do things we should do. This type of belief and practice is called morality [2]. It is impossible for one to become a moral individual. She must hold faith and methods. Self-cultivation is the method to guide us to realize the goal of becoming a moral being [23].

It is to say a lie when one cheats; it is called to break a promise when the words are said and one cannot keep his words. If these types of incidences occur continuously, people will begin to warn each other to not to work with them. Those who lie or lose their credibility will become lonely although they live in this world [24]. They will survive in a world just like a desert. Isn't this type of pain they create by themselves?

Language is the voice of one's heart. While living in this world, we cannot speak what we like or without manners. If we do not care for the time, place or people in front of us and talk endlessly, we will not be liked or welcomed. Sometimes, we praise our own merits, or criticize others' shortcomings. This type of behavior will bring hatred and complaints [25].

Although the contents of moral self-cultivation vary, it demands each one of us to practice. When we believe in the importance of self-cultivation, yet we do not carry it out, we cannot say to truly believe it. On the other hand, it is difficult to exercise our deeds if we lack knowledge and education [26]. People who hold wicked thoughts will not perform righteous deeds; a person whose mind is filled in with selfish desires will not serve the public good; it is impossible for an individual who deceives herself to gain trust from others; and a person who does things to demean herself will never gain others' respects [27-31]. Thus, the Chinese teachings conclude that although the contents of moral education vary, its root lies in self-education.

COMPETING INTERESTS

Authors have declared that no competing interests exist.

REFERENCES

1. Luo S. Setting the record straight: Confucius' notion of Ren. *Dao: A Journal of Comparative Philosophy*. 2012;11(1):39-52.
2. Bucke RM. *Man's moral nature: An essay*. New York: G. Putman; 1879.
3. Biddle SJH, Wang J, Chatzisarantis N, Spray CM. Motivation for physical activity in young people: Entity and incremental beliefs about athletic ability. *Journal of Sports Sciences*, 2003;21:973-989.
4. Cunshan Li. *An outline of Chinese traditional philosophy*. China; Reading, England: China Social Sciences Press: Paths International Ltd; 2015.

5. Huang Y. Confucius and Mencius on the motivation to be moral. *Philosophy East & West*. 2010;60(1):65-87.
6. Kleinman A, Jun J, Yan Y, Zhang E. *Deep China: The moral life of the person*. Berkeley, CA: University of California Press; 2011.
7. Kleinman A. The art of medicine: Remaking the moral person in China: implications for health. *The Lancet* (British edition). 2010;375:1074.
8. Batson CD, Shaw LL. Evidence for altruism: Toward a pluralism of prosocial motives. *Psychol Inq*. 1991;2(2): 107-122.
9. Baron AS, Banaji MR. The development of implicit attitudes: Evidence of race evaluations from ages 6 and 10 and adulthood. *Psychological Science*. 2006;17:53-58.
10. Mullaly B. *Challenging oppression and confronting privilege: A critical social work approach*. Don Mills, Ont.; New York: Oxford University Press; 2010.
11. Birx HJ. *Human evolution*. Springfield, Ill., U.S.A.: C.C. Thomas; 1988.
12. Tye M. *Tense bees and shell-shocked crabs: Are animals conscious?* New York: Oxford University Press; 2017.
13. Spedding CRW. *Animal welfare*. London; Sterling, VA: Earthscan Publications; 2000.
14. Reijnders L, Soerter S. Quantification of the environmental impact of different dietary protein choices. *The American Journal of Clinical Nutrition*. 2003;78(3S):664S-668S.
15. Arceneaux CJ Sr. Trust: An exploration of its nature and significance. *Journal of Invitational Theory and Practice*. 2022;3(1).
16. Keltner D, Kogan A, Piff PK, Saturn SR. The Socialcultural appraisals, values, and emotions (SAVE) framework for prosociality: Core processes from gene to meme. *Ann Rev Psych*. 2014;65:425-460.
17. Devereil W. *Slander*. Toronto: ECW Press; 1937.
18. Bloom P. *Just babies: The origins of good and evil*. Crown: New York; 2013.
19. O'Farrell C, Nordstorm CR. Workplace bullying: Examining self-monitoring and organizational culture. *Journal of Psychological Issues in Organizational Culture*. 2013;3(4):6-17.
20. Herz M, Molnar P. *The content and context of hate speech: Rethinking regulation and responses*. New York: Cambridge University Press; 2012.
21. Kitz AM. *Cursed are you: The phenomenology of cursing in Cuneiform and Hebrew Texts*. University Park, PA: Pennsylvania State University Press; 2014.
22. Tan C. Mindfulness and morality: Educational insights from Confucius. *Journal of Moral Education*. 2021;50(3):356-367.
23. Froese K. *Ethics unbound: Chinese and Western perspectives on morality*. Hong Kong: The Chinese University Press; 2013.
24. Levine EE, Bitterly TB, Cohen TR, Schweitzer M, Kawakami K. Who is trustworthy? Predicting trustworthy intentions and behavior. *Journal of Personality and Social Psychology*. 2018;115(3):468-494.
25. Smith SA. *Your life isn't for you: a selfish person's guide to being selfless*. San Francisco, California: Berrett-Koehler Publishers; 2014.

26. Peterman JF. Whose tradition? Which Dao?: Confucius and Wittgenstein on moral learning and reflection. Albany, New York: State University of New York Press; 2015.
27. Peters MA. Educational philosophies of self-cultivation: Chinese humanism. *Educational Philosophy and Theory*. 2022;54(11):1720-1726.
28. Legge J. (trans.). *Book of Poetry*.
Available:<http://etext.org/ancient-classics>.
29. Weiling Gong, 6. In Legge J. (trans), *The Analects*.
Available:http://etext.org/the_analects
30. Jin Xin 145. In Legge J. (Trans.), *The work of Mencius*.
Available:http://etext.org/the_work_of_Mencius
31. Song J, Jiao X. Confucius's Junzi: The conceptions of self in Confucian. *Educational Philosophy and Theory*. 2018;50(13):1171-1179.

Biography of author(s)



Dr. Wen Ma
Langfang Normal University, China.

Research and Academic Experience: She teaches at Langfang Normal University, China. Her research interest is Wisdom Education. She writes and publishes scholarly articles in the field of Educational Studies.

Research Area: Her area of research includes moral wisdom education.

Number of Published Papers: She has published 10 research articles in several reputed journals.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

Analysis of the Indicators of Household Food Insecurity in Frances Baard District Municipality of South Africa

**Gothatamang Norman Jonathan Shushu ^{a*},
Victor Mbulaheni Mmbengwa ^b, Jan Willem Swanepoel ^a
and Benjamin Manasoe ^{a,c}**

DOI: 10.9734/bpi/rtass/v8/5778B

ABSTRACT

Food insecurity is becoming a global problem. To ensure that households are food secure, numerous instruments to measure and assess food indicators should be developed using the food indicators measurement. Only a few research have investigated the evolution of household food insecurity indicators. This study aims to assess and measure food insecurity indicators in the Frances Baard District Municipality. A quantitative research design was used in this study, which includes descriptive, correlational, and explanatory research. For this study, a basic random sampling technique was used, with a sample size of 536 respondents. A total of 70.2 percent of the 536 households are large, with four or more individuals. The findings demonstrate a positive and significant relationship between not having any food [$r = (534) = 0.452$, $p = 0.001$], household members eating few meals [$r = (534) = 0.439$, $p = 0.001$], and a shortage of food for the households. These findings suggest that an increase in food-insecure households in this municipality might reduce food security by 11.6 percent ($B = -0.499$, $p = 0.030$). Home food security could be reduced by 11.2 percent ($B = -0.547$, $p = 0.032$) if household members go to bed hungry. Food security indicators in households should be used to assess food insecurity in the Frances Baard Municipality. Households with many dependents have a tough time getting food. To minimise food insecurity, it is suggested that domestic agriculture and food gardens be promoted and supported. The study revealed that women are mostly affected by food insecurity, government should develop measures to address food insecurity for women.

Keywords: Indicators; insecurity; households; Frances Baard District municipality; South Africa.

^a University of the Free State, South Africa.

^b University of Limpopo, South Africa.

^c Tshwane University of Technology, South Africa.

*Corresponding author: E-mail: mnshushu@gmail.com;

1. INTRODUCTION

Food insecurity is an increasing concern worldwide; it is estimated that over 1 billion people lack access to sufficient dietary energy, with at least double that amount suffering from micronutrient deficiencies [1]. According to the United Nations [2], 265 million people could face acute food insecurity by the end of 2020, nearly tripling the number of people facing severe food insecurity globally [3]. Since 2019, the number of people affected by severe hunger has surged from 135 million to 345 million [4]. Another study conducted by Militao, Uthman, Salvador, Vinberg and Macassa [5] indicates that about 768 million people worldwide (9.8% of the world's total population) are undernourished. Of these, 760 million are in developing countries, of whom 278 million live on the African continent and 261 million in Sub-Saharan Africa. Even if the numbers differ greatly, the general indication is that is a global concern and a visible reality for most people in low- and middle-income countries. Due to recent economic disruptions associated with the COVID-19 pandemic, the high prevalence of food insecurity in South Africa may have worsened. Findings from the National Income Dynamics Study-Coronavirus Rapid Mobile (NIDS-CRAM) survey suggested that in March 2021 about 35.0 % of the South African population ran out of money to buy food (van der Berg, Patel and Bridgman, 2005). The same survey reported an increased risk of screening for depressive symptoms from 21.0% in 2017 to 29.0% in 2021, with food-insecure households being the most affected [6].

Food insecurity is defined as a lack of secure access to adequate amounts of safe and nutritious food for normal growth and development, as well as an active and healthy lifestyle [7,8]. Additionally, Animasaun et al. [4] and Militao et al. [5], define food insecurity as a situation whereby access to safe, healthy, and nutritious meals is restricted, uncertain, limited, or unpredictable, as well as the capacity to acquire acceptable foods through socially acceptable means.

Previous research has characterised food insecurity as the inability to obtain food in socially acceptable ways, or the unclear or limited supply of nutritionally sufficient meals [9] (Horwood *et al.*, 2020). It exists when food is scarce and households have trouble obtaining sufficient nourishment [10,11].

Rapid urbanisation exacerbates Africa's high degree of food insecurity by diverting food production resources away from rural areas [12]. Food insecurity disproportionately affects adolescents and young adults in Sub-Saharan Africa (SSA) [13,14]. Food insecurity, additionally, has been observed to have a negative impact on children (aged 15 or younger), females, Black Africans, those living in rural regions, and people with little or no education in South Africa [13].

Currently, South Africa's debt borrowing level is at R2.1 billion a day, and its economic status has been relegated to junk status, compounded by high social security support grants and growing unemployment [15]. According to Stats SA [16], income inequality is crucial when dealing with food security challenges in South Africa. On the other hand, Maxwell, Caldwell and Langworthy [17]

developed the food insecurity Coping Strategies Index (CSI) to weigh coping behaviours at the household level. According to these authors, the index was beneficial in gauging localised food insecurity for practical humanitarian agencies and researchers. However, it has not proved particularly effective for comparing the relative severity of different crises, nor for geographic targeting or resource allocation [17].

Despite CSI's development, it remains unclear how to measure and scan the food insecurity indicators at the district municipality level. The current studies are not conclusive as to the baseline food insecurity indicators at that level. This gap makes it difficult to effectively monitor and evaluate the status of food insecurity in households. In this study, the food insecurity indicators and their situation in households will be unpacked and scrutinised. The chapter tackles the following question: What are the indicators of household food insecurities in Francis Baard District Municipality? This chapter presents the introductory context to food insecurity, followed by the methodology adopted, the results and discussion, and then the conclusion and recommendation.

2. RESEARCH METHODS

2.1 Study Area

The Frances Baard District Municipality is a Category C municipality located in the far eastern portion of the Northern Cape Province of South Africa. The district shares its northern borders with the North West Province and its eastern border with the Free State Province. The municipality is the smallest district in the Northern Cape, making up only 3% of its geographical area. However, it accommodates the most significant proportion of the province's population. Furthermore, it comprises the four local municipalities of Dikgatlong, Magareng, Phokwane and Sol Plaatje. Kimberley.

2.2 Research Method

The study followed a quantitative research approach, using descriptive, correlational, and explanatory research design to implement the research activities. This design was used conscious of the limitation that it could impose on the research outcome [18]. The positivism research philosophy guided the research in selecting the variables tested to achieve the research objective. The positivism epistemological paradigm assures detailed and accurate world knowledge [19,20].

The strategy used to execute the research process was the survey research methodology, which was quasi-experimental. The survey was conducted in four local municipalities (see Table 1). In this survey, a large proportion (47.6%) of the participants were residents in Sol Plaatje Municipality, followed by 40.5 percent from the Magareng Municipality. Lower participation rates were recorded from Phokwane and Dikgothong, where participation rates were 10.1 percent and 1.9 percent respectively.

Table 1. The municipalities and samples in the Frances Baard District Municipality

Municipalities	Population	10% Sample	Frequency	Percent
Dikgathong	100	10	10	1.9
Sol Plaatje	2555	255	255	47.6
Phokwane	540	54	54	10.1
Magareng	2170	217	217	40.5
Total	5360	536	536	100.0

Source: Survey (2019)

2.3 Sampling

For this investigation, a basic random sample technique was used. In most cases, simple random sampling (SRS) requires a large sample size to reach a set level of efficiency in estimating various functions of complicated model outputs [21], and this typically necessitates a rapid rise in sample size as the dimension of the input space grows. According to Table 1, the study's sample size was 536. Of the 536 respondents, a large number of respondents ($n = 255$) were from Sol Plaatje Municipality and Magareng ($n = 217$). The response rate for the study was 100%.

2.4 Measuring Instruments

A closed-ended questionnaire as a measuring instrument was used to collect the quantitative data from the four local municipalities of the Frances Baard Municipality. The questionnaire was divided into different sections: one section of the questionnaire was designed to provide demographic information such as household profile, age of respondents, gender, respondents' racial group, language, economic status, level of education, marital status, household membership status and municipality.

Another section was used to investigate the household food insecurity indicators, presenting 14 indicator items, to be measured using a seven-point Likert scale. Scale one represented strongly agree, while scale seven represented strongly disagree, with scales four to five representing neutral ratings.

2.5 Construction Validity of the Study

Exploratory factor analysis was applied to responses to the sixteen-item "Indicators of food insecurities" scale in the questionnaire to investigate the underlying structure. The factors were extracted using the maximum likelihood method [principal axis factoring (PAF)], followed by a varimax (orthogonal) rotation. Only the first three components had Eigenvalues larger than, or close to, one (see Table 2), and the scree plot findings indicated that only the first three factors were significant. As a result, for rotation, only the first three criteria (food insecurity, moderate food insecurity, and food security) were kept.

Table 2. Indicators of food securities in Frances Baard District Municipality

Variables	Components	Food insecurity	Moderate food insecurity	Food secured	Communalities
HHEF	Household not having enough food	0.79	0.04	0.22	0.68
HMEP	Household members not able eat preferred	0.75	-0.02	0.25	0.63
HMEFM	Household members eat fewer meals	0.73	-0.19	0.14	0.52
HNFA	Households not having food at all	0.72	-0.09	-0.19	0.58
HMSH	Household members go to sleep hungry	0.68	0.01	-0.30	0.61
SFAFA	Smallholder farmers assist in making food available	0.18	0.75	-0.07	0.60
HAIEFG	Household access essential food from gardens	0.10	0.69	-0.46	0.69
FSCFR	Food from smallholder cheaper than formal retailers	-0.05	0.51	0.74	0.81
	Eigenvalues	2.76	1.34	1.02	
	% of total variance	34.45	16.69	12.79	63.94
	Number of test measures	5	3	2	

Notes: Kaiser-Meyer –Olkin Measure of sampling (KMO) = 0.74, Bartlett's test of sphericity (Chi-square = 867.32, df = 28, sig= 0.000), Determinant = 0.20.
Source: Survey, 2019

Table 3. Results of the internal consistency in the constructs

Variables	Cronbach-α	M	SD	Corrected item-total correlation	Squared Multiple correlations	Reliability interpretation
Food insecurity						
HHEF	0.728	3.679	1.379	0.636	0.470	Good
HMEP	0.743	3.778	1.522	0.581	0.431	Good
HMEFM	0.768	4.084	1.622	0.513	0.266	Good
HNFA	0.750	4.069	1.585	0.564	0.381	Good
HMSH	0.754	4.481	1.399	0.549	0.352	Good
Moderated food secure						
SFAFA	0.078	3.946	1.468	0.300	0.092	unacceptable
HAefg	0.280	4.825	1.538	0.209	0.068	unacceptable
FSCFR	0.027	2.903	1.255	0.128	0.027	unacceptable
Food secure						
HAefg	0.00	4.825	1.538	0.042	0.002	unacceptable
FSCFR	0.00	2.903	1.255	0.042	0.002	unacceptable

Notes: Food insecurity [Cronbach alpha = 0.788,], moderate food security [Cronbach alpha = 0.363], Food security [Cronbach alpha = 0.078].

Source: survey, 2019

The first three categories together accounted for 64% of the overall variance. Table 2 also shows the scale items and their corresponding factor loadings. An item was considered to load on a specific factor if the factor loading was 0.40 or larger for that factor while reading the rotational factor pattern. These criteria resulted in five items loading on the first factor, subsequently labelled "food insecurity." Three items were loaded on the second factor, labelled "moderate food insecurity," and two were loaded on the third, labelled "food security."

2.5.1 Reliability of the study

Table 3 reports the results of the internal consistency of responses as assessed by Cronbach's alpha coefficient. Reliability estimates were 0.788, 0.363, and 0.078 for responses to "food insecurity", "moderate food security" and "food security" respectively. These results indicate good reliability for food insecurity and unacceptable reliability for both moderate and food security. Due to these results, both moderate and food security items were used for further investigations.

2.5.2 Data analysis

The analysis of data was done using three methods: descriptive, correlational, and inferential analysis. The descriptive analysis was used to present the demographic information of the study. This analysis used frequencies, percentages, means and standard deviation [22,23]. The amount and direction of the linear relationship between the variables of interest were determined using correlation analysis. The Pearson Product-Moment Correlation Coefficient (r) was estimated bivariate. The assumptions of normality, linearity, and homoscedasticity were tested and found to be supported before calculating the r .

The standard multiple linear regression analysis (MRA) was performed for the inferential analysis to determine the indicators of food insecurity. The normality, linearity, and homoscedasticity of the residual were met. The multivariate outliers were measured using the Mahalanobis distance (the critical χ^2 value for the $df = 4$, at $\alpha = 0.001$ is 18.467. The study found that the maximum Mahalanobis distance is 21.509, which is slightly higher than the critical value, and hence, there is a slight concern for the multivariate outliers, which is not severe.

3. RESULTS AND DISCUSSION

3.1 Descriptive Analysis

The household participants' demographic status results are summarised in Table 4 (a) and (b), and 6.5 below. These tables provide the results in terms of gender, race, economic, and household membership status.

Table 4a. Demographic representation of the respondents

Variables	Categories	Frequency	Percent
Gender			
	Male	231	43,1
	Female	305	56,9
Ethnicity			
	Caucasian/White	7	1,3
	African/Black	386	72,0
	Indian	8	1,5
	Mixed	135	25,2
	Ancestry/Coloured		
Economic status			
	Employed	122	22,8
	Self-employed	79	14,7
	Pensioner	122	22,8
	Business Entrepreneur	13	2,4
	Unemployed	200	37,3

Source: Survey (2019)

Table 4b. Characteristics of the participants

Variables	Categories	Frequencies	Percentage
Household membership status (HMS)			
	Less than two members	78	14,6
	Three members	82	15,3
	Four members	135	25,2
	More than five members	241	45,0
Highest qualification			
	Never been to school	54	10,1
	Grade R to grade 8	164	30,6
	Grade 9 to grade 12	170	31,7
	Matriculated	90	16,8
	Tertiary qualification	58	10,8
Language			
	English	26	4,9
	Afrikaans	166	31,0
	Setswana	293	54,7
	Xhosa	32	6,0
	Sesotho	14	2,6
	IsiZulu	5	0,9
Marital status			
	Married	217	40,5
	Widowed	43	8,0
	Separated/Divorced	30	5,6
	Never married/Single	244	45,5

Source: Survey (2019)

Table 5. Demographic status of the households per municipality

Variables	Categories	Municipalities - N (%)			
		Dikgatlong	Sol Plaatje	Phokwane	Magareng
Gender	Male	5 (50.0)	130(51.0)	16(29.6)	80(36.9)
	Female	5 (50.0)	125 (49.0)	38 (70.4)	137(63.1)
Race	White	-	6 (2.4)	-	1(0.5)
	Black	10(100.0)	157(61.6)	35(64.8)	184 (84.8)
	Indian	-	2(8.0)	6(11.1)	-
	Coloured	-	90(35.3)	13 (24.1)	32(14.7)
Economic status	Employed	1(10.0)	6(24.7)	10(18.5)	48(22.1)
	Self-employed	-	41(16.1)	12(22.2)	26(12.0)
	Pensioner	-	46(18.0)	13(24.1)	63(29.0)
	Entrepreneurs	-	6(24.0)	3(5.6)	4(1.8)
	Unemployed	9(90.0)	99(38.8)	16(29.6)	76(35.0)
Household membership status	Less than two members	-	48(18.8)	6(11.1)	24(11.1)
	Three members	2(20.0)	48(18.8)	6(11.1)	26(12.0)
	Four members	2(20.0)	51(20.0)	18(33.3)	64(29.5)
	More than five members	6(60.0)	108(42.4)	24(44.4)	103(47.5)

Source: Survey (2019)

Table 4 shows the results of the demographic representation of the household participants in the sample. According to the results, it is revealed that more female households (56.9%) were dominant participants compared to their male counterparts (43.1%). Furthermore, the results showed that the majority (72.0%) of participants are from black households, followed by the coloureds, who constitute 25.2 percent of the sample, and the minor participants, were Indian (1.5%) and white (1.3%).

Although the participants have diverse economic classes, it is clear that the dominant group within the participants is the unemployed (37.3%) and pensioner (22.8%) groups. Notably, employed households were the second largest (22.8%) together with the pensioner class. The employed numbers are lower than expected. The worrying observation is that participation in this survey attracted few (2.4%) business entrepreneurs.

Of the 536 households, 70.2 percent have households with four members and more (see Table 4b). These results imply that most households have a more significant responsibility to ensure that households are food secure. Of the 536 participants, 478 (89.2%) of the households are poorly educated. This result implies that it could be difficult for households to rely on other sources as sources of food beside agriculture.

The participants are dominated by Setswana speaking people (54.7%), followed by Afrikaans (31.0%) and Xhosa (6.0%). The results show that vulnerable groups such as widow, divorcee, and single-headed households are dominant (59.1%) relative to the married families in the households represented in the sample.

3.1.1 Gender of the households

Gender participation in this study varied by municipality (see Table 4). However, in the Dikgatlong municipality, there was equal participation between males and females. In Sol Plaatje, it was found that the difference in participation was unequal, with males being in the majority (51%) and females at 49 percent. In Phokwane, it was found that males were in the majority (70.4%) and females (29.6%) in the minority.

The opposite trend was seen in Magareng, where females were the majority (63.1%), and males were the minority (36.9%). It appears that in Phokwane and Magareng municipalities, there are more women participating in their households. These results may indicate that the women lead these households. Alternatively, these results may be indicative that women are mostly affected by food insecurity. Recent studies contend that women relative to their male counterparts, are affected more by food insecurity [24].

3.1.2 Ethnic grouping distribution

In this study, the results show that black households were the majority participants in all the municipalities under consideration, with Magareng having the highest (84.8%) level of black participants, followed by Phokwane (64.8%) and Sol Plaatje (61.6%). However, with the coloured communities, Sol Plaatje

had the highest (35.3%), followed by Phokwane (24.1%) and Magareng (14.7%). The dominance in the participation is according to the demographic representation of the different municipalities in the Frances Baard District [25].

3.1.3 Economic status

The respondents are mainly drawn from poverty-stricken households. The results reveal that 90 percent of the Dikgatlong respondents are unemployed, while 39 percent of the Sol Plaatje, 35 percent of the Magareng, and 30 percent of Phokwane are from the district's unemployed communities. This observation is also exacerbated by the high level of the pensioner participants, especially in Sol Plaatje and Magareng, while very few are drawn from entrepreneurial backgrounds.

3.1.3.1 Household membership status

The results show that most respondents, regardless of which local municipality they come from, have more than five household members. Given the household membership status results, as reflected in Table 5, it is clear that Frances Baard District households have more than four members, implying that these households may need more capital to be supported.

3.2 Correlational Analysis

Table 6 depicts the correlation for the indicators of food insecurity in the Frances Baard municipality. The results show that there is a positive and robust correlation between household members who are not able to eat their preferred food and households not having enough food [$r = (534) = 0.626, p < 0.001$].

Furthermore, the results show that there is also positive and strong correlation between not having food at all [$r = (534) = 0.452, p < 0.001$], households members eating fewer meals [$r = (534) = 0.439, p < 0.001$] and lack of enough food for the households. Moreover, the results reveal that 54.9 percent of the households go to sleep hungry because there is no food at all [$r = (534) = 0.549, p < 0.001$]. Other results showed that 41.9 percent of households eat fewer meals because they are not able to eat their preferred food [$r = (534) = 0.419, p < 0.001$]. Lastly, the results show that there is a positive and small correlation that smallholder farmers could assist in making food available for the households which do not have enough food [$r = (534) = 0.092, p < 0.050$]. Furthermore, the results also show that smallholder farmers ability to assist in making food available to the household without enough food is small [$r = (534) = 0.120, p < 0.050$].

3.2.1 Inferential analysis

3.2.1.1 Test of multiple regression analysis (MRA) conditions

Before the standard multiple regression analysis (MRA) was performed, several tests were performed to justify its usage. First, the normality test was done using the histogram and P-P Plot of the outcome variable residual (see Figs. 1 and 2).

The results show that the outcome variables were found to be normally distributed.

Table 6. Correlation matrix for the indicators of food insecurity in Frances Baard District

Variables	(1)	(2)	(3)	(4)	(5)	(6)
Households do not have enough food (HNHEF) [1]	1					
Household members not able eat preferred food (HMNAE) [2]	0,626***	1				
Household members eat fewer meals (HMEF) [3]	0,429***	0,419***	1			
No food at all (Food insecurity) [4]	0,452***	0,352***	0,370***	1		
Household members go to sleep hungry (HMGSH) [5]	0,380***	0,372***	0,362***	0,549***	1	
Smallholder farmers assist in making food available (SFAIFA) [6]	0,092**	0,069	0,048	0,064	0,120**	1

Notes: ***= $P < 0.000$, ** = $P < 0.05$. Source: Survey, 2019

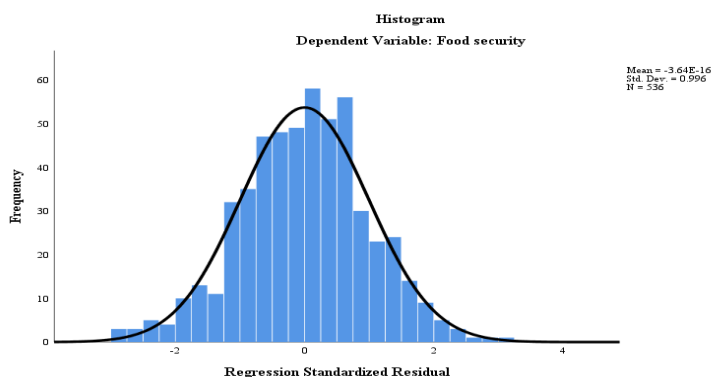


Fig. 1. Test of normality of food security

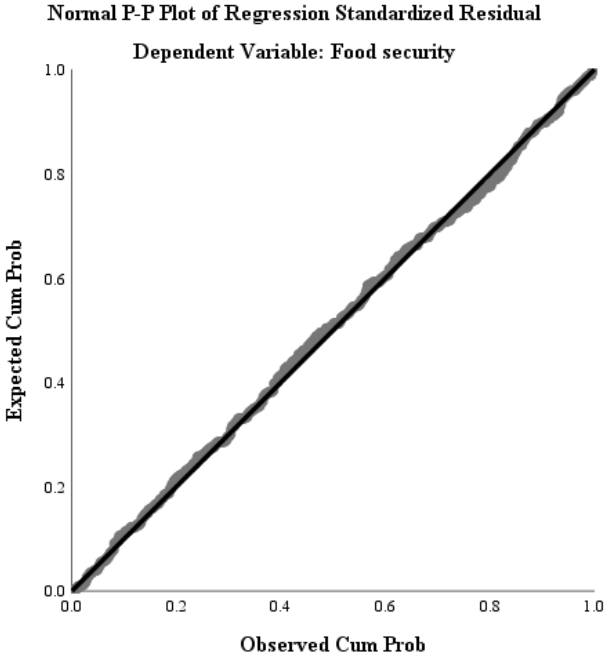


Fig. 2. Test of normality of food security using the P-P Plot

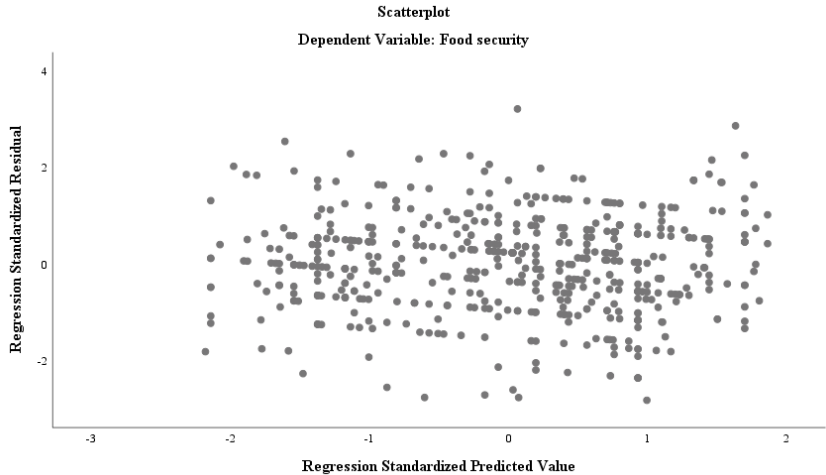


Fig. 3. Test of the homoscledasticity using the scatterplot

This test was followed by the test of homoscedasticity using the standardised residual scatterplot against the predicted values (see Fig. 3), and the observation that there is an absence of any clear pattern in the spread of points indicates that the assumption of the homoscedasticity is met.

Furthermore, the collinearity statistics provide the multicollinearity test results using the tolerance and Variance Inflation Factor (VIF) (Table 8). The results reveal that there is no multicollinearity within the predictors. Lastly, the multivariate outliers were examined using the Mahalanobis distance as presented in Table 7. According to the results, there are few multivariate outlier concerns associated with the residuals (The critical χ^2 value for $df = 4$ at $\alpha = 0.001$ is 18.467, the maximum Mahalanobis distance is 19.476).

Table 7. Test of the multivariate outliers

Residuals Statistics	Minimum	Maximum	Mean	Std. Deviation	N
Predicted Value	41,1429	47,1724	44,3955	1,49243	536
Std. Predicted Value	-2,179	1,861	0,000	1,000	536
Standard Error of Predicted Value	0,327	1,309	0,627	0,156	536
Adjusted Predicted Value	41,0620	47,1363	44,3947	1,49455	536
Residual	-18,87804	21,50974	0,00000	6,66397	536
Std. Residual	-2,822	3,216	0,000	0,996	536
Stud. Residual	-2,842	3,228	0,000	1,001	536
Deleted Residual	-19,13981	21,66995	0,00082	6,72825	536
Stud. Deleted Residual	-2,861	3,257	0,000	1,003	536
Mahal. Distance	0,283	19,476	3,993	2,518	536
Cook's Distance	0,000	0,043	0,002	0,004	536
Centered Leverage Value	0,001	0,036	0,007	0,005	536

a. Dependent Variable: Food security, the critical χ^2 value for $df = 4$ at $\alpha = 0.001$ is 18.467. The maximum Mahalanobis distance is 19.476 (little concern).

Source: Survey (2019)

The MRA model to examine the effects of the food insecurity indicators on food security is presented in Table 8. The use of the R-squared analysis tested the model fit (see Table 8). According to the results, the R-squared of the model was 0.480, implying that the four food insecurity indicators cause 48 percent of the model's variation. The results also indicate that the four indicators jointly can influence the variation in food security ($F(4, 531) = 6.658$, $sig = 0.000$). Out of four predictor variables, two variables were found to be significant to explain the outcome variable. Therefore, the model is good.

Table 8. The effect of the food insecurity indicators on food security

Variables	Unstandardized Coefficients		Standardized Coefficients	Sig.	95,0% Confidence Interval for B		Partial (Sr ²)	Collinearity Statistics	
	B	Std. Error	Beta		Lower Bound	Upper Bound		Tolerance	VIF
(Constant)	49,218	1,094		0,000	47,068	51,368			
Households do not have enough food (HNHEF)	-0,353	0,284	-0,071	0,214	-0,911	0,204	-0,054	0,545	1,834
Household members not able eat preferred (HMNAE)	0,255	0,248	0,057	0,305	-0,233	0,742	0,045	0,587	1,703
No food at all (Food insecurity)	-0,499	0,230	-0,116	0,030	-0,951	-0,048	-0,094	0,629	1,590
Household members go to sleep hungry (HMGSH)	-0,547	0,255	-0,112	0,032	-1,048	-0,047	-0,093	0,659	1,517

Notes: N = 536, F (4, 531) = 6.658, sig = 0.000, R² = 0.480, Adjusted R² = 0.410

The results show that a unit increase in households with no food in Frances Baard District could decrease food security in households by 0.499. These findings suggest that an increase in the number of food-insecure households in this municipality might reduce food security by 11.6 percent ($B = -0.499$, $p = 0.030$). When other predictor variables are held constant, family members who go to bed hungry could reduce household food security by 11.2 percent ($B = -0.547$, $p = 0.032$).

4. DISCUSSION

The identification and analysis of food insecurity at the household level is critical for policymakers, researchers, aid agencies and international donor organisations. This chapter analysed and examined the indicators of household food insecurity in Frances Baard District Municipality of South Africa. A quantitative research design was used in this study, which includes descriptive, correlational, and explanatory research.

One of the main outcomes of the study was that food insecurity is a significant problem, especially within 70.2% of households being large and having four or more individuals. Studies conducted by Kemaw [26], Drammeh, Hamid and Rohana [27]; Sileshi, Kadigi, Mutabazi and Sieber [28]; Sisha [29] and Shahzad, Qing, Rizwan, Razzaq and Faisal (2021) found that larger household size was expected to affect extent food insecurity positively. These findings corroborate the findings of the current study. Whereas, as study conducted at Poland by Poczta-Wajda, Sapa, Stępień and Borychowski [30] found different results. The study found that family size is negatively correlated with the food insecurity level of surveyed farms.

Furthermore, a positive and significant relationship could be established between not having any food, household members eating few meals, and a shortage of food for the households. Some of the main factors identified in the cause for food insecurity include household size, access to food, and dietary diversity. Number of studies [31,32,33,34] found that high food insecurity results into household members eating fewer meals. These findings also support the findings of the current study.

Furthermore, the results also show that smallholder farmers ability to assist in making food available to the household without enough food is small [$r = (534) = 0.120$, $p < 0.050$]. A number of studies indicates that smallholder farmers could serve both reduce rural poverty and improve food security [35,36,37,38,39].

5. STUDY LIMITATIONS

The chapter has identified several limitations that occurred during the data collection process. Some were due to a lack of information regarding production by smallholder farmers and the households that depend on smallholder and subsistence production. According to the research team assessment, the major limitation came from its focus on Frances Baard District Municipality rather than

the entire Northern Cape province, making it impossible for the results to be generalised for either the entire province or other district municipalities. Furthermore, it was realised that the study could not cover all the commodities because the data collection happened in winter when the grain producers were harvesting their crops. Then the team tried to mitigate the effect of the harvesting period by following up on the farmers using a door-to-door data collection strategy. Although the strategy worked to a certain extent, most of the farmers who participated in the interview were fatigued, and their responses were not that good. The community food gardens farmers were also challenging to find during the winter season because their production activities were low. Some of these producers were unavailable due to vacation, and the attempts to get them on their mobile phones did not work out. As a result of these limitations, the findings of this study may not be conclusive in certain aspects of the study. However, attempts were made to ensure that the study provides representative, credible, trustworthy, and reliable outcomes.

6. CONCLUSION AND RECOMMENDATIONS

The study aimed to determine the indicators of food insecurity in Frances Baard Municipality. This study revealed that women might be most affected by food insecurity, with black and coloured households being the worst affected people. The participants were drawn from weak and vulnerable economic classes. The households' large size implies that there should be more financial support for households to be food secure. It was further revealed that business entrepreneurs have marginal participation in household food security, which is a cause of concern given the role that small business plays in the economy. Households' food security should be critical in the Frances Baard District because most households have many dependents. Households involved in agriculture could assist the households to be self-sufficient in producing their own food.

Vulnerable groups are in the majority from the households in the Frances Baard District. The role of the smallholder farmers on household food security is disputed in favour of subsistence agriculture. It implies that gardening will assist in alleviating a households' food insecurity. This result is counterintuitive because most of the literature valued smallholder farming rather than subsistence farming. The reason for this might be due to smallholder farming being able to produce more products than their subsistence counterparts. The higher unemployment, coupled with larger household sizes, lack of adequate education achievement, higher prevalence of single household leadership, widowed and divorced household marital status, have led to insecure households. The food security indicators of households should be used to estimate food insecurity in the Frances Baard District. Households with many dependents have a tough time getting food. To minimise food insecurity, it is suggested that domestic agriculture in gardens be promoted and supported.

It is recommended that the policymakers amend the comprehensive producer support policy to enable the households to be empowered as beneficiaries.

Households' food security indicators should be critical in assessing food insecurity in the Francis Baard District Municipality. The model developed in this study should serve as a practical guide in planning the government's farming support and food security programmes. Since the study has been done in Frances Baard District Municipality, the study's recommendations may be adapted to similar situations or environments.

The policy on comprehensive producer support only recognises the support for the farmers' different categories, rather than the households. The study concurs that food sovereignty as espoused by the Smallholder Farming Theory is essential to reduce household food insecurity by increasing household assets, land acquisition, and promoting small-sized families. This theoretical orientation has been confirmed in the study. The study shows that the critical tenets of Household Food Security Theory have to be workshoped to the farming and rural communities to ensure that critical requirements for household food security are maintained. The study acknowledges the disempowerment of women in smallholder production in the Frances Baard District Municipality despite the implementation of Black Economic Empowerment programmes since 2003. Therefore, female farmers in Frances Baard District require financial and capacity building resources coupled with technological support.

COMPETING INTERESTS

Authors have declared that no competing interests exist.

REFERENCES

1. Barrett CB. Measuring food insecurity. *Science*. 2010;327(5967):825-828.
2. United Nations. World Food Programme (WFP) Report. Rome, Italy; 2020. Available: <https://www.wfp.org/> [Accessed on 12 October 2021].
3. Paslakis G, Dimitropoulos G, Katzman DK. A call to action to address COVID-19-induced global food insecurity to prevent hunger, malnutrition, and eating pathology. *Nutrition Reviews*. 2020;79(1):114-116. DOI: 10.1093/nutrit/nuaa069
4. Animasaun DA, Adedibu PA, Shkryl Y, Emmanuel FO, Tekutyeva L, Balabanova L. Modern plant biotechnology: An antidote against Global Food Insecurity. *Agronomy*. 2023;13(8):2038.
5. Militao EM, Uthman OA, Salvador EM, Vinberg S, Macassa G. Food Insecurity and Associated Factors among Households in Maputo City. *Nutrients*. 2023;15(10):2372.
6. Dlamini SN, Craig A, Mtintsilana A, Mapanga W, Du Toit J, Ware LJ, Norris SA. Food insecurity and coping strategies and their association with anxiety and depression: A nationally representative South African survey. *Public Health Nutrition*. 2023;26(4):705-715.
7. Food and Agriculture Organisation of the United Nations (FAO). OECD-FAO Agricultural outlook 1996. Rome, Italy: FAO; 1996.

8. Drysdale RE, Bob U, Moshabela M. Coping through a drought: The association between child nutritional status and household food insecurity in the district of iLembe, South Africa. *Public Health Nutrition*. 2020;1-14.
9. Anderson SA. The 1990 Life Sciences Research Office (LSRO) Report on Nutritional Assessment defined terms associated with food access. Core indicators of nutritional state for difficult to sample populations. *Journal of Nutrition*. 1990;102(11):1559-1600.
10. Arndt C, Davies R, Gabriel S, Harris L, Makrelov K, et al. Covid-19 lockdowns, income distribution, and food security: An analysis for South Africa. *Global Food Security*. 2020;26:100410.
11. Nhamo L, Mabhaudhi T, Mpandeli S, Dickens C, Nhemachena C, Senzanje A, Naidoo D, Liphadzi S, Modi AT. An integrative analytical model for the water-energy-food nexus: South Africa case study. *Environmental Science and Policy*. 2020;109:15-24.
12. Jonah CM, May JD. The nexus between urbanization and food insecurity in South Africa: does the type of dwelling matter? *International Journal of Urban Sustainable Development*. 2020;12(1):1-13.
13. Masa R, Khan Z, Chowa G. Youth food insecurity in Ghana and South Africa: Prevalence, socioeconomic correlates, and moderation effect of gender. *Children and Youth Services Review*. 2020;116:105180.
14. Watson D, Kehoe SH, Erzse A, Compaoré A, Debpuur C, Nonterah EA, Sorgho H, Norris SA, Hofman KJ, Lawrence W, Newell ML. Community perspectives of maternal and child health during nutrition and economic transition in sub-Saharan Africa. *Public Health Nutrition*. 2020;1-9.
15. Adetiba TC, Qwabe NT. The wave of unemployment amongst south African youths: belonging to a political organization as a way of escape? *E-Bangi*. 2020;17(5).
16. Stats SA. Living conditions of households in South Africa, Pretoria. CH, LH, SL and NR conceptualized the study. SL supervised the data collection process and CC oversaw the analysis of the data; 2017.
17. Maxwell D, Caldwell R, Langworthy M. Measuring food insecurity: Can an indicator based on localized coping behaviours be used to compare across contexts?. *Food Policy*. 2008;33(6):533-540.
18. Rahman MS. The advantages and disadvantages of using qualitative and quantitative approaches and methods in language “testing and assessment” research: A literature review. *Journal of Education and Learning*. 2020;6(1).
19. Al-Ababneh MM. Linking gender, race, ontology, epistemology, and research methodology. *Science and Philosophy*. 2020;8(1):75-91.
20. Kułakowska M. Interpretive theories in political science. *Teoria Polityki*. 2020;(4):31-41.
21. Mondal A, Mandal A. Stratified random sampling for dependent inputs in Monte Carlo simulations from computer experiments. *Journal of Statistical Planning and Inference*. 2020;205:269-282.
22. Nurani AA, Saputri T. The influence of using mind mapping techniques to improve writing skill in the descriptive text at junior high school (meta-analysis). *Konstruktivisme: Jurnal Pendidikan dan Pembelajaran*. 2020;12(2):144-154.

23. Qamar W, Malik MF, Marwat T, Khaleeq N, Ali S, Idrees S. Root dimensions and variations in maxillary canine in Pakistani population: A comparative and descriptive analysis using cone-beam computed tomography technique. *Pakistan Orthodontic Journal*. 2020;12(1):49-55.
24. Diamond-Smith N, Shieh J, Puri M, Weiser S. Food insecurity and low access to high-quality food for preconception women in Nepal: the importance of household relationships. *Public Health Nutrition*. 2020;1-9.
25. Henning D, Naidoo N. The reviewed environmental management framework. Nema Consulting. Frances Baard Municipality, Northern Cape Province, RSA; 2019.
26. Sani S, Kemaw B. Analysis of household's food insecurity and its coping mechanisms in Western Ethiopia. *Agricultural and food economics*. 2019;7(1):1-20.
27. Drammeh W, Hamid NA, Rohana AJ. Determinants of household food insecurity and its association with child malnutrition in Sub-Saharan Africa: A review of the literature. *Current Research in Nutrition and Food Science Journal*. 2019;7(3):610-623.
28. Sileshi M, Kadigi R, Mutabazi K, Sieber S. Analysis of households' vulnerability to food insecurity and its influencing factors in East Hararghe, Ethiopia. *Journal of Economic Structures*. 2019;8:1-17.
29. Sisha TA. Household level food insecurity assessment: Evidence from panel data, Ethiopia. *Scientific African*. 2020;7:e00262.
30. Pocza-Wajda A, Sapa A, Stępień S, Borychowski M. Food Insecurity among small-scale farmers in Poland. *Agriculture*. 2020;10(7):295.
31. Keith-Jennings B, Llobrera J, Dean S. Links of the supplemental nutrition assistance program with food insecurity, poverty, and health: Evidence and potential. *American journal of public health*. 2019;109(12):1636-1640.
32. Das S, Rasul MG, Hossain MS, Khan AR, Alam MA, Ahmed T, Clemens JD. Acute food insecurity and short-term coping strategies of urban and rural households of Bangladesh during the lockdown period of COVID-19 pandemic of 2020: Report of a cross-sectional survey. *BMJ open*. 2020;10(12):e043365.
33. Carroll N, Sadowski A, Laila A, Hruska V, Nixon M, Ma DW, Haines J, Guelph Family Health Study. The impact of COVID-19 on health behavior, stress, financial and food security among middle to high income Canadian families with young children. *Nutrients*. 2020;12(8):2352.
34. Larson N, Laska MN, Neumark-Sztainer D. Food insecurity, diet quality, home food availability, and health risk behaviors among emerging adults: Findings from the EAT 2010–2018 study. *American journal of public health*. 2020;110(9):1422-1428.
35. Anderzén J, Luna AG, Luna-González DV, Merrill SC, Caswell M, Méndez VE, Jonapá RH. Effects of on-farm diversification strategies on smallholder coffee farmer food security and income sufficiency in Chiapas, Mexico. *Journal of Rural Studies*. 2020;77:33-46.
36. Fan S, Rue C. The role of smallholder farms in a changing world. The role of smallholder farms in food and nutrition security. 2020;13-28.

37. Qaim M. Role of new plant breeding technologies for food security and sustainable agricultural development. *Applied Economic Perspectives and Policy*. 2020;42(2):129-150.
38. Duffy C, Toth GG, Hagan RP, McKeown PC, Rahman SA, Widyaningsih Y, Sunderland TC, Spillane C. Agroforestry contributions to smallholder farmer food security in Indonesia. *Agroforestry Systems*. 2021;95(6):1109-1124.
39. Horwood C, Haskins L, Hinton R, Connolly C, Luthuli S, Rollins N. Addressing the interaction between food insecurity, depression risk and informal work: findings of a cross-sectional survey among informal women workers with young children in South Africa. *BMC Women's Health*. 2021;21(2).
Available:<https://doi.org/10.1186/s12905-020-01147-7>

Biography of author(s)



Dr. Gothatamang Norman Jonathan Shushu
University of the Free State, South Africa.

Research and Academic Experience: He has research and academic experience Sustainable Agriculture, Food Security, Developed a Conceptual and Strategic Framework to improve Smallholder contribution towards Household food security.

Research Specialization: His area of research includes Sustainable Agriculture, Food Security.

Number of Published papers: He has published 1 published paper.

Special Award: He has awarded Agri NoordKaap 2018 and 2019.

Any other remarkable point(s): He holds a Senior Education Diploma, BA Degree, Advanced Management Diploma, Master's Degree in Public Administration as well as a PhD in Sustainable Agriculture. He taught at Mogomotsi High School and from 1999 to 2009, he served as Head of Ministry in the Northern Cape Department of Education and the Ministry of Finance and Economic Affairs. He was the MEC for Agriculture Land Reform and Rural Development from 2009 to 2019. He currently serves as the Special Economic Advisor To the Premier of the Northern Cape. Dr Shushu presented papers at the SASAE conference in October 2021 and as well as at the Sustainable Development Research Society in July 2021.



Prof. Victor Mbulaheni Mmbengwa
University of Limpopo, South Africa.

Research and Academic Experience: He has research and academic experience in Agricultural Economics, Development economics, Business Leadership, Business Management, Business Research, Research methodology; Climate change and Management Strategies.

Research Area: His area of research includes Agricultural Economics, Business Leadership, Agribusiness and management, climate change management strategies.

Number of Published papers: He has published over 100 peer review Journal articles. He has over 16 international and local conference publications.

Special Award: He has received NRF, DALRRD, GDARD, UFS, and UNISA Research grants.

Any other remarkable point(s): He was awarded Best Proposal at the 9th Annual Agricultural Research Symposium (ARS), 2016; Best Oral Presentation Natural Resource and Agro-processing at the 10th Annual Agricultural Research Symposium (ARS), 2017; Best quantitative paper presented at the 22nd International Business Conference, 2021.



Prof. Jan Willem Swanepoel
University of the Free State, South Africa.

Research and Academic Experience: He has research and academic experience in Sustainable Agriculture, Urban Agriculture, Food Security, Agricultural Economics, Development economics, Business Planning.

Research Specialization: His area of research includes Sustainable Agriculture, Urban Agriculture, Food Security, Agricultural Economics, Development economics, Business Planning.

Number of Published papers: He has published 20 research articles in several reputed journals.

Special Award: He has received several awards including Best academic paper, South African Society for Agriculture Extension.

Any other remarkable point(s): His strife to further develop his professional acumen and passion for making a difference in people's lives, lead Prof J.W. Swanepoel to become part of the University of the Free State after he left the private industry at the end of 2015. Currently, he is an associate professor affiliated with the Department of Sustainable Food Systems and Development at the University of the Free State. Some of his current responsibilities include leading the Centre for Sustainable Agriculture and the Development section of the department. His fields of expertise include agriculture extension, sustainable agriculture, food systems and economics, where he correspondingly developed a new curriculum for Masters and Honors students in Sustainable Agriculture and the B degree in Food Systems. Furthermore, he is managing all third-stream and community projects of the department. He holds the following degrees from the University of the Free State [MSc Agric in Animal Production; Masters of Business Administration (MBA); Postgraduate Diploma in Financial Planning (CFP)]. He has also secured PhD in Sustainable Agriculture, specializing in Food Security and Urban Agriculture. He wrote successful proposals in obtaining funding for numerous projects. Some of the projects are seen as flagship projects of the University of the Free State. He also fills the role of Chief Editor of the South African Journal of Agricultural Extension (SAJAE), a highly acclaimed journal for agricultural extension all over the world and serves as director on some companies and boards.



Dr. Benjamin Manasoe

University of the Free State, South Africa and Tshwane University of Technology, South Africa.

Research and Academic Experience: He has research and academic experience in Entrepreneurship, Strategic Management, Agricultural Economics, Economics, Knowledge Management, and Economic Research.

Research Area: His area of research includes Entrepreneurship, Agribusiness, and Management, Wellbeing and Circular Economy, and Sustainable Agriculture.

Number of Published papers: He has published One book, Three (5) peer-reviewed journal articles; one (1) local conference publication.

Any other remarkable point(s): He presented the best quantitative paper at the 22nd International Business Conference, 2021.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

Complicity, Contributing Actions, and Moral Taint

Gregory Mellema ^{a*}

DOI: 10.9734/bpi/rtass/v8/10957F

ABSTRACT

The topic of complicity has become part of the political conversation to a degree that is perhaps unprecedented. Frequently the claims that are made in the media are all-encompassing or extravagant. The first section of this paper will consist of a brief summary of the essential features of complicity that I have developed in a book length treatment. The second section will focus upon complicity by inaction, and I will suggest that some of the all-encompassing claims should invite skepticism. In the third section I urge that we can arrive at a deeper understanding of the issues under consideration by examining some all-inclusive claims concerning collective responsibility. In the fourth section the notion of moral taint will be examined and considered as providing an alternative to the all-encompassing claims considered in the previous sections.

Keywords: Complicity; collective responsibility; moral taint; silence; inaction.

1. INTRODUCTION

The topic of complicity has become part of the political conversation to a degree that is perhaps unprecedented. Frequently the claims that are made in the media are all-encompassing or extravagant. Recently Gideon Levi proclaimed that “All Israelis are complicit in the occupation [of Palestinian land].”¹ And James M. Doyle wrote in *The Crime Report* that “We are all complicit in George Floyd’s death.”² Claims of this nature seem to go uncontested for the most part [1].

One approach to contesting claims of this sort is to argue that if nearly everyone is complicit in nearly every harmful outcome that takes place, then the notion of complicity has been watered down to the point that it becomes practically meaningless or easy to shrug off. While I have a certain amount of sympathy for this argument, my approach is different. Elsewhere I have argued that one

¹ Available: www.haaretz.com/opinion/2022-04-21

² Available: <https://thecrimereport.org/2020/06/01>

^a Department of Philosophy Emeritus, Calvin University, USA.

*Corresponding author: E-mail: mell@calvin.edu;

becomes an accomplice to someone else's wrongdoing only if that person contributes to the outcome (and it need not be a causal contribution) either by an action or an omission. In this paper I propose to defend this claim in a manner that makes clear that extravagant or all-encompassing claims involving complicity can be legitimately challenged and that the general public need not feel that no plausible alternative view can be embraced. My purpose is not to refute the all-encompassing claims; rather, my purpose is to illustrate that there is a plausible alternative. Moreover, I suggest that such claims are fairly plausible when rendered in the language of moral taint [2,3].

The first section of the paper will consist of a brief summary of the essential features of complicity that I have developed in a book length treatment.³ The second section will focus upon complicity by inaction, and I will suggest that some of the all-encompassing claims should invite skepticism. In the third section I urge that we can arrive at a deeper understanding of the issues under consideration by examining some all-inclusive claims regarding collective responsibility. In the fourth section the notion of moral taint will be examined and considered as providing an alternative to the all-encompassing claims considered in previous sections.

2. COMPLICITY

The essential features of complicity, as I have previously argued, are as follows. In every instance of complicity there is a principal actor and one or more agents that contribute to the outcome of what the principal actor does in a manner that renders them accomplices to the wrongdoing of the principal actor. Let us refer to what a person does that renders him or her complicit in the wrongdoing of another as a contributing action, with the understanding that a contributing action can take the form of an omission. A distinction can be drawn between the blame an accomplice incurs for performing his or her contributing action and the blame an accomplice bears for the outcome. In some cases an accomplice bears no blame for the outcome, but an accomplice is always responsible for performing his or her contributing action [4-7].

Thomas Aquinas maintained that there are nine ways that a person can be complicit in the wrongdoing of another: By command, by counsel, by consent, by flattery, by receiving, by participating, by silence, by not preventing, and by not denouncing (S.T., II-II, question 62, article 7).

The first way is straightforward. One who commands another to engage in wrongdoing is complicit in bringing about that wrong. Normally the complicit agent is less blameworthy than the principal actor for the outcome, but in the case of commanding the opposite frequently occurs.

The second way, complicity by counsel, occurs when a person's wrongful behavior is made possible by the advice of another. The complicit individual provides essential information to the principal actor.

³ *Complicity and Moral Accountability*. Notre Dame, Indiana: University of Notre Dame Press; 2016.

Consent to engage in wrongful behavior is the third of Aquinas' ways. Assuming that one is in a position to grant permission to the wrongdoer, doing so renders one complicit in the wrongdoing.

The fourth way, flattery, involves praising someone for contemplating or committing an immoral act. Encouragement of this kind qualifies as a mild form of complicity.

Receiving is the fifth way to become complicit in wrongdoing. Here Aquinas is not referring to receiving stolen property or illicit goods. He is referring to covering for a person who has already committed wrongful behavior.

The sixth way to become complicit in wrongdoing is by participation. Aquinas describes this as "taking part . . . as a fellow evildoer."

The seventh way is by silence. A person can become complicit in the wrongful behavior of another when the person fails to say anything about the behavior, either to the principal actor or to someone in authority.

Eighth, someone can become complicit in wrongful behavior by not preventing it. Here Aquinas attaches two conditions: That one is able to prevent it and one is bound or obliged to prevent it. Thus, failing to prevent qualifies as complicit behavior only if one has a moral obligation to do so.

The ninth and final way is by not denouncing. The same two conditions Aquinas attaches to the eighth way apply here as well. The ninth way can also be seen as a special case of the seventh way.

It is not the position of Aquinas that every instance of these nine activities qualifies as complicity in wrongdoing. Rather, I believe Aquinas is suggesting that every instance of complicity is an instance of one of these nine ways [8].

3. COMPLICITY BY INACTION

All-encompassing claims about complicity seem more appropriate or relevant to some of these ways than others. Consider this quotation by a scholar at Cornell University, Breytan Martin.

We are all complicit. . . . We are complicit in police brutality. We are complicit in the making and maintaining of the prison industrial complex.... We are complicit in Black and Brown death. We are complicit through our inaction.⁴

The first six of Aquinas' nine ways assign complicity to moral agents on the basis of actions, and the last three assign complicity on the basis of inaction.

⁴Available: www.brown.edu/public-humanities/blog.

One might suppose that the second category, consent, is relevant when consent is taken to be tacit consent. Aquinas appears to understand consent in more of an active mode. But certainly tacit consent can function as complicity, as when a young boy announces that he is walking down the street to a friend's house, his mother hears what he says, and does not object. As such, it functions as a special form of silence. If something unfortunate happens to the boy, his mother can possibly become complicit [9,10].

Obvious examples of complicity through inaction can be found in the eighth and ninth ways. Recall that Aquinas attaches two conditions to them: that one is able to prevent it (the outcome of someone else's wrongdoing) and that one is obliged to prevent it. Consider first an example of the eighth way. In a hospital a nurse, due to carelessness, is about to administer the wrong medication to a patient, and another nurse notices the error. The second nurse is obliged to intervene and notify the first nurse of the error. The failure to prevent the first nurse from administering the wrong medication makes the second nurse complicit in bringing about the harmful outcome.

The ninth and final way is by not denouncing. Suppose that the supervisor of nursing in a hospital learns that one of the nurses administered the wrong medication to a patient as the result of carelessness. Instead of denouncing what the nurse has done, she simply tells the nurse in question that this is not something she herself would have done. This statement suggests to the nurse that what she has done is not particularly bad, and we might well find the supervisor blameworthy for not denouncing the behavior. Accordingly, the supervisor becomes complicit in the patient receiving the wrong medication.

Because the seventh way, silence, is not constrained by the two conditions Aquinas attaches to the eighth and ninth ways, I will concentrate upon it as a means by which a person becomes complicit in a harmful state of affairs. Obvious examples can be found in situations such as the following. First, a man knows that a handgun is loaded. A second man declares that he is sure that it is not loaded and marches off. The first man hears him but says nothing. The second man fires at someone in jest, and that person is seriously injured. Surely the first man is complicit in the injury of the person who is shot [11-13].

Second, a soldier knows that around the corner of a building waits an armed enemy infantryman. A second soldier, whom the first soldier despises, is not aware of the situation, ventures around the corner, and is shot immediately. Because the first soldier remained silent and did not warn the second soldier, he is complicit in the outcome.

Third, a billionaire has agreed to pay the entire cost of college to the graduates of a high school in an impoverished community. A student who has skipped graduation does not know about the offer. A fellow student, realizing this, purposely does not tell him. Consequently, that student misses the deadline to apply and hence misses the opportunity for a free college education. It is reasonable to judge that the fellow student is complicit in the missed opportunity.

Let us next turn to situations in which it is less obvious that moral agents are complicit by way of silence. First, a man is fishing in a small lake within a city park near a sign that prohibits fishing. A groundskeeper who is a city employee observes the man and wonders whether he ought to say something either to the man or to someone in authority. He decides not to and thereby becomes complicit by reason of silence.

Second, a man and a woman work side by side inspecting products as they roll off the assembly line. The woman is very conscientious, while the man does not always feel like exerting much effort. One day she sees that he allows an obviously defective product to pass inspection. She says nothing, and serious problems arise as a result. One could plausibly judge that she is complicit by reason of silence.

Third, after paying for her purchases a woman inadvertently leaves her credit card on the counter. Another woman, who is next in line, could easily inform her that she has left her credit card behind, but she does not do so because her English is not good and she is afraid of being ridiculed by the others in line. Accordingly, she is complicit in the woman's losing her credit card.

Next are situations that are adaptations of the previous scenarios in which ascriptions of complicity on the basis of silence are more dubious. First, a man is fishing near a sign that prohibits fishing. Several people who are not city employees pass by and say nothing because they reason that it is none of their business.

Second, the woman inspector does not notice that the man has allowed a defective product to pass inspection. A custodian happens to notice it but does not say anything because he has no idea that it is defective. He has not been trained to discern whether or not the products in question are defective.

Third, a young child notices the credit card left on the counter but does not know what a credit card is. The child assumes it was left there by design.

Let us now analyze these scenarios by appealing to the concept of contributing inaction. The groundskeeper in the first scenario is a paid city employee, and hence there is more reason for him to speak to the man who is fishing than the people who happen to be passing by. For this reason it is plausible to judge that his silence qualifies as contributing inaction while their silence does not.

The woman inspector in the second scenario is trained to discern whether or not products are defective, while the custodian is not. As such, the custodian has no responsibility to prevent defective products from passing inspection. The woman's inaction contributes to the defective product's passing inspection, while the custodian's inaction does not.

The woman in the third scenario clearly sees that a credit card has been left on the counter, and it would have been easy for her to alert the owner of the card.

Her inaction contributes to the owner's losing the credit card, whereas the child's inaction is the result of having no reason to suspect that the card was left there inadvertently.

The authors of the comments quoted earlier will of course deny that the concept of contributing inaction is the proper criterion for deciding whether a moral agent qualifies as an accomplice by way of silence. In the case of the Israelis occupying Palestinian land, there are plenty of Israelis who are complicit. Some are complicit by reason of making decisions, and no doubt others are complicit by way of contributing inaction. But Gideon Levi asserts that all Israelis are complicit, and it is hard to see by what criterion he judges that this is the case. Rather than argue directly against Levi's claim, I believe it would be instructive to examine some all-inclusive claims regarding collective responsibility.

4. COLLECTIVE RESPONSIBILITY

Karl Jaspers writes the following:

There exists a solidarity among men as human beings that makes each of us co-responsible for every wrong and every injustice in the world, especially for crimes in his presence or with his knowledge. If I fail to do everything I can to prevent them, I too am guilty.⁵

Although his term "co-responsible" may not capture exactly the same meaning as moral responsibility, Jaspers appears to be articulating an account of responsibility whose scope is universal. According to Larry May, Jaspers comes "dangerously close" in this passage to saying that all members of the human race share responsibility for all of the world's harms.⁶ Jerzy Jedlicki is another ethicist who espouses an expansive account of collective responsibility; according to him, human moral agents often bear responsibility for their ancestors' wrongdoing⁷ [14-15].

Stanley Bates has challenged all-inclusive claims regarding collective responsibility. He considers the claim that white Americans are responsible for the horrible racial situation in the country. If this is a claim about all white Americans it is false, according to him, because his infant white daughter "does not yet seem to be a candidate for this kind of moral responsibility."⁸ Bates goes on: "Perhaps we should say something like 'mature, rational white Americans who know what the racial situation is, and who either take actions to perpetuate or worsen it, and who fail to take actions to alleviate it, bear the moral responsibility for the situation.'"⁹

⁵ Karl Jaspers. *The Question of German Guilt*, A.B. Ashton, tr. New York: Capricorn Books; 1961; p. 36.

⁶ Larry May. *Sharing Responsibility*. Chicago: University of Chicago Press; 1992; p. 148.

⁷ Jerzy Jedlicki. *Heritage and collective responsibility*. In *The Political Responsibility of Intellectuals*, eds. I. Maclean, A. Montefiore, and P. Winch; Cambridge: Cambridge University Press; 1990; pp. 53ff.

⁸ Stanley Bates. *The Responsibility of 'Random Collectives'*. *Ethics*. 1971;81;p. 348.

⁹ *Ibid.*

Bates does not mention the concept of complicity, but it is not far-fetched to suppose that his sentiments concerning complicity would be similar to his sentiments concerning collective responsibility.¹⁰ Perhaps his reaction to Levi Gideon's claim would consist of pointing out that infant Israelis do not yet seem to be candidates for this kind of complicity.

5. MORAL TAINT

It might be prudent to acknowledge that authors such as Gideon, Doyle, and Martin are expressing pain, frustration, or perceptions of injustice in articulating their statements about complicity. Although these statements do not conform to accepted standards of criminal complicity or moral complicity, their declarations are heartfelt and not to be dismissed as frivolous exaggerations or assertions that are easy to shrug off [13,16-18].

I believe we may acquire a deeper insight into these and similar types of declarations by examining the notion of moral taint. The basic idea is that a moral agent who commits a wrongdoing sometimes taints those to whom he or she is connected. An entire family, for example, can be tainted by the criminal activities of a son or daughter. Not only are their reputations damaged, but on a deeper level their moral integrity is affected.

Anthony Appiah, the first to introduce this notion in the philosophical literature, believes that moral taint is produced when wrongful actions of another produce harm, and the contagion of this wrongdoing is transferred to someone with no involvement. Consider the events of the Holocaust. Ordinary German citizens bore no responsibility for these events, but Appiah believes they were nevertheless tainted by the actions of Nazi officials. This means that they experienced a loss of moral integrity. Someone's own moral integrity, according to Appiah, is affected when someone produces harm and some connection exists between these two persons.¹¹

Moral taint is a phenomenon that involves one's links to others in the community. Appiah's primary example of moral taint is the issue of divesting shares of stock in the firms doing business in South Africa in the 1980s. Someone holding shares in these companies bore no responsibility for the harm produced by apartheid, but he or she was nevertheless tainted by the persons who practiced apartheid. Those purchasing shares in these companies experienced a diminishing of moral integrity, and, according to Appiah, it was appropriate for them to experience shame. Those who are tainted by the actions of others need not feel guilt. Feeling guilt is not appropriate for an individual who has no personal involvement for what happens or for one who incurs no moral responsibility for the outcome.

¹⁰ For an account of the difference between collective responsibility and complicity see my *Complicity and collective responsibility. The Routledge handbook of collective responsibility*. New York: Routledge; 2020; pp. 159-170.

¹¹ Anthony Appiah. *Racism and moral pollution*. In *Collective responsibility*, eds., L. May and S. Hoffman. Lanham, MD: Rowman and Littlefield; 1991; pp. 219-238.

I suggest that moral taint can shed light on situations where an accomplice falls short of bearing moral responsibility for the harm produced by the principal actor. When the complicity of a moral agent takes the form of commanding, counseling, consenting, and participating, he or she normally bears responsibility for the resulting harm. But when complicity takes one of the other five forms, a person's contributing to the sequence of events might be limited enough that he or she falls short of bearing responsibility for the outcome. On certain occasions when this happens, one might be tempted to suppose that one has done nothing wrong and that nothing has happened to affect one's moral integrity. But one of the lessons to be learned from Appiah's account of moral taint is that an accomplice can be tainted by the wrongful actions of a principal actor, and the moral integrity of the accomplice can as a result be affected. To prevent being tainted in situations such as these, one can attempt to distance oneself from the principal actor and his or her wrongful actions.

Presented with all-inclusive claims about complicity, one might fear that the concept of complicity has been watered down to the point that claims about complicity are easy to shrug off. However, I believe that turning one's attention to the concept of moral taint can help address this fear, because moral taint supplies us with the resources for describing the moral status of persons connected to others who are guilty of wrongdoing.

Moral taint is a weaker notion than moral responsibility, and, as such it has the potential for enabling one to describe the moral status of persons who have no involvement whatsoever in the wrongdoing of others. And this particularly includes others who have committed wrongdoing in the distant past. Someone might be tainted by the wrongful actions of an ancestor, but he or she is not morally responsible for the wrongdoing.

Paul Ricoeur describes essentially the same phenomenon in a discussion of defilement. According to him, defilement is a symbol of evil. "Defilement is to stain or spot what lustration is to washing. . . . It is a symbolic stain."¹² If I am defiled by the stain that attaches to my criminal brother, this takes place by virtue of symbolization. The defilement that attaches to me is a symbolic stain; it is symbolic of the stain that attaches to him.

Let us now return to the statements by Gideon, Doyle, and Martin. Gideon asserts that all Israelis are complicit in the occupation of Palestinian land. This statement may well ring alarm bells among Israeli citizens. But suppose we interpret this as a claim that all Israelis are tainted by the actions of those directly involved in the occupation of Palestinian land. According to Appiah, this claim implies that all Israelis have reason to feel shame for such actions, and this claim seems reasonable.

James M. Doyle declares that we are all complicit in George Floyd's death. Some might regard this as an inflammatory declaration. However, taken as a statement

¹² Paul Ricoeur. *The symbolism of evil*. New York: Harper and Row; 1967; p. 36.

about moral taint, it could be seen as a plausible proposition. To say we are all tainted by the actions of Derek Chauvin implies that we all have reason to feel shame for what he did, and this strikes me as quite defensible.

Similar remarks can be made about the assertions of Breylan Martin, according to whom we are all complicit in police brutality, the making and maintaining of the prison industrial complex, and Black and Brown death. To say that we are tainted by the perpetrators of these events does not seem at all far-fetched, given our links to others in the community.

It might be objected that it is still easy to shrug off statements accusing all of us of being tainted by the actions of those directly involved in the occupation of Palestinian land, by the actions of Derek Chauvin, and so forth. But why would anyone feel motivated to shrug off statements such as these? They do not by any means imply that we have contributed in any way to what others have brought about through their wrongdoing. They imply no more than that we have reason to feel shame for their wrongdoing.¹³

6. CONCLUSION

Authors such as Gideon, Doyle, and Martin have framed their remarks in the language of complicity, and they might have little desire for these remarks to be recast in the language of moral taint. It has not been my aim to suggest that they intend their remarks to be interpreted as statements about moral taint. My aim has simply been twofold: To suggest that the criterion of contributing inaction presents an alternative perspective and to suggest that the assertions of these authors are quite reasonable when taken as statements about moral taint.

COMPETING INTERESTS

Author has declared that no competing interests exist.

REFERENCES

1. Appiah, Anthony. Racism and Moral Pollution. *Collective Responsibility*, eds., L. May and S. Hoffman. Lanham, MD: Rowman & Littlefield. 1991; 219-238.
2. Bates, Stanley. The responsibility of random collectives. *Ethics*. 1971; 343-349.
3. Cooper DE. Collective responsibility. *Philosophy*. 1968;258-268.
4. Mellema, Gregory. Complicity and collective responsibility. In *The Routledge handbook of collective responsibility*, eds., S. Barzargan-Forward and D. Tollefsen. New York: Routledge. 2020;159-170.

¹³ *It might be further objected that those who have taken steps to distance themselves from the perpetrators of wrongdoing (for example, disowning a brother who has committed murder) are no longer tainted by the actions of the perpetrators. Addressing this objection lies beyond the scope of this paper.*

5. Mellema G. *Complicity and moral accountability*. University of Notre Dame Press; 2016.
6. Radzick, Linda. Collective responsibility and duties to respond. *Social Theory and Practice*. 2001;455-471.
7. Ricoeur, Paul. *The symbolism of evil*. New York: Harper and Row; 1967.
8. Aquinas T. *Summa Theologica*. Torino: P. Marietti; 1894.
9. Doyle, James M. We are all complicit in George Floyd's death. Available:<https://thecrimereport.org/2020/06/01>.
10. Hudson, Hud. Collective Responsibility and Moral Vegetarianism. *Journal of Social Philosophy*. 1993;89-104.
11. Kadish SH. Complicity, cause, and blame. *California Law Review*; 1985; 323-410.
12. Kutz, Christopher. *Complicity, ethics, and law for a collective age*. Cambridge: Cambridge University Press; 2000.
13. Levy, Gideon. All Israelis are complicit. www.haaretz.com/opinion/2022-04-21.
14. Jaspers, Karl. *The question of German guilt*, tr., A.B. Ashton. New York: Capricorn Books; 1961.
15. Jedlicki, Jerzy. Heritage and collective responsibility. In *The political responsibility of intellectuals*, eds., I. Maclean, A. Montefiore, and P. Winch. Cambridge: Cambridge University Press. 1990;53-76.
16. Marino, Patricia. Moral dilemmas, collective responsibility, and moral progress. *Philosophical Studies*. 2001;203-225.
17. Martin, Breytan. We are all complicit. www.brown.edu/public-humanities/blog.
18. May, Larry. *Sharing responsibility*. Chicago: University of Chicago Press; 1992.

Biography of author(s)



Gregory Mellema

Department of Philosophy Emeritus, Calvin University, USA.

He is a Professor of Philosophy emeritus at Calvin University, USA. He earned a PhD in Philosophy from the University of Massachusetts, and he earned an M.B.A. from the University of Michigan. He has published six books in Philosophy. The two most recent are *Sin* (2021) and *Complicity and Moral Accountability* (2016), both from the University of Notre Dame Press. He has published articles in 30 different peer-reviewed journals, including *American Philosophical Quarterly*, *Canadian Journal of Philosophy*, *Philosophical Studies*, *Australasian Journal of Philosophy*, *Journal of Ethics*, *Notre Dame Journal of Formal Logic*, *Analysis*, and *Philosophia*. He has published articles in several reference works, such as *The Oxford Companion to Philosophy*, *The New Catholic Encyclopedia*, and the *Encyclopedia of Applied Ethics*. He has spoken widely, having presented scholarly papers in Moscow, St. Petersburg, Xiamen, China, and, most recently, Dresden, Germany.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

British Colonialism in Kenya during 1895 to 1965: It's Implications on the African Family Stability in Embu North Sub-County

Lizza Nkirete Kaaria^{a++} and Caroline Kithinji^{a#}

DOI: 10.9734/bpi/rtass/v8/4122B

ABSTRACT

The object of this study was to examine colonialism and its' implication on the African family stability in Embu North Sub-County of Kenya from 1895 to 1965. The amalgamation of the geographical, legal, cultural, linguistic, political, mental/epistemic, cultural, and/or financial supremacy of one group of people by another (external) community of people is known as colonialism. The many forms of territorial dominance imposed by European powers over non-Europeans are referred to as "European colonialism." Stable communities are built on a fundamental basis of family values. A community that was prepared to fight for the preservation of their culture was necessary to maintain the genuine traditional family value system against a tsunami of transformation comparable to that brought about by western imperialism. The descriptive research design was used for the investigation. Data came from secondary, archival, and oral sources. Using the snowballing sampling methods, the researcher collected a purposive sample of 50 respondents for the interview. To establish the study's validity and dependability, data from secondary, archival, and oral sources were confirmed. The discussion begins with some of the customary beliefs that the Aembu held at the time colonialism was imposed on Kenya in 1920, moves on to how these aspects were carried out in family and communal life among the Aembu, and finally discusses how the Aembu were able to maintain these family practices and values during the colonial period from 1920 to 1965. The colonial experience and its effects on the stability of African families in the research region were examined using the Cultural Evolution hypothesis. The study established that; the Aembu were polygamists whose homesteads comprised several huts for different members; they had a supreme council *Kiama kia Ngome* and were mixed farmers; they had an elaborate family value system with strict safeguards on social, political and economic aspects that ensured a very stable family unit.

^a Department of Humanities, Chuka University, Kenya.

⁺⁺MA Student;

[#]Lecturer;

^{*}Corresponding author: E-mail: lizzankirete@gmail.com;

Missionaries arrived in Embu North Sub-County at Kigari in 1910 and built the first station; there was concerted effort to end female circumcision and ensure monogamy was exercised in place of polygamy. There were positive and negative implications on family values after imposition of colonialism; people abandoned some cultural practices, embraced others. The family values that the Aembu people maintained before and during colonialism were circumcision (especially female circumcision), the culture of dowry payment, naming system, hospitality, and polygamy. These family values were evident in their cultural traditions and practices and served to explain their unique African identity. They were held in high regard, passed the test of time and were preserved from 1920 to 1965. The study concluded that the coming of the British missionaries to Embu North Sub-County impacted on the Aembu family value system and led to cultural subjugation. This study has Contributed to the colonial historiography of the Aembu of Embu North Sub-County, Kenya.

Keywords: Preservation; family values; circumcision; dowry payment; naming system; hospitality; polygamy.

1. INTRODUCTION

Colonialism refers to the combination of territorial, juridical, cultural, linguistic, political, mental/epistemic, and/or economic domination of one group of people or groups of people by another (external) group of people. European colonialism refers to the various formulas of territorial domination effected by European powers upon non-European people (indeed, upon much of the world), from the late 1400s to the mid- to late 1900s. These European countries included Belgium, Britain, Denmark, France, Germany, Italy, Norway, Portugal, Russia, Scotland, Spain, Sweden, and the Netherlands. At various points in modern history, European powers colonized, in some form, most of Africa, the Americas, Asia, Europe, Oceania, the Middle East and the Arctic (excluding Antarctica). As with any large-scale, multidimensional, and socially holistic phenomenon, there is incomplete transferability of the characteristics of one form of European colonialism upon another. Heterogeneous material practices and imaginaries emerge(d) from and within European colonial systems. These colonialisms are extensive, porous, and dissimilar imagined and material (re)orderings of the world. Frictions and power struggles between European powers as well as colonial subjects for the control over territory, markets, labor, and ideology shaped the patterns of European colonialism [1].

Africa's brutal history of colonial exploitation by European powers diminished the potential of African countries to accumulate capital. Although colonial powers attempted to introduce the free market to African nations, it only created new colonial arrangements that undermined economic growth but nourished corruption and elitism. From the period of 1870 to 1960, the more developed urban cultures of the Western Sudan and of East Africa were familiar with complicated credit arrangements. The use of trade currencies such as cowrie shells and iron bars were widespread. Even so, the majority of African societies depended more on intricate networks of kinship support, of gift exchanges and of

tributary relationships than on the ties of the market. The legacy of western colonialism in Africa has diminished Africa's economic potential, As a result, Africa has become a place of economic conquest by western powers. Apologists for the slave trade in the eighteenth and nineteenth centuries argued that slavery was intrinsic in "backward societies" such as those of Africa. They also claimed that slavery in the "Christian" Americans was probably better for Africans than their situation had been in their "pagan" homelands [2,3].

The impact of colonialism on familial harmony among the Aembu in Kenya between 1895 and 1965 was examined in this research. The Aembu family system of values was genuine, distinct, and secure by 1895, but colonialism presented it with a variety of difficulties that the post-independence government intended to address in the 1965 Sessional Paper number 10 on African Socialism. Therefore, colonization had long-lasting effects on the Aembu family value system.

This study was guided by three objectives: to examine the African family value system in Embu North Sub-County, Kenya from 1895 to 1920, to establish the cultural evolutions brought about by colonialism on the African family value system in Embu North Sub-County, Kenya, 1895-1965 and to assess the aspects of Aembu family value system that have been preserved from 1920 to 1965. The study was informed by the Cultural Evolution Theory which is based on the premise that the culture of human beings' changes gradually over a period of time due to competition among cultural traits as people interact. Those customs, beliefs and traditions that are fit and suited for survival and can compete favorably are the ones that survive and get transitted over the weaker ones. It is the nature of cultural competition that has led to extinction of some cultural aspects such as languages and the gradual decline of the African family value of polygamy in African communities. Descriptive research design was used for it enabled the depiction of state of affairs as they were. The study was conducted in Nginda, Ruguru-Ngandori and Kirimari wards in Embu County. The respondents were sampled using purposive sampling and snowballing sampling technique. The study targeted 79,556 Aembu people in Embu North as per the 2019 census from which a sample size of 50 respondents was drawn from the three wards for interviews. The sources of data included: oral sources, archival sources and secondary sources which were corroborated to meet the reliability and objectivity of the research [4]. Data was collected through oral interviews and focus group discussions. The study analyzed and presented data through Qualitative Data Analysis. The study established that; the Aembu were polygamists whose homesteads comprised several huts for different members; they had a supreme council Kiama kia Ngome and were mixed farmers; they had an elaborate family value system with strict safeguards on social, political and economic aspects that ensured a very stable family unit. Missionaries built the first station in Embu North Sub-County at Kigari in 1910 after arriving in 1906; there was concerted effort to end female circumcision and ensure monogamy was exercised in place of polygamy; there was positive and negative implication on family values after imposition of colonialism; people abandoned some cultural practices, embraced others and merged the good from both cultures [5]. The

study concluded that the coming of the British missionaries to Embu North Sub-County impacted on European imperialism and led to cultural subjugation. The study has contributed to the historiography of the Aembu.

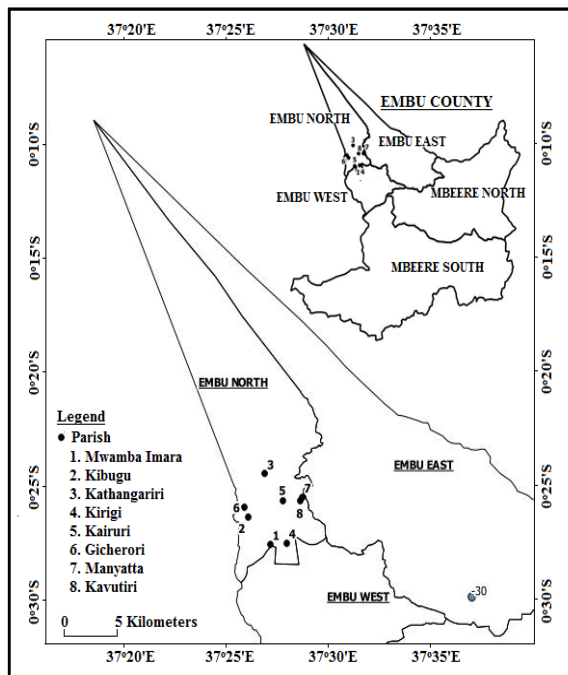


Fig. 1. Map of Embu North Sub-County
Source: Embu County Integrated Development Plan

With increased European involvement in the native affairs of the Aembu through missionary work and colonialism from 1920 when Kenya was made a British protectorate, the Aembu' family values were greatly compromised. The people had to ease into a new social order as dictated by colonial policies. Murray, [6] observes that the female circumcision conflict granted chiefs an opportunity to be hostile and aggressive to mission followers who were reluctant to be submissive to their authority. For instance, chiefs began to prosecute C.M.S adherents on the grounds of desecrating local sacred groves. Later, the colonial administration discovered that the chargers were fabricated. After futile attempts of fighting against female initiation, the Anglican hierarchy allowed the Embu Mission to compromise on the practice. The compromise allowed the CMS to enjoy its stay in Embu, the privilege of rebuilding an outstation and mission schools which started to compete favorably with African Independent Schools. Chesaina [7] highlights the significance of patriarchy and justifies polygamy regardless of reaction from women. In one of his proverbs, he explains that there is no cock

which serves only one hen. Moreover, the Aembu did preserve the esteemed concept of polygamy.

2. RESEARCH METHODS

This study used a descriptive research design. Kothari [8] suggests that descriptive research design is used to depict the features of a particular situation or individuals in an accurate way. This study described, recorded, analyzed, reported and presented the findings of the current study as they exist. This design was preferred for this study because it described, recorded, analyzed and presented aspects of family value system that were preserved during the colonial period 1920 up to 1965. This study also fitted within the provisions of descriptive research design because the researcher collected data and reported the way things were without altering any variables. The respondents were sampled using purposive sampling and snowballing sampling technique. The study targeted 79,556 Aembu people in Embu North as per the 2019 census from which a sample size of 50 respondents was drawn from the three wards for interviews. The sources of data included: oral sources, archival sources and secondary sources which were corroborated to meet the reliability and objectivity of the research. Data was collected through oral interviews and focus group discussions.

3. DATA ANALYSIS PROCEDURES AND PRESENTATION

Data was analyzed by the use of Qualitative Data Analysis. Qualitative data obtained from the oral interviews were qualitatively analyzed based on content analysis. This was influenced by the data obtained from primary sources, archival sources and secondary sources which were corroborated to meet the reliability and validity of the study.

The researcher presented an introduction letter to the respondent and with the consent of the respondent, the interview was conducted. Research permit was obtained from the National Council for Science, Technology, and Innovations (NACOSTI). The researcher booked appointments with the respondent to conduct the interview prior to the interview. The purpose of the interview was explained to the interviewee who participated in the interviews purposefully and where the interviewee sought to remain anonymous, the researcher respected the will of the respondent guided by Grinyer [9].

4. RESULTS AND DISCUSSION

4.1 Aspects of Family Value System Preserved from 1920-1965

In the colonial wave of change that hit the traditional Aembu family value system between 1920 and 1965, the people were able to shield some of their highly regarded cultural practices from erosion. For the Aembu, these family values that are evident in their cultural traditions and practices, serve to explain their unique African identity and were held in high regard from 1920-1965. They include

circumcision (especially female circumcision), the culture of dowry payment, naming system, hospitality, and polygamy among others.

On circumcision, Aembu boys and girls were culturally mandated to be circumcised. Boys were circumcised to graduate from boyhood to manhood and demonstrate their readiness for marriage. Mucangi (O.I, 2021) points out the fact that Aembu circumcised both boys and girls to usher them into marriage which every person had to undergo so as to ensure both familial and community continuity. Circumcision would be held any time in the year except two months before the long rains. Traditionally, boys were circumcised between the ages of 18 and 22 years. When it was time for the boy to be circumcised he would show his readiness by paying a goat called *mbûri ya nduo*, the goat of circumcision. The boys would be taken to Rupingazi River on a cold morning and dipped in the water to ensure pain reduction during the cut. (Gicovi O.I, 2021) remarks that the circumcisor, *mûtani*, would pull the initiates' foreskin and cut it off with a *kaviû*, a sharp knife after which the organ would be wrapped in banana leaves and fiber to stop bleeding and heal. After that he would be led back to his parents' compound and live there as he heals in a specially built hut under the care of a specially appointed sponsor or supporter. In seclusion he got education on family and community secrets and general conduct and expectations as a grown up.

Missionaries were able to increasingly oppose the traditional initiation ceremonies. Various aspects of the ceremonies were seen as obscene and degrading. Young male converts were encouraged to have the operation carried out in mission hospitals and dispensaries. This was not fought to a large scale by the Aembu who felt that it was not a total overhaul of their traditional practice. In as much as having their specialists conduct the operation on the streams of *kavingaci* was their best practice, they were glad that male circumcision was to continue, albeit in a hospital setup with European medics. From these colonial times the rite of male circumcision became increasingly westernized as the Christianized families took their sons to hospital and dispensaries for the operation. The non-Christian families continued with their traditional rites with little interruption from colonial administrators. This situation did not change after 1963 when Kenya gained independence. It was noted that the Aembu were comfortable with the fact that male circumcision progressed and the accompanying rites were not greatly tampered with by the Europeans. Though there could be variations in the way of initiation after 1965, male initiation is still a preserved culture valued by the Aembu families. Besides male circumcision among the Aembu, female circumcision was preserved as a critical component of initiating young women. Werimba (O.I, 2021) a female respondent from Nginda, asserts that girls underwent clitoridectomy between the ages of 14 and 18 years before the first menstruation. Those who failed to be initiated could only be married as a second wife, a less prestigious position. During the initiation ceremony both boys and girls were expected to prove their courage and thereby their readiness to accept adult responsibilities, by persevering extreme physical pain without crying or flinching. After the cut the initiate would heal in a hut under the supervision of supporter or sponsor. Parents whose sons and or daughters were circumcised were held in high regard and felt prestigious.

In 1925, the British colonial administration and the Church Missionary Society (CMS) congregation representative found it hard to forbid FGM operations in 1925 [8]. Due to the extent of resistance from the Africans, some missionaries suggested that girls could also undergo the operation in mission hospitals which involved the surgical removal of the clitoris and some portions of labia [9]. However, after one brief experiment carried out by Anglican missionaries in Kabare of Gichugu, it became apparent that the operation was a brutal bodily mutilation and as such it became totally condemned. From then onwards the Protestant missionaries were unable to accept a hospital operation for girls. Murray (1976) further observes that this issue came to a heated climax in what came to be known as the "female circumcision controversy". The Church Missionary Society and the Anglican Church stood rather apart from the other missions who partly accepted it. They made it a condition that for one to achieve church membership they were to reject female circumcision.

The District Local Councils consisting of chiefs and prominent local men came up with by-laws regulating female initiation. They established regulations which demanded that only one operation by a trained and registered woman was permitted per girl. In addition, the initiators were supposed to be licensed and go through regular refresher courses. Failure to adhere to the new rules attracted fines and withdrawal of license. However, the restrictions on acceptable extent of incisions on female were openly defied. Colonial chiefs admitted that it was impossible to outlaw female circumcision practice owing to its strong Embu cultural roots (Embu District, LNC Minutes, 17.7.1925). The admission by colonial chiefs implied that FGM was a practice deeply rooted among the Aembu who were determined to preserve it.

Due to the desire to defend their custom, the Aembu people embraced the support of Kikuyu Central Association (KCA) leaders. K.C.A leaders were advocating for rejection of missionary teachings, specifically those against abandonment of African customs such as the female circumcision practice [9]. Muriuki [10] similarly observes that KCA Leaders denounced elders and senior chiefs who did not support initiation and in retaliation, British officials curtailed the activities of KCA and Christian separatists because of their dangerous implications.

In 1926 the new Embu Local Native Council had passed a by-law limiting the extent of the operation and making registration of the operators compulsory. In 1931, the Church Missionary Society (CMS) representative, J. Comely, enforced a pastoral letter from the Anglican bishop advocating for outlawing of the practice of female initiation. The letter required disciplining of parents who allowed their female children to be initiated [6]. In January 1931 Reverend Comely got the full support of the Kigari Pastorate Committee and a resolution was passed and read out in Kigari and at the outreach churches; that any communicant allowing female circumcision should be put under discipline; that candidates for baptism and confirmation should agree to put away female circumcision. In response to CMS forbidding female initiation, the school went on strike. There was a drop in enrolment of students at Kigari mission station from 1551 in 1930 to 289 in 1931

and the numbers kept on declining every month [9]. The church emptied and within a short time the dissidents were commencing independent schools and conducting prayers separately. This was followed by conflicts between the mission adherents, independent Christians and non-Christians. Majority of the Africans verbally abused and harassed mission loyalists who, in turn, feared for their lives. In one incident, a mission elder's son recalls being advised by his father to run away from home for fear of attack by an angry Africans.

At the time that Reverend Comely and the Kigari elders had agreed against female circumcision, the District Commissioner Lambert was making an attempt to further modify the act to make it medically less harmful and was seeking to encourage performance of the operation in infancy or early childhood, as was the custom among some other Kenya peoples. Kigari elders were members of the Local Native Council, one leading chief being an Anglican and they were totally against any form of female circumssion and very loyal supporters of Reverend Comely. There were angry clashes between Reverend Comely and District Commissioner Lambert, and between Lambert and one of the Kigari elders who was an LNC member. Arthur, the Christian chief, was put under church discipline for having followed Lambert's directives on supporting female circumcision in his area of jurisdiction [9].

The female circumcision conflict granted chiefs an opportunity to be hostile and aggressive to mission followers who were reluctant to be submissive to their authority. For instance, chiefs begun to prosecute C.M.S adherents on the grounds of desecrating local sacred groves. Later, the colonial administration discovered that the chargers were fabricated. After futile attempts of fighting against female initiation, the Anglican hierarchy allowed the Embu Mission to compromise on the practice [6]. The compromise allowed the CMS to enjoy its stay in Embu, the privilege of rebuilding an outstation and mission schools which started to compete favorably with African Independent Schools. With the Africans denied the practice, several left the mission church and this ushered in the birth of the Independent Church and Schools Movement. Near Kigari came up the headquarters of the National Independent Church of Africa, under Bishop Willie Nyagah, whose father left the Anglican Church during the controversy in 1936. Other independent churches in the area were the Salvation Army which was introduced by migrant workers returning from Nairobi in the late 1920's. Polygamists and those who continued to circumcise were able to become members.

The dispute mostly affected the daughters of Christian families. When all these conflicting controversies surrounding female circumcision erupted, most of the Christian elders at Kigari Mission were young married men with small children. Those who stood with Comely remained firm, sometimes under severe attack from the community, which caused them to form a rather closed Christian settlement near the mission. The wives supported the decision of their husbands and from the date of the decree onward no daughters of this group were circumcised. The first girl to marry uncircumcised was one born in 1925 although another report mentioned a girl born as early as 1914. However, circumcision

continued strong in the area as a whole, and in 1972 a survey made showed that 60% of Embu girls at secondary school had undergone circumcision.

Besides, the Aembu retained their family tradition of naming. Ndwiga explains that the Aembu social life is seen in the way they name children. Traditionally the first two children born in a marriage were named after the parents of the man, and then the other two after the parents of the wife. Since the Aembu were polygamous, a couple would get as many as ten to fifteen children, but due to the high mortality rate many children died in infancy. For this reason, the Aembu parents who lost many children in infancy wanted to ensure that their children would grow to maturity, just as the young of wild animals did, without much care and would give them animal names to ward off the spirit of death. This is why some children had names such as Njiru or Mbogo which means a buffalo, Nthia which is an antelope, Njoka a snake, Ndwiga a giraffe, Njuki a bee, Njogu an elephant, Nyaga or Kivuti an ostrich, Ngoroi a Columbus monkey or Munyi a rhinoceros. Other Embu names came from natural phenomena such as Mbura the rain, Riua the sun or Nduma to mean darkness. Some other names were derived from behaviors associated with characters of the person the child was named after. For instance, if the relative to be named was a person who drank too much alcoholic beverages the child would be named Kinyua or Mukundi. The main significance of this naming practice is that it gives honor or recognition to the person after whom the child is named; it creates a special relationship between the child and the person she or he is named after and creates a particular bond between the parents and the child and the person after whom the child is named. All this influences and dictates the behavior between all the individuals involved. Points out that she was named Marigu after her fathers' mother who had the habit of carrying ripe bananas and other fruits even when she went to visit other people or to the farm and since children especially knew they would find edibles in her basket they always accompanied her.

Furthermore, the Aembu managed to preserve, to a large extent, the traditional family value of dowry payment. Marriage was perceived as incomplete and illegal if the prerequisite of dowry is not met. Mutwiri, discusses the marriage process and dowry negotiations in details. He explains.

"There were three phases through which a solid marriage union would be build. Phase one involved requesting for friendship was to request for friendship, *kûria ûthoni*. When a man had identified his bride, he would inform his parents. They would thereafter organise a visit to the girl's parents. Five to ten trusted and close people would attend. The agenda was to report the love relationship. If the girl had already moved in with the man, *gûkîria*, the illegal marriage was reported. Among the gifts brought, *Mûratina* wine had to be present. The young man could be accepted or rejected. Rejection would usually be due to family ties or mere unwillingness of the girls' parents to get associated with the family because of a previous incident of blood spilling, *Njaviû*, incidences of premature death, stealing, abnormal diseases or genetically related conditions. If the friendship request was accepted, Mutwiri noted that the marriage process kicks off including dowry negotiations where the bride's family requests for the following items.

Nthenge ya Ngusu- a He-goat to be eaten by the girl's brothers and friends to appease them. Going forward, they would provide the man somewhere to sit when he visited. *Nthenge ya Mûvîrîga*, a he-goat to be eaten by the clan. *Mvarika ya gûtongoreria nthenge*- A she goat to lead the he-goats. This remains in the homestead. *Ndûrûme*, a male sheep. Only if the girl had a baby prior this negotiation. The first phase ended there with the man's family having now been accepted as *kanyanya* and they set a date for the next phase. The second phase is known as slaughtering, *kûthinja*. On this day, the man brings the aforementioned items. On this occasion, he had to take with him enough *mûratina* (wine) alongside the men to slaughter the animals. Mutwiri further reveals.

The meat was divided as follows: one front leg is taken to the girl's first born uncle on the mother's side, *mama*. The man getting a wife is given one front leg, *gûcokerua guoko*. The lady getting married is also given some meat, *nthio*, the buttocks. Hide legs and *ngunguro* are eaten by women. Skinners leave generous flesh on the skin to be extracted and eaten by village uncircumcised boys. Old men, *athuri*, eat the liver, lungs, spleen, all the soft parts and the ribs. Cooks may taste the kidneys for salt as they cook. Young men, *anake* eat the neck. Intestines are shared. The slaughter men take an unnoticeable piece from every part. This is cooked as *ûthinji*. There's a special way the chest is skinned so as to leave a small skin. The chest is eaten by the girl's father. He's also given the testicles and the penis, *mûraagi*. The man intending to marry only took the best, fattest, castrated he-goat to his in-laws. Otherwise, he could be fined. The *ndûrûme*, male sheep, is eaten later by the mother and father of the girl. At this point *ûthoni* or a marriage relationship was officially initiated.

The third phase of dowry negotiations was called *kwarîrîria rûraio*. This could be done on the day of slaughtering. A team of select men from both sides enter into a prepared room for the negotiations. The following compulsory items were requested: 15 goats, 2 cows, 2 bulls, a huge he-goat for lowering the bushes for the goats to eat, and 20 litres of honey, *Kîthembe kîa ûkî*. In addition, one was required to bring a mother's dress, head scarf, and 2 blankets.

In addition to the items requested above, a huge water tank and a *sufuria*, aluminium cooking pot would be asked for since these changes in dowry payment and wedding were part of the evolution after the coming of Christianity, it was noted that those interested in a church wedding were to buy full wedding suit for the parents. The man would also cater for other costs associated with church wedding. He however was not expected to pay everything in full at once. When he eventually finished paying, his first born son is entitled to a cow from his mother's parents or their representatives, *Ng'ombe ya ndumbutho*, and he should carry a goat as he goes to receive his cow.

The dowry negotiations and payment were accompanied by ceremonial occasions. Wanginda reveals that *ûcûrû wa mûkio*, gruel, potatoes mashed with cereals and vegetables, *nyenyi cia njûgû* among other Embian assorted delicacies. *Mûratina* wine was only served to responsible adults in the evening

where the more the supply the merrier the party was. Song and dance could erupt at any instance. Everybody would go home happy and arrangements to come and pick the daughter unceremoniously through waylaying, capture and delivery to the grooms' house would be executed. This communal involvement in marriage ensured few instances of divorce as it was seen to be embarrassing to break a marriage after taking the entire community through the rigorous process. The above detailed description underlines the significance of dowry payment. Fortunately, westernization and Christianity did not challenge the payment of bride wealth and accompanying ceremonies. That is why the culture persisted even with the end of colonialism and after.

Moreover, the Aembu did preserve the esteemed concept of polygamy. Chesaina [7] highlights the significance of patriarchy and justifies polygamy regardless of reaction from women. In one of his proverbs, he explains that there is no cock which serves only one hen. Moreover, the Aembu did preserve the esteemed concept of polygamy. Hence, a man could marry as many women as he could. For instance, Njagi wa Mûthagato had five wives before the arrival of British imperialists while other men had married at least two women.

The idea of polygamy among the Aembu supported by Njoka (O.I, 2021) asserts that the Embu men being polygamous could marry as many women as one would be able to cater for materially. This meant the polygamous man had to put up a hut for each of the woman he married since co- wives did not share a hut. When you entered a homestead, you would first see some cattle shed on the left side. The granary for storing cereals was a smaller hut and built at the far end of the compound, raised from the ground with poles to keep off water and rodents from accessing the grains. From the front entrance, *gĩtonyero/ mûvĩrĩga*, there would be huts around the compound, the wives' huts with the single doors facing the middle part of the compound. The first wives hut was built to the right of the man's hut and the subsequent wives huts would follow in order of most senior behind first wives' hut. At the middle was the man's hut, *gaarû* whose door faced away from the other huts. Every wife co-slept with her young sons and unmarried daughters in her hut. The young uncircumcised boys would sometimes sleep in their fathers' hut but after circumcision the men lived in their own huts that they themselves built between the first and second wives huts. They could also curve space in the grain store and live there [11-15].

The Traditional African Value System of the Aembu was impacted negatively and positively after the imposition of colonialism and missionary establishment. Education served to improve family life among the Aembu as it was given to children from tender ages of around ten to fifteen years. The parents through policy enforcement by chiefs and headmen ensured children were enrolled for elementary education at Kigari Mission Station, the first establishment in Embu North. Here they were taught basic literacy on reading and writing, alongside receiving teachings on Christianity. The grading was from standard one to standard four. Those who passed in standard four proceeded to study at Kangaru intermediate school. As much as education after colonialism was made

formal, many Aembu parents were in support of children's education whether formal or informal.

In addition, the African custom of sharing was upheld and preserved by the Aembu community. Mwinga asserts that the Aembu people showed their hospitality by sharing. Food was supposed to be shared and to be accused of being a selfish person *mũndũ mũthunu* is not only a terrible insult but also labels a person as unworthy to receive other people's support, even in times of trouble. When there is no food to be offered to a visitor or a person passing by an explanation is usually offered. It was very bad manners to try to eat more than others, particularly if the people were eating from the same bowl [16].

5. CONCLUSIONS

The study concluded that the British missionaries and colonialists put in great effort to endear their culture as better than the indigenous one but the more they disregarded the African culture, the more the African saw need to fight for the survival of their own values. Amidst all these changes the Aembu were willing to defend their cultural values with blood and sweat to an extent that the colonizers and missionaries bowed down and accommodated them.

CONSENT

As per international standard or university standard, respondents' written consent has been collected and preserved by the author(s).

COMPETING INTERESTS

Authors have declared that no competing interests exist.

REFERENCES

1. Murrey, Amber. Colonialism. 2020;315-326.
2. Gann, Lewis H., Peter Duignan, and Victor Witter Turner, eds. Colonialism in Africa 1870-1960: Volume 4. Vol. 4. CUP Archive; 1969.
3. Hoekema, David A. African Politics and Moral Vision. Soundings: An Interdisciplinary Journal. 2013;96(2):121-144.
4. Chesaina C. Oral literature of the Embu and Mbeere. East African Educational Publishers; 1997.
5. Keegan T. An Age of Hubris: Colonialism, Christianity, and the Xhosa in the Nineteenth Century. University of Virginia Press; 2023 Jul 26.
6. ACK Diocese Embu. Ten great decades of faith 1910-2010. Liverpool Productions; 2010.
7. Addo KO. British colonial rule: Its impact on police corruption in Ghana. International NGO Journal; 2022 Nov 30.
8. Kothari CR. Research methodology methods and techniques. 2nd Edition, New Age International Publishers; 2004.

9. Grinyer A. The anonymity of research participants: Assumptions, ethics and practicalities. *Social Research Update*. 2002;36:1–4. [Google Scholar].
10. Hinden R, editor. *Fabian Colonial Essays*. Taylor & Francis; 2023 May 3.
11. KNA DC/EBU/1/2. Embu District, AR; 1932.
12. Mayo P. Understanding colonialism and fostering a decolonizing emancipatory education through Paulo Freire. *Educational Philosophy and Theory*. 2022 Dec 13;54(13):2275-85.
13. Murray C. 'Female circumcision', 252-3. Interview: Ruth Comely (Rev. Comely's daughter); 1978.
14. Muriuki G. *A History of the Kikuyu 1500-1900*. Nairobi; 1974.
15. Nyamweya B, Muhenda J, Nafula F. TRACING THE ROOTS OF RACISM THROUGH HISTORICAL HERMENEUTICS. *Journal of Humanities and Social Sciences ISSN (2708-504X)*. 2023 Jul 9;3(1):24-47.
16. Ambler HC. The renovation of Custom in Colonial Kenya: the 1932 Generation Succession Ceremonies in Embu. *Journal of African History*. 1989;30(1):139-156.

Biography of author(s)



Lizza Nkirote Kaaria

Department of Humanities, Chuka University, Kenya.

Research and Academic Experience: She has a Degree in History and Religion as well as a published Thesis in Masters in History.

Research Specialization: She has a specialty in social and political history.

Number of Published papers: She has two published articles.

Special Award: She participated in a four-year Transformative Leadership Program with Leap Africa involving five African countries and was the Best teacher mentor in Kenya out of over 600 participants.

Any Other Remarkable Point: She is currently pursuing a Doctorate Degree in History.



Caroline Kithinji

Department of Humanities, Chuka University, Kenya.

Research and Academic Experience: She researched widely in Social, Political, Cultural and Economic, History for Over Ten Years.

Research Specialization: Her research area includes History & Political Science.

Number of Published Papers: She has Sixteen Published Papers to her credit.

Any Other Remarkable Point: She is the section head of History, International Relations and Leadership and Public Administration at Chuka University.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

DISCLAIMER

This chapter is an extended version of the article published by the same author(s) in the following journal.
Asian Research Journal of Arts & Social Sciences, 18(3): 172-179, 2022.
Available: <https://www.sdiarticle5.com/review-history/91214>

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

The Isobematic Language in the Work Asas by Christopher Bochmann

Gonçalo André Dias Pescada ^{a,b,++*}

DOI: 10.9734/bpi/rtass/v8/6208B

ABSTRACT

Isobematic language, as a system based on a single unit of the same size (half-tone), has strong repercussions on fingering, registers, articulation and, consequently, on the sound produced by the various instruments. Writing or composing using isobematic language means organizing pitches (interval construction), rhythms, dynamics, articulations according to the sum of more or less “spaces of equal size”. The accordion, portable aerophone invented and patented in 1829 by Cyrill Damian in Austria, emerges in the 21st century as one of the most versatile instruments in the history of music [1] has unique characteristics to perform this kind of language: keyboard buttons (half-tones) disposition, symmetry, direct aptitude to transpose stuff, among others. The piece *Asas*, composed by Christopher Bochmann, it's a work written for accordion, soprano voice, saxophone, viola and cello based on this new language and a good example of the accordion integration in the panorama of contemporary music and in the performative relationship with other instruments. The purpose of this article is to analyze the new work regarding some idiosyncrasies of the isobematic language and the role of the accordion among the other classical instruments.

Keywords: Asas; Christopher bochmann; accordion; analysis; contemporary music.

1. INTRODUCTION

Bochmann (2013, p. 11) points that the concept of isobematic music results from a desire to bring the structure of music closer to the ear and the listener, without giving up the musical language, but theorizing it in its own and positive terms instead of resorting to ways to avoid tonalism [2].

The work *Asas*¹ was composed by Christopher Bochmann on January 9, 2020, in Lisbon. Originally written for voice (soprano), soprano saxophone, accordion,

^a Évora University, Portugal.

^b Centro de Estudos de Sociologia e Estética, Portugal.

⁺⁺Assistant Professor and Researcher (CESEM);

^{*}Corresponding author: E-mail: gpescada@uevora.pt;

viola and cello, the work was commissioned by the contemporary music group Síntese (Guarda). With regard to the general structure, *Asas* is made up of 3 parts. Instead of giving traditional names for the movements as *Moderato*, *Andante*, *Allegro*, *Presto*, among others, the composer decided to call each movement as Part I, Part II and Part III. The score is written along 34 pages with a duration of approximately 9'. In Table 1, information about the structure appears.

Cortot states that the musician must “understand the context of the work, but also analyze the different planes, lines and proportions of the musical construction as if it were an architectural construction” [3].

Jacomucci reinforces that *the intense collaboration with composers led to a cultural elevation of the unique instrument*, laying the foundations for a literature that both at a concert and pedagogical level and creating a perspective that did not exist before [4].

According to Rink a positive emotional response to musical content will be the key to greater *intrinsic musical motivation* [5].

Schönberg compares art as an *imitation of nature* and warns of the importance of sensations that lead to new movements in connection with other musicians [6].

Lips points out articulation and phrasing as *determining factors for safe and accurate interpretation* [7].

In terms of isobematic language, Bochmann (2019) adds also that it is the interval that interests us more than the notes themselves. The ear pays more attention to the relationship between notes than to the individual notes themselves. Music is a world of relativities, yet these notes have to be fixed in space for their relativities to be heard [8].

2. FIRST MOVEMENT - PART I

Part I appears over 58 bars, in an *Andante tempo* assigned to the instruments soprano voice, soprano saxophone and accordion. The text that appears associated with the voice is the following: “*asas, para que quero asas se em mim mora a alma de um sonhador*” [trad.: wings, why do I want wings if the soul of a dreamer lives in me].

The first movement of *Asas* begins with the soprano voice and the soprano saxophone (bar 1) in a dynamic *mp* and *Andante* tempo. The initial notes (A, C) constitute the beginning of the entry of the soprano voice and also of the saxophone in an undulating movement that always returns to the starting point, the C5 note.

This first intervention extends to bar 5, when the accordion enters. The chord played by the accordion appears in bellow shake, in a vertical construction characteristic of Christopher Bochmann's writing with the following interval

relationship (minor seventh in the bass, major third, perfect 5th, minor second, minor third). In isobematic language, interval 11, 4, 7, 1, 3.

The chord (Eb, D, F#, C#, D, F) emerges in bellow shake in a total of 11 movements, decelerating, allowing the transition to the next intervention of the soprano saxophone in bar 6. From bar 6 onwards, the saxophone focuses on the E note (the third minor above the C# note) also assuming the main melodic conduction reinforced by accordion in a bellow shake movement (4 movements) in bar 7 and by the entry of the soprano voice in bar 8.

Table 1. Structure of the work Asas

	Movement	n. bars / pages
First movement / Part I	Andante	58 bars / 10 pages
Second movement / Part II	L'istesso tempo	18 bars / 5 pages
Third movement / Part III	L'istesso tempo	67 bars / 19 pages

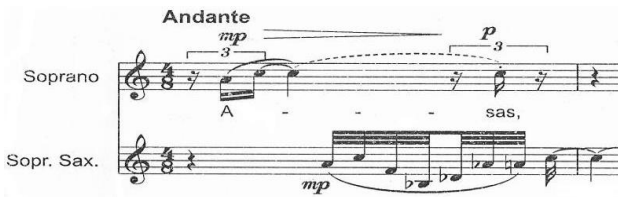


Fig. 1. Asas - Beginning of Andante section

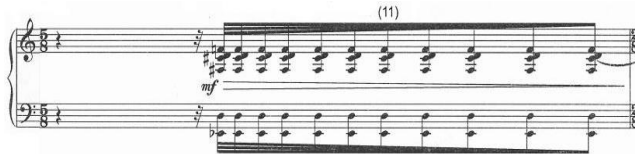


Fig. 2. Asas - Bellow shake movement

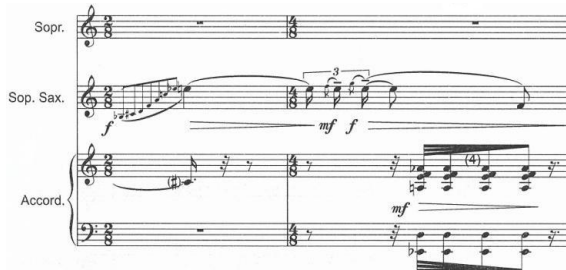


Fig. 3. Asas - Interaction between saxophone and accordion

From bar 8 onwards, the soprano voice once again takes the lead, developing the material up to the G note that occurs at the canonical entry of bar 9 reinforced by the bellow shake movements on the accordion (7 moves) also decelerating. In bar 9, the motif that precedes the G note on the saxophone will be inverted in the soprano voice (Eb, Ab, F, E).

It should be noted that the musical text attributed to the accordion has a completely idiomatic writing, in the sense that the progression of the chords over the same bass (Eb, D) happens in a gradual way that allows the same fingering on the keyboard. It should also be noted that this entire first part / tempo is performed only by the soprano voice, soprano saxophone and accordion.

In bar 10, the accordion begins the entry complemented by the saxophone and in bar 11 the saxophone extends its speech again to the B note (the third major above the G note). This section ends at bar 12 with a minor seventh interval performed in voice. So far, the text has been the word "Asas". Once the thematic exposition is over, bar 13 moves on to the development, the text mentions "para que quero asas" [trad.: why do I want wings].



Fig. 4. Asas - Interaction between voice, saxophone and accordion



Fig. 5. Asas - Rhythmic division of the text in the soprano voice

In bar 13, the saxophone and the accordion enter simultaneously, opening space for the entry of the voice (note C#) in a dynamic *mf* and in a rhythmic and melodic discourse that will extend until the note F, originating a motif that will be presented in a canonic texture between the three instruments.

It should be noted that the accordion sometimes plays the role of two or more different instruments. In bar 16, the soprano voice establishes a major third (A - C#) while the accordion performs a rotation of schematic chords.

In turn, the alto saxophone performs an inverted movement (bar 17) that originates the canonical entry of the accordion (G#, B, C, G) in bar 18.

From bar 19 onwards, an open dialogue emerges between a soprano voice, an alto saxophone and an accordion in a speech that deepens but which highlights all of Christopher Bochmann's compositional mastery. The text reflects the word "Asas". This small section develops up to bar 24. In bar 25, a new frame appears up to bar 30 and this time the text refers to "se em mim mora a alma" [trad.: if my soul lives in me].

This musical score snippet features three staves. The top staff is for Soprano (Sopr.) in treble clef, showing a melodic line with a major third interval (A-C#) and a triplet of eighth notes. The middle staff is for Soprano Saxophone (Sop. Sax.) in treble clef, with a single note and a long horizontal line indicating a sustained sound. The bottom staff is for Accordion in grand staff (treble and bass clefs), showing a complex block chord progression with various accidentals and dynamics including *mp*, *pp*, and *f*.

Fig. 6. Asas - Block chord progression on the accordion

This musical score snippet shows three staves. The top staff is in treble clef, starting with a forte (*f*) dynamic and a melodic phrase. The middle staff is in treble clef, showing a melodic line with a piano (*p*) dynamic. The bottom staff is in bass clef, showing a melodic line with a piano (*p*) dynamic. The score illustrates a canonical entry on the accordion.

Fig. 7. Asas - Canonical entry on the accordion



Fig. 8. Asas - Rhythmic division of the text in the soprano voice

At this moment, the accordion performs vertical textures at the beginning (Bellow shake movements in *desaccelerando*), interacting contrapuntally from the second half on bar 27.

In bar 28, the dialogue between the voices intensifies, giving rise to a fictitious but proportional canonical relationship between the three instruments, mainly through the motifs (Ab, F, E, Eb) in the voice, (F, E, B) in the saxophone and (G#, E, F#) on the accordion. The bass line, in the accordion, performs an half-tones progression in a descending sense (F#, F, E) which is preceded by an interval inflection of perfect fifth (E, B) juxtaposing this progression with an ascent by minor thirds (A, C, Eb).

Also at the end of bar 29 / beginning of 30 interesting relationships arise, eg. (B, Bb, F, D) especially the rising fifth and descending third (soprano voice), (E, A, F) rising eleventh, falling third on saxophone and (G, F#, B) on accordion, especially the minor second and diminished fourth.

In the section between bars 31 to 39, it seems to resume development through canonical relationships between the voices, e.g. G, Eb, D in accordion and saxophone, G, D in soprano voice.

From bar 40 to the end of bar 46, the saxophone and the accordion establish a fruitful and accessible dialogue. In this period, the voice appears with a small development starting at bar 42 and ending at bar 45.

From bar 47 onwards, the voice develops and progresses in the text, the saxophone establishes a dialogue with motifs that appear in moments of rest in the voice. The accordion takes on a clearly assumed vertical texture for the vertical filling and basic sustain of the voice and saxophone. This relationship will remain until the end of *Part I*.



Fig. 9. Asas - Bellow shake movements on *decelerating*



Fig. 10. Asas - Dialogue between the voices

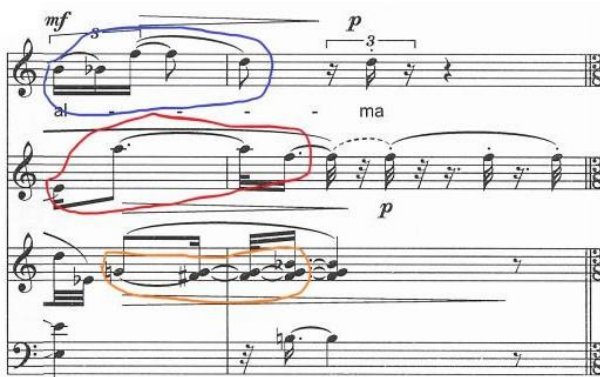


Fig. 11. Asas - Complementary relationship

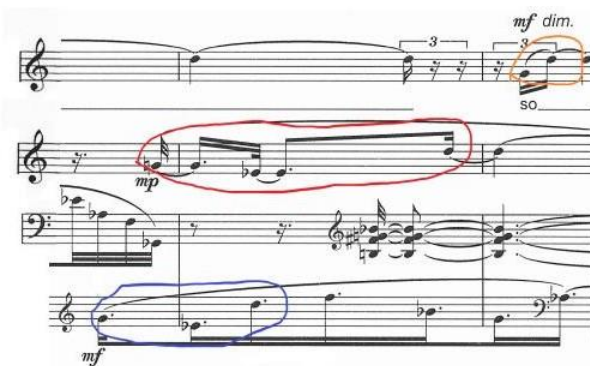


Fig. 12. Asas - Augmentation / decrease canonical relations



Fig. 13. Asas - Dialogue between soprano voice and saxophone

At the end of the first part (bar 58) the viola and cello with the notes C and C# respectively (interval 1 – minor 2nd) fade in (*pp*) establishing the transition to *part II* of the work.

The voice ends with the syllable “so”, leaving the word “sonhador” [trad.: dreamer] open. The saxophone plays a small motif (Ab, A, C, B), piano dynamics and legato in ascending motion (minor second, minor third and major seventh). In turn, the accordion ends this first part in a suspended chord consisting of minor seconds at the ends, minor third, perfect fifth and minor seventh in the center.

Bennett addresses the importance of recognizing musical styles and interpreting according to what was pre-established by the composer [9].

Azevedo underlines a sentence by Christopher Bochmann: “I think what is most moving is the recognition of something really sincere” [10].

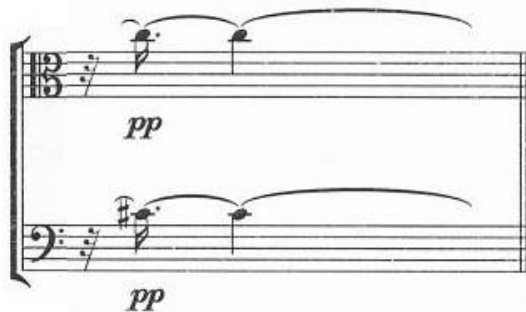


Fig. 14. Asas - End of Part I section - passing notes to Part II section

For Bochmann the harmonic language of Tonalism is defined in specific patterns that have nothing to do with serialism or twelve-tone music [11]. However, Bochmann assumes that rhythm plays a fundamental role in composition, especially in contemporary music [12].

3. PART II

The *Part II* section is developed over 18 bars in *L'istesso tempo* for the instruments only (saxophone, accordion, viola and cello). The voice will have its moment only in the *Part III* section.

In the first bar, 1/8, the viola and the cello play the notes started at the end of Part I (last bar) with the intention of continuing the discourse and not exactly stopping between movements.

From bar 2 to bar 5, the viola and cello develop their text in a parallel language at vertical distance of minor second (bar 2), minor sixth (bar 3), diminished fourth (bar 3), major twelfth (bar 4). The flow of movements is descending in bar 2, ascending in bar 3, and descending in bar 4.

From bar 5 onwards, the entry of voices start to be canonic, at a distance of one bar. The saxophone will enter bar 9 and intensify, in a relation of complementarity / extension of the lines, this construction of canonic moments.

In bar 11, the accordion begins a parallel discourse between the keyboards in permanent dialogue with the saxophone while the strings (viola and cello) develop a kind of parallel texture.



Fig. 15. Asas - Beginning of Part II



Fig. 16. Asas - Parallelism between viola and cello

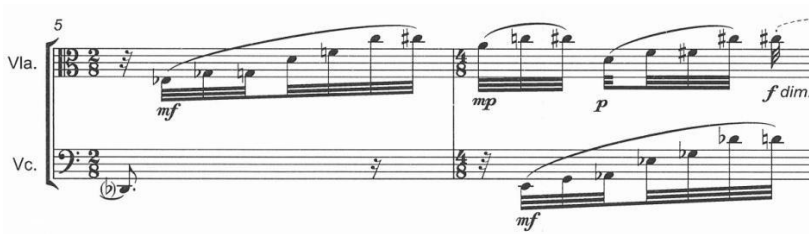


Fig. 17. Asas - Canonic moment

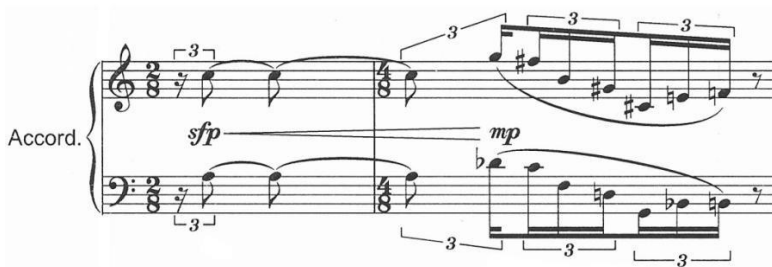


Fig. 18. Asas - Parallel speech

The confrontation between accordion and saxophone appears by overlap in bar 12 and in question-answer in bar 13.

In bar 14, the accordion enters with a movement in triplets and the saxophone responds with the same motivic design but in a contraction process (32th notes). At the end of bar 16, we witness the imitation entry between the accordion and the saxophone.

In bar 17, the rhythmic game (4 by 3) is performed only by the accordion (two keyboards) with interaction between the saxophone and the strings from bar 18 onwards.

At this moment, the relation between the voices intensifies in a kind of canonic (contrapuntal style) in 5 voices that will establish the transition to Part III.

For Draugsvoll, G. & Højsgaard, E. the correct execution of the instrumental techniques used provides greater clarity in musical interpretation [13].

Ellegaard, M. refers to the usefulness of the converter system in the construction of separate and independent voices that allow the use of the accordion in modern chamber music groups [14].

In turn, Llanos, R. & Alberdi, I. introduce new interpretation and writing techniques that constitute an added value in the musical interpretation of works for accordion [15].

4. PART III

Part III is the major part of the work *Asas* by Christopher Bochmann, it is developed in 67 bars in *L' istesso tempo* with the return of the voice with the following text: "alma de um sonhador para que quero asas" [trad.: soul of a dreamer for which I want wings]. In section *part III*, the accordion seems to assume a clear function of ostinato although with intertwined and fast motifs.

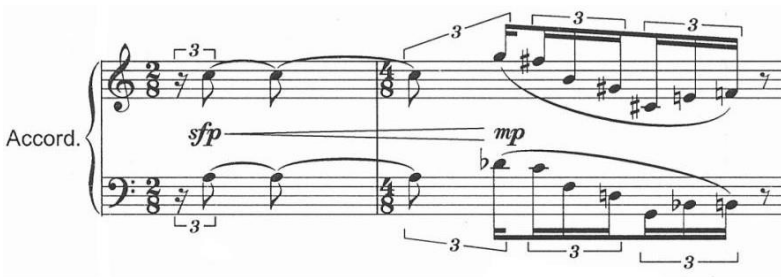


Fig. 19. Asas - Parallel moment by augmentation

The image shows a musical score for Soprano Saxophone and Accordion in 4/8 time. The Soprano Saxophone staff (Sop. Sax.) begins with a half note (F4) and a half note (G4), followed by a triplet of eighth notes (A4, G4, F4) marked with a '3' and a bracket. The Accordion part consists of two staves, treble and bass. The treble staff begins with a half note (F4) and a half note (G4), followed by a triplet of eighth notes (A4, G4, F4) marked with a '3' and a bracket. The bass staff begins with a half note (F3) and a half note (G3), followed by a triplet of eighth notes (A3, G3, F3) marked with a '3' and a bracket. Dynamics include *mf* (mezzo-forte) and *mf dim.* (mezzo-forte diminuendo). The score is labeled 'Sop. Sax.' and 'Accord.' on the left.

Fig. 20. Asas - Imitation moment by contraction

In turn, the voice, the saxophone and the strings (viola and cello) sing the notes (C, Ab, A, E) in a parallel design in a single voice although transposed between the different voices.



Fig. 21. Asas - Intensification of speech



Fig. 22. Asas - Beginning of Part III - Accordion

From bar 3 onwards, the saxophone presents the motif out of phase with the other voices in a sort of deconstruction of the previously exposed material. In bar 5, the canonic entry is evident.

From bar 6 to bar 12, the accordion and strings (viola and cello) play an parallel role, while the saxophone interacts with the voice.

In the accordion, the rhythmic base changes slightly in bars 10, 11 and 12. In bar 13, the saxophone appears as a solo instrument in *legato articulation*, *cantabile* and *mp* dynamics on a vertical texture with two overlapping perfect fifths (Bb, F / A, E) performed by viola and cello.

Next, the accordion enters on bar 19, articulating its speech through a half-tones motif on the right- hand keyboard with repeating patterns that go down the range while the left-hand keyboard repeats a different motif (Eb, D, B, Bb, G, G#, A).



Fig. 23. Asas - Part III - Theme and homorhythmic writing



Fig. 24. Asas - Part III - Saxophone Phrasing

In bar 20, the soprano voice resumes its entry, in the syllable “so”, establishing a dialogue with the saxophone (bar 21). Interval 3 (note Eb on the saxophone) will determine the ascending movement of the voice towards Eb (unison) which will be finished by the descending interval 11 (E) on the saxophone.

In bar 24, voice, viola and cello come together. The voice develops the melody while the strings establish a parallel movement.

From bar 26 onwards, we return to the canonic moment, although the entrance of the voice presents an increased rhythm in relation to the saxophone and the strings have a reduced rhythm (32th note) - bar 28. This section will go up to bar 31.

From bar 32 onwards, the viola presents its moment as a soloist supported by the cello with notes with bow and *pizzicatos*.

In bar 40, the voice appears in a *quasi parlato* register in a dynamic *pp* in *staccato articulation* referring to the text “para que quero” [trad.: what I want]. This moment (bar 40) will serve as a transition to the moment dedicated to the cello, in *cantabile* until bar 48.

From bar 49 onwards, we enter the initial phrase *Part I*, taken over by the soprano voice. The accordion enters the upturn for bar 49 with half-tones motif similar to the one performed above overlapped by movements in triplets. The material performed on the accordion serves as a basis for the canonic voice

entries, followed by the saxophone in increased rhythm (bar 50), viola (bar 51) and cello (bar 52) in reduced rhythm (eighth notes).



Fig. 25. Asas - Part III - Schematic speech on accordion

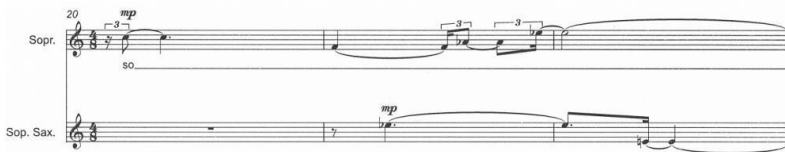


Fig. 26. Asas - Part III - Contrapuntal relationship between soprano voice and saxophone

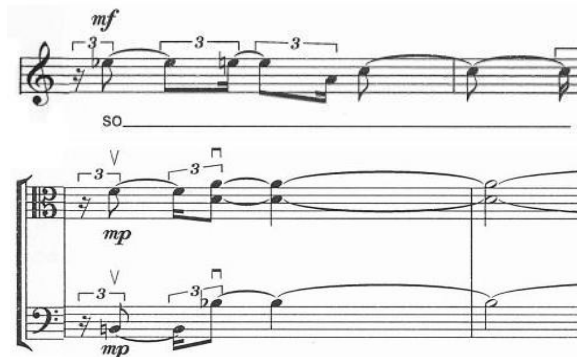


Fig. 27. Asas - Part III - Vertical relationship between voice, viola and cello

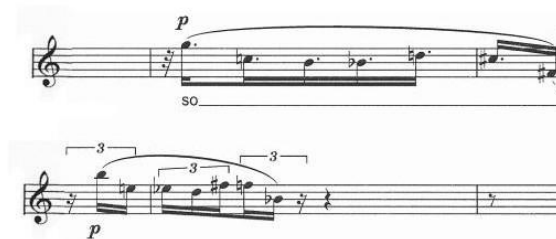




Fig. 28. *Asas - Part III* – Canonic entries by augmentation / diminution

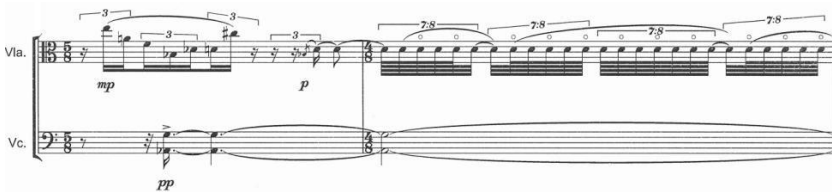


Fig. 29. *Asas - Part III* - Viola soloist moment

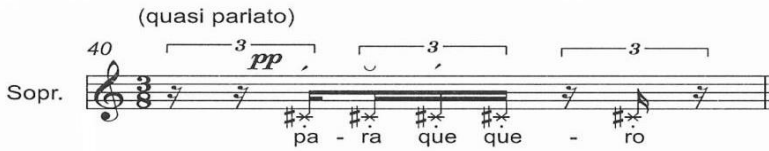


Fig. 30. *Asas - Part III* - Quasi parlato moment - Soprano voice

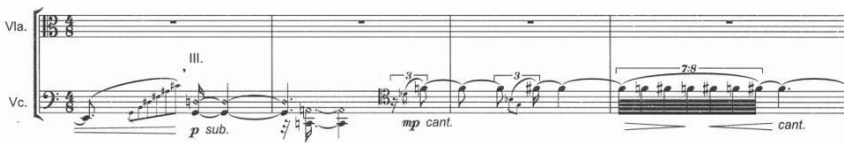


Fig. 31. *Asas - Part III* - Excerpt from solo cello part

From bar 54 onwards, the texture of the accordion changes (cluster on the right-hand keyboard), the voice focuses on the word “*asas*” [trad.: wings] (bar 55), the saxophone, viola and cello establish a final canonic relationship at the end of the bar 55 and 56, stabilizing the musical discourse with the word “*asas*” (voice entry) in bar 59. The accordion ends its speech in bar 60.

From bar 61, a small section appears marked by the parallel discourse between the saxophone, viola and cello in a dynamic *p*. String instruments play from this time on with *sordina*.

48

Sopr.

mp

p

Sop. Sax.

p

Accord.

pp

Fig. 32. Asas - Part III - Initial motif (voice)

Accord.

fp

Fig. 33. Asas - Part III - Cluster on the accordion

f

f

dim.

a₁

a₁

Fig. 34. Asas - Part III - Melisma over the syllable "a" - Soprano voice

p

mf

mf

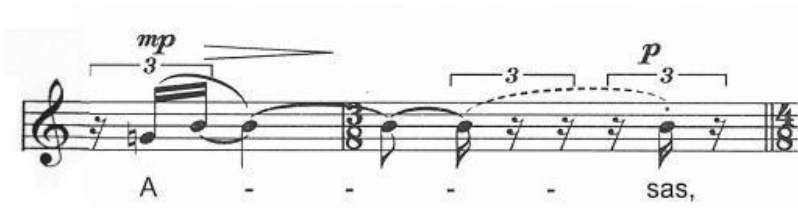


Fig. 35. Asas - Part III - Imitation moment between saxophone, viola and cello

Fig. 36. Asas - Part III - Voice entry. bar 59

Fig. 37. Asas - Part III - Parallel speech

The soprano voice will appear in bar 62 with a slightly different rhythm but with the same interval relationship (minor 3rd, minor 2nd).

The entry of the saxophone (Eb, D, B, E) reinforced by the strings constitute the motto for the entrance of the voice (bar 62) that emphasizes the word “Asas”. The final vertical construction (saxophone, viola and cello) results in a chord consisting of a major seventh and a perfect fifth (Db, C, G).

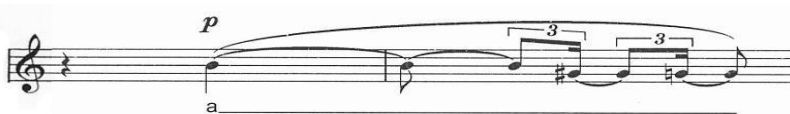


Fig. 38. Asas - Part III - Voice entry



Fig. 39. Asas - Part III - Parallelism - saxophone, viola and cello



Fig. 40. Asas - Part III - Final - Voice entry

The work ends on an Eb (soprano voice) with the second syllable of the word "Asas".

5. CONCLUSION

When analyzing the three parts of the work *Asas*, we can see the existing sound, harmonic and melodic beauty, but also the treatment of instrumental writing (sound layers and independent lines) that Christopher Bochmann imprints in his act of composing. '

The relationship of the soprano voice with the word, the relationship of the instruments that sometimes appear as a complement, sometimes in assumed directions of entries or musical transition, are essential characteristics that distinguish a language of musical discourse in search of a true intention to express feelings and emotions through music and art in general.

Rink encourages rigorous and disciplined study in individual parts so that group work is successful [16].

We can undoubtedly conclude that the work *Asas* catapults the instrument (accordion) to unique levels of musical interpretation and relationship with other instruments, raising prestige and the possibility of finding new stages.

Indeed, with the right registers combination, the perfect pitch and correct bellows balance it's possible to create singular sonorities in the accordion that allows to play any kind of music with temperament, charisma, expressivity and ressonance even in the chamber music features.

The balance between the sonority, the articulation, dynamics, different textures, phrases, counterpoint, poliphony, among others, transports the musician to another field of comprehension spirituality and emotions.

COMPETING INTERESTS

Author has declared that no competing interests exist.

REFERENCES

1. Sadie S. (Ed.). *The New Grove Dictionary of Music and Musicians* (second edition). London: Macmillan Publishers Limited; 2001.
2. Bochmann C. *Isobematic Music Fundamentals. III Musicology National Symposium. Pirenópolis (Brazil)*; 2013.
3. Cortot, Alfred. *Cours d'Interprétation*. R. Legouix Libraire Musicale. Paris; 1934.
4. Jacomucci C. *Modern accordion perspectives. articles and interviews about classical accordion literature, pedagogy and its artistic, professional perspectives. Grafica Metelliana Edizioni*; 2013.
5. Rink J. (ed.). *Musical Performance: A Guide to Understanding*. Cambridge: CUP; 2002.
6. Schönberg A. *Harmonielehre*. Universal Editions. Viena; 1911.
7. Lips F. *The art of bayan playing: Technique, interpretation and performance of playing the accordion artistically*. Kamen: Karthause-Schmülling Musikverlag; 2000.
8. Bochmann C. *The language of isobematic music: Its definition and its repercussions for composition and analysis*; 2019.
9. Bennet, Roy. *Investigating Musical Styles*. Cambridge: CUP; 1992.
10. Azevedo S. *Sem música a vida seria um erro*. Christopher Bochmann. Orquestra Sinfónica Juvenil; 2022.
11. Bochmann C. *A Linguagem Harmónica do Tonalismo, Juventude Musical Portuguesa*; 2003.
12. Bochmann C. *Ritmo como factor determinante na definição de linguagens musicais do século XX*. Modus (6), Instituto Gregoriano de Lisboa. 2006;185- 196.
13. Draugsvoll G, Højsgaard E. *Handbook on accordion notation*. Copenhagen: Andreas Borregaard; 2011.
14. Ellegaard M. *Comprehensive method for the chromatic free bass system (Bassetti or Baritone Basses)*. New York: M. Hohner, Inc; 1964.
15. Llanos R, Alberdi I. *Accordion for composers*. Spain: Ricardo Llanos (autor); 2002.
16. Rink J. (ed.). *The practice of performance: Studies in musical interpretation*. Cambridge: CUP; 2005.

Biography of author(s)



Gonçalo André Dias Pescada

Évora University, Portugal and Centro de Estudos de Sociologia e Estética, Portugal.

Research and Academic Experience: He attached with Instrumental and Chamber Music Units, Musical Didactics, Pratical Performance Seminar. He threw lecturer in conferences in Greece, Portugal, Japan and Romenia.

Research Area: His area of research includes Music and Musicology.

Number of Published Papers: He has published 5 research articles.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

DISCLAIMER

This chapter is an extended version of the article published by the same author(s) in the following journal.

Asian Journal of Education and Social Studies, 48(1): 89-103, 2023.

Available: <https://www.sdiarticle5.com/review-history/104393>

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

The Media and the “Construction” of “Mental Maps”: The Relationship with the Individual, Institutional and Disciplinary Homogenization among University graduates in the Light of a Systemic Theory

Miriam Aparicio ^{a#++*}

DOI: 10.9734/bpi/rtass/v8/19830D

ABSTRACT

A mental map represents a person's perception of their surroundings. Our brains subconsciously create mental maps to help us understand what our environment looks like and how to interact with the elements and objects within it. Mental maps are subjective—different people will have different mental maps of the same space, with variations stemming from their experiences, biases, and assumptions. You can even make a mental map of a place you've never been before. It may not be entirely accurate from a geographic or spatial perspective, but it'll reveal insights into your background knowledge and assumptions about the space. The hypothesis of "agenda-setting" is one of several hypotheses examined in this study that are part of the psychosocial-communicational paradigm, which stresses the long-term cognitive impacts of media and the role of the psychosocial subject as the recipient. Additionally, it complies with the author's latest systemic theory, "The Three Dimensional Spiral of Sense," as it pertains to the media. It is the first research of its kind in the region. Macro-micro-meso-macro-micro was the strategy, which is still uncommon. It is a sort of *sui generis* systemism that incorporates connections (links and feedback) between people and settings without ignoring either, hence avoiding any form of reductionism. It consists of a kind of *sui generis* systemism which includes relationships (links and feedback) between individuals and contexts, without overlooking neither the former nor the latter; thus, avoiding any type of reductionism. Individuals, organizations and macro-contexts interplay and feedback themselves. The four main objectives were: a) to elucidate the

^a National Council of Scientific Research (CONICET) – National University of Cuyo, Argentina.

[#]Emeritus Professor, Mendoza, Argentina;

⁺⁺Lead Researcher, CONICET;

^{*}Corresponding author: E-mail: miriamapar@yahoo.com;

cognitive effects of the *media* in university graduates; b) to detect levels of manipulation and homogenization of their "mental maps"; c) to ascertain the personality factors that condition differential receptivity ("Filtering" of the news) (151 variables); d) to determine the degree of impact and incidence of the press in the public's mental patterns and in the university graduates identities; e) to analyze the relation between institutional ideology, political ideology and media choice graduates make (traditional *versus* more progressive media); in other words, the level of meso, macro and micro interplay. The sample was made up of (N=516) graduates from Cuyo University (Argentina). Quanti-qualitative techniques were complemented: semi-structured survey and interviews. The results show: a) a high level of influence of the media on the problems which have been prioritized by graduates; b) a high level of coincidence of the topics prioritized by Faculties (prevailing "ideologies"); c) individual and institutional homogenization which influenced by a macro context of homogenization of the news and the globalization. All these aspects impact on institutional and individual identities. In essence, the incidence of psychology and education in the differential construction of "cognitive maps" was confirmed as well as the stronger incidence of the press as regards the impact caused by news and the mental homogenization.

Keywords: Identity; homogenization; media; systemic theory; university graduates; psychology; communication; sociology.

1. INTRODUCTION

"Mass media main function is building 'operational maps of the world' for users"
(Cohen, 1963:13)

In behavioral geography, a mental map is a person's point-of-view perception of their area of interaction. Although this kind of subject matter would seem most likely to be studied by fields in the social sciences, this particular subject is most often studied by modern-day geographers. They study it to determine subjective qualities from the public such as personal preference and practical uses of geography like driving directions. Mass media also have a virtually direct effect on a person's mental map of the geographical world. The perceived geographical dimensions of a foreign nation (relative to one's own nation) may often be heavily influenced by the amount of time and relative news coverage that the news media may spend covering news events from that foreign region. For instance, a person might perceive a small island to be nearly the size of a continent, merely based on the amount of news coverage that he or she is exposed to on a regular basis.

In psychology, the term names the information maintained in the mind of an organism by means of which it may plan activities, select routes over previously traveled territories, etc. The rapid traversal of a familiar maze depends on this kind of mental map if scents or other markers laid down by the subject are eliminated before the maze is re-run [1].

Despite numerous attempts by various disciplines and from various theoretical-methodological points of view, the social construction of knowledge and the homogenization of "mental maps"—which, in our opinion, are becoming more and more unified in the context of growing globalization of rendering and acquiring information—remain unresolved at the turn of the millennium.

This unique study, which examines the impact of the media on social and mental constructs using agenda setting as one of its models, was motivated by the gravity and ramifications of the problem. Unaffected by audience segmentation or a rise in information, the fundamental worry was that the qualitative homogeneity of the information received contributed to the loss of the psychological identities of the various peoples.

The present study, relative to the field of Cross-Cultural Psychology, Social, Cognitive and Communicational Psychology, focuses *on the effect of the mass media on a public from different educational backgrounds in the mental homogenization and on personal and collective identity (micro level and méso level).*

Such research is based on communicational, psycho-social hypothesis conceived in the 70's, among which *Spiral of Silence* and the *Agenda-Setting hypothesis* are present. The data is used here at the light of the *sui generis* paradigm systemic of the author: *The Three Dimensional Spiral of Sense*. The latter paradigm was of special interest to us, due to the impact it causes, the epistemological and methodological renewal it represents and, above all, to its implications and consequences, highly motivating for those working in the field of Social Psychology and Education.

Of an exploratory nature, this study, carried out in the unique cultural and social Argentine context, lies on the bases of real referents and involves important works in the field, as well as a sophisticated methodological task.

The centralization of the so-called "fourth power" is analyzed as an influential factor in people's systems of beliefs, attitudes and perception of social reality, and in relation to a wide range of basic variables, including the social-cultural, the psycho-social, the pedagogical-institutional, the structural and the communicational in a strict sense; always considering the consequences of their impact in the frame of a growing globalization (macro level).

Finally, several disciplines whose purpose is the analysis of processes in the formation of public opinion may join their efforts here, from the Cross-Cultural Psychology, to the Social Psychology, to the Social and Political Sciences; thus covering the social, methodological and epistemological interrelation. The theoretical frame, the social and cultural relevance of the hypothesis at stake and the work in the field turn the present research into an original, holistic contribution in a developing Latin American country already sensing the influence of globalization.

1.1 Objectives

The primary objectives were:

- to elucidate such effects in audiences with different levels of education (micro level),
- to detect levels of manipulation and homogenization of the "mental maps" linked with the centralization of the "fourth power",
- to ascertain *personality* factors which condition differential receptivity of the addressees ("filter" of the news) related to the social-evaluative *context* (méso level),

Two lines interest us:

- the first, emphasizes the effects of the *media* according to each individual's psychology (Gerbner & Gross, 1974¹; Gerbner, 2000);
- the second, based on the theory of "mental maps" or "agenda-setting" which holds that the level of permeation of the mass media on people's mind depends extensively on different parameters connected to psychosocial characteristics of both the youths and the messages themselves. Cf. [2-8] (méso level / micro level).

1.2 Hypotheses

Forty-nine central hypotheses were considered, which include base, academic, educational, structural and communicational variables in a strict sense.

- There would be a marked correlation between the degree of importance assigned to the information by the media and that assigned by youth (high incidence of "mental construing").
- Receptivity of the addresses would vary according to cognitive competence.
- Certain psychological characteristics would render the subject less susceptible to media influence (micro and méso/macro level).

2. FRAMEWORK: THE AGENDA-SETTING, MAIN LINES OF RESEARCH

Let us analyze the lines of research) where the agenda-setting theory and our hypothesis system are inserted.

Most lines are based on the following principal: *The agenda does not tell us what we should think, but "what" we should think about.* Shaw states "(as a consequence of the influence of the media) *the public is conscious about or ignores, pays attention or neglects, emphasizes or overlooks specific elements in public life. People tend to include or exclude from their knowledge what the*

¹ Along this research reference to "foundation fathers" is always made.

media tend to include or exclude from their own content. They tend, as well, to confer facts, problems and people the importance that the media has given them [9,10]. The author [11] refers to the topic in the terms used by Pasquier [12] exactly thirty years later: "(if it is true that the press) ... *cannot always tell people what to think, it is amazingly capable of telling the readers about what topics they should think something.*" [11,10].

This is the primary and most global hypothesis. As Shaw expresses, the fundamental assumption is that "... *an important part of people's understanding of social reality is modified by the media*" [9]. See also a synthesis of the first antecedents [13].

The perspective of the media has certainly changed: they no longer aim at persuading people, but at providing them with a "list of things one must have an opinion about or should discuss."

The agenda-setting theory has been influenced by the following and lines of research for over fifty years. Among other more recent publications, see [14-22].

The first one is politics-oriented, rooted in Cohen works [11] and based on agendas from the ruling elite from foreign political sectors. Other authors [23] label it *policy agenda building*. The main point of analysis here is the combination of the media and the citizens' agendas, together with that of the political decision-makers', emphasizing the complexity of the three. Nevertheless, the relevance of the issue goes beyond our purpose [24,25].

The second hypothesis deals with the agenda relationship of the subjects' media/agenda (micro level / méso level / macro level – political sectors). This hypothesis is in line with the author's theory, "The Three Dimensions Spiral of the Sense" [26,27].

Others authors [28], further studies are carried out by Funkhouser [29] for a period of ten years. At about the same time, others specialists [30] and [31] looks at the problem from the point of view of the manipulation, a central aspect of our research. In his words: "*as long as the addressee does not have the opportunity to check the accuracy of the representation of social reality, he ends up having a distorted, stereotyped or manipulated conception of it.*" [31,10].

As Shaw points out, emphasizing certain aspects and setting others aside, the media contribute to an interpretation of reality, which the individual applies in a fairly conscious way. Thus, (the media) "...*provide the public with something that goes beyond the strict limits of the news. They also provide them with the categories in which to include it in a significant manner.*" [9,10].

The research carried out by the author – as well as McCombs – shows that the ranking of facts in the public is similar to that given by the media, considered in the long term and with an "accumulative" effect. The above-mentioned works [9] and [32] confirm another paradigm presented in (1960), [33] about the role of

predisposition and its mediation in the exposition of programs. Others authors [32] expresses that "... *the agenda setting is probably an indirect effect arising from previous disposition of the public receiving the message*" (1976: 28). Shaw [9], states that, for the one part, "*voters' psychological and social characteristics*" play an important role in the use of the media for political purposes. For another, that interpersonal relationships influence the agenda effect, thus explaining – when they are poor, their most significant effects.

Making emphasis on the *selective processes* (perception, memory, attention, etc.) and thus, on the active role of the recipient, other author states: "(the media) *are efficient in building the image of reality that the subject structures in his mind* [31,13]. *Such image – which is only a metaphor for all the information about the world that the subject has received, organized and stored, can be conceived as a standard to which new information is compared so as to give it its meaning. Such standard includes the frame of reference, as well as the person's needs, set of values, believes and expectations which influence what he perceives from the communicative experience*" [31]. Considering the influence of all these factors, as Wolf points out, the public's agenda becomes something far more complex than the mere structuring of the media's order of the day, which comprises different issues and problems.

Siune and Borre [33] once again confirm the influence of the media in the priority that the public gives to certain issues. They corroborated that the importance given to the issue of economy or fiscal policies increased as did the importance given to these topics by the media. Rather the opposite happened with topics like education, culture and social problems, virtually neglected by the media. The co-existence, then, of psychological and sociological factors in the agenda effect – already mentioned in the Lazarfeldian paradigms – represents an important field for research.

From the psychosocial point of view, important contributions are made [34]. The authors demonstrated that "... *the agenda effect is weaker among those individuals who have discussed the issues than among those who have had no interpersonal communication*" [12]. Lazarfeld's old paradigm (1948) [35] re-appears connected to the hypothesis of the agenda-setting. See also [36,35,37, 38,39,40,41,42,43].

The results become relevant from our perspective, since we attempt to recover the importance of the public's critical role ("filter"), so as to oppose the absolute power sometimes given to the media when building the "cognitive maps".

Going even further, other specialists [44], express that the more the topic refers to an issue of which individuals have no direct social experience, the greater the media effect. Cf. [12,44,10].

The finding becomes even more relevant in a globalized world, where most of our knowledge comes from the media, situation which fosters individuals'

defenselessness. In other words: the growing cognitive public dependence on the media reduces the filtering expected from the audience.

Iyengar [45] indirectly associates the media and education, and concludes the least skillful individuals are the least willing to contradict the information given and are the most likely to be influenced by the agenda effect, due to close relation between the way in which the information is presented and the agenda effect. Imagine the influence of these concepts in underdeveloped contexts...

Our research included several tests to measure aptitude (labor, academic, etc.). We were particularly interested in observing the presence or lack of critical judgments in university graduates.

Finally, it's necessary to point out that despite the existence of works dated back the 70's and in the 80's, an integration of theories has not yet been achieved, and plausible answers have not yet been found as to how social information is construed; information which is more and more standardized.

3. METHODS

Sample: The sample was made up of graduates (N= 516) from eighteen careers in Cuyo University (Argentina) between 1980-1993. The study was extended to 2014. The sampling was stratified and the start, at random. The confidence interval was taken at 95% and error margin at 4.4%.

Regarding the subjects, data was gathered from institutional files and through personal interviews. Due to the special characteristics of the research, there was, in addition, a sample of the media and news.

Regarding the media, we worked with the written press, since this has been considered the main source for setting the agenda [28].

Two local newspapers (Los Andes and Uno) were analyzed, as well as the major national newspapers, with different editorial orientations (*La Prensa, La Nación, Clarín, Crónica, El Cronista Comercial, Página 12* and *Ambito Financiero*). We assumed that such variety of material would provide us with some insight into the differences between the ideology of the news. Likewise, some relationship might be found between the media and the pedagogical-institutional (universities and courses of studies) variables, core variables (Sex, Age, Social Background, etc.), and psychological-social variables (Prejudices, Anomy, Pessimism of Perspective, Rejection of existing Structures, etc.).

The meso-micro interplay becomes evident. The similarities or coincidences and the differences found among the graduates from different courses of studies show the impact of the immediate context from the media, but also from the socio-economic-political macro level, since the media are often manipulated by the central political powers in order to sell a homogenized reality often distorted.

As regards the different study-courses graduates' representations, we found sort of "caricatures", which really called our attention if we think that Universities are privileged areas that shape critical thinking [46-52]. On the contrary, we found sort of "culturally drugged" individuals. Thus, engineers paid full or even exclusive attention to the news related to their disciplinary area, graduates in Social Work just read news about employment, health, etc. The rest of the world of news was out of their "worlds".

This revealed the meso-micro-meso relation, since the individuals internalize what the institutional system taught them to consider important, and then, they revert such image upon the same system same system, feeding it back.

On the other hand, news ideology arose from the analysis carried out with different newspapers (some traditional and some more progressive). The perspective each of them showed was absolutely different, for instance, talking about a specific problem in the country. This was also observed in the newspaper choice graduates made: those belonging to more traditional studies, chose traditional newspapers; while those belonging to more progressive groups – who recruit themselves into study courses related to social and medical needs – chose more progressive ones, cf. models Consumption-Investment [53].

This remark – one of the mainstays of Dr. Aparicio's theory present on the first analysis – is confirmed in the latest cohorts [54].

The same was observed in other complementary studies, that is why this theory, based on 30-year empirical research at CONICET (National Council of Scientific Research), was announced in 2005 [5], 2007 [6], and in other publications until its release in 2015 [26], and [27], applied to 6 complementary disciplinary areas [5,49].

Being the samples – and corresponding proceedings – of such different nature, the techniques are presented in two distinct moments.

Instruments: Quanti-qualitative techniques were complemented: semi-structured survey, in-depth interviews, life stories and anecdote accounts. The analysis was made in two instances: products and processes. The convergent (theoretical and methodological) was adopted [55].

Let us analyze now the techniques applied to determine the *agenda effect*.

The design and analysis was based on two given agenda models [26]. The highest frequency observed in the options given for each piece of news in a rank of the Licker type determined the most relevant news for the public. The media agenda was determined by means of the analysis of the content through the nine local and national aforementioned newspapers.

Following international literature, the time frame was fifteen days for data gathering of the media and the public's agendas. Being research aiming at

determining the accumulative, long-term agenda effect, the decision about the time frame was crucial. The period for determining the agenda comprised only one week, during a political campaign, the decision based on methodological reasons which historically justify such choice.

Procedure:

1. Survey of data covers a period of more than ten years.
2. Implementation of the aforementioned techniques. Being a lineal study, the follow-up was carried at homes, as graduates and drop-outs were no longer in the educational system.
3. The survey of both agendas (those of the *media* and of the public), setting up of the time frame, took into account the models of the agenda/effect: awareness, relevance and priorities.
4. Graphic *media* was also used (six representative national newspapers, displaying different "ideologies"). The comparison procedure for both agendas and analytical strategies are original.

The range of variables was very wide (N=151), covering psychological, base line, pedagogic/institutional, structural and communicational aspects.

Finally, hypothesis and results were compared.

The methodological options made it possible to analyze, on the one hand, the psychological dimension related to the life stories and academic aptitude measurements. The effects of the intervening variables were recognized by means of discerning interpretation of the news. The effects of the intervening variables were recognized through the interpretation of the news.

4. RESULTS

Hypotheses concerning Social, Cognitive and Media Psychology were corroborated.

The theory held for other contexts is confirmed: the press has a greater impact in the construction of "operational maps of the world" (macro/meso level – micro level).

It was observed that the agenda effect is present: in youths who consider relevant only whatever so is for the media (micro level). The remaining information is not covered nor is able to access the individuals' "cognitive maps".

A high homogenization of thought is thus confirmed, as a result of the homogenization of news (incremented in quantity but of unified quality).

Nevertheless, it is interesting to point out that the strengthening of a certain image of reality is not only found in the same way, or every time, depending on the conjunction of different factors among which education and personality act as

decisive filters. Results show different interpretations and levels of "filtering" in accordance with need achievement (n-Ach), fatalism and prejudices, among other variables.

The topic, then, is a complex one: the subject's role is neither passive at the cognitive level, nor it is at the psychosocial level. The individual actually "filters" information. Yet, the question is to what extent is he really active? How much of the information he receives is he actually able to "sift", when the vast majority of it is acquired "via media", with no further parameters to evaluate the situation?

5. DISCUSSION AND CONCLUSION

Three axes and some degree of concern account for the analysis: mind homogenization and mass identity *versus* individual identity [56,57]. The results make evident a close inter-relation which, more often than not, is ignored. The media are machineries, organizations, and often politicized entities.

What are, then, the steps to be followed in a more and more globalized world? Resorting to an anti-media campaign or preparing people for conscious selection and responsible management of the new technology at every social level, by means of education, a critical mind and respect for values? Fostering access to new technologies or giving the existing tools their place back as simple instruments in the service of "human" development? How can "upward equality" be achieved without standardization or lack of individual identity, keeping, at the same time, cultural diversity? How can independence and pluralism be achieved in the media without jeopardizing the cultural patrimony of future generations or, even worse, of the weakest groups and peoples?

The current globalization is incompatible with the kingdom of each individual over himself. In this frame, the results obtained are an invitation to reconsider the role of the media as cultural pillars, in an attempt to achieve "equality" without weakening the personal identity. This is, keeping the psycho-social identity or the identification with the several social elements, without misinterpreting the existing psycho-social representations of the different cultural different groups, so as to encourage mutual growth and tolerance. Keeping a sense of identity within one's own group is fundamental to understand that sense of identity in other groups, for endo-group and exo-group are complementary categories.

Protecting self-identity means becoming "less mass", rescuing the individual's psychology, and avoiding homogenization, "trimming" any kind of manipulation, from the social and cognitive, to the bureaucratic one (*unconscious manipulation* or unwitting bias from organizations in favor of some news). Uniformity appears as inevitable. The micro-meso interplay is evident; i.e., personal identities getting feedback from institutional identities [4,5]. The macro political-communicational context also comes into play.

The results obtained from the research (done with university graduates on the bases that they were better "prepared" to "filter" information) show that the social-

cognitive dependence generated by the media is really significant. This implies a challenge for the professionals involved these areas in order to form critical judgment facing the growing importance of the "fourth state", the media.

COMPETING INTERESTS

Author has declared that no competing interests exist.

REFERENCES

1. Derek G, Johnston R, Pratt G, Watts M, Whatmore S. The dictionary of human geography. Reino Unido: Wiley-Blackwell; 2009.
2. Tichenor Ph, Donohue G, Olien Cl. Mass media flow and differential growth in knowledge. *Public Opinion Quarterly*. 1970;34:159-170.
3. Ettema J, Cline F. Deficits, differences and ceilings: contingent conditions for understanding the knowledge gap. *Communication Research*. 1977;4:179-202.
4. Aparicio, M. Agenda-Setting. Un análisis desde sus supuestos e implicancias educacionales. Master Thesis in Education, Social Communication and Human Relations, UCA. 1995;2.
5. Aparicio, M. *Les facteurs psychosociaux en relation avec la réussite universitaire et professionnelle*, PhD. Thesis. Université Paris V, Sorbonne, France; 2005a.
6. Aparicio M. Les facteurs psychosociaux à la base de la réussite universitaire et professionnelle: aspects psychologiques et organisationnels. HDR (Psychologie), Lille, Université Lille 3; 2007a.
7. Aparicio M. The media and the configuration of "mental maps": their relation to institutional homogenization among university students and disciplina identities. 3rd International Conference on Human & Social Sciences. ICHSS 2013. Sapienza University of Rome and MCSER - Mediterranean Center of Social and Educational Research. 2013a; September 20-22, Rome, Italy.
8. Aparicio M. The media and the configuration of "mental maps": their relation to institutional homogenization among university students and disciplina identities. *Mediterranean Journal of Social Sciences*. 2013b;11(4): 235-238.
ISSN: 2039-9340-Print.
DOI: 10.5901/mjss.2013.v4n11p235
9. Shaw E. Agenda-setting and mass communication theory, *International Journal for Mass Communication Studies*.1979;25(2):96-105.
10. Wolf M. La investigación en la comunicación de masas. Buenos Aires: Paidós; 1987.
11. Cohen B. The Press and Foreign Policy. Princeton University Press. Cited by McCombs & Shaw;1963.

12. Pasquier D. Vingt ans de recherches sur la télévision. *Sociologie du Travail*; 1994;36(1):63-85.
13. Lippmann W. (1964). *La opinión pública* (Traducción: S. Molloy). Buenos Aires: Compañía General Fabril. V.O.1922.
14. Ardèvol-Abreu A, Gil de Zúñiga H, McCombs M. Orígenes y desarrollo de la teoría de la agenda setting en Comunicación. *Tendencias en España* (2014-2019). *Investigación en Información y Comunicación*. 2020;29(4).
15. Carrol C E, McCombs M. Agenda setting effects of bussiness on the public's images and opinions about news of major corporations. *Corporate Reputation Review*.2003;6(1):36-46.
16. Castillo Salina Y, Muñiz Zúñiga V. La teoría de la Agenda Setting tras cinco décadas. *Question*, UNLP. Universidad de Oriente. 2022;3(71).
ISSN: 1669-6581.
URL: <https://perio.unlp.edu.ar/ojs/index.php/question/ICom> -FPyCS -UNLP
DOI: <https://doi.org/10.24215/16696581e695>
17. Higgins T. Reprinted for knowledge activation, accesibility, appicability and salience. In E. Tory Higgins and Arie W. Kruglanski, *Social Psychology: Handbook of Basic Principles*. New York : The Guilford Press.1996;133-188.
18. Kiouis S. McCombs M. Agenda-setting effects and attitude strength: political figures during the 1996 presidential election. *Communication Research*. 2004;31(1):36–57.
19. McCombs M, Lopez-Escobar E, Llamas J P. Setting the agenda of attributes in 1995 spanish general elections. *Journal of Communication*. 2000;50(2).
20. McCombs M, Valenzuela S. La teoría Agenda-Setting. *Cuadernos Info*. 2007;20:44-51.
Available: <https://doi.org/10.7764/cdi.20.111>
21. Martínez-Fresneda Osorio H, Sánchez Rodríguez G. La influencia de twitter en la agenda setting de los medios de comunicación. *Revista de Ciencias de la Comunicación e Información*. 2022;27:1-21.
Available: <https://doi.org/10.35742/rcci.2022.27.e136>
22. Zunino E. Agenda-Setting. cincuenta años de investigación en comunicación. In *intersecciones en educación*, Universidad Nacional del Centro de la Provincia de Buenos Aires. 2018;1(12).
ISSN: 1515-2332, ISSN-e: 2250-4184.
23. Cobb R, Elder Ch. The politics of agenda-building: an alternative perspective for modern democratic theory. *The Journal of Politics*. 1971; 33:897-915.
24. Roberts M, McCombs M. Agenda Setting and Political Advertising: Origins of News Agenda. *Political Communication*. 1994;11:249-262.
25. McCombs E. *Estableciendo la agenda. El impacto de los medios en la opinión pública y el conocimiento*. Barcelona: Paidós Ibérica; 2006.

26. Aparicio M. Towards a *sui generis* systemic theory: The three-dimensional spiral of sense. A study in Argentina applied to identity and professionalization (Article 1). *Asian Academic Research Journal of Social Sciences & Humanities*. 2015a;2(7):246-282.
27. Aparicio M. The theory of the three-dimensional spiral of sense: an application with special reference to identity and professionalization in other disciplinary areas (Article 2). *Asian Academic Research Journal of Social Sciences & Humanities*. 2015b;2(7):194-245.
28. McCombs E, Shaw D. The agenda-setting function of mass media. *Public Opinion Quarterly*. 1972;36:76-187.
29. Funkhouser G R. The issues of the sixties: An exploratory study on the dynamics on public opinion. *Public Opinion Quarterly*. 1973;37(1):62-75.
30. Schramm, Roberts D, (Eds.) The process and effects of mass-communications. Chicago: University of Illinois Press;1972.
31. Roberts D. The nature of communication effects. In Schramm W, Roberts D (Eds.), *The process and effects of mass-communications*. Chicago: University of Illinois Press. 1972;997.
32. McClure R D, Patterson T E. Television and the Lest-Interest Voter: The Cost and Informed Electorate. 1976;425(1).
33. Siune K, Borre O. Setting the agenda for a Danish election. *Journal of Communication*. 1975;25(1):65-73.
34. McLeod J, Becker L, Byrnes J. Another Look at the agenda-setting function of the press. *Communication Research*. 1974;2(2):131-166.
35. Lazarsfeld P, Merton R. "Mass communication, popular taste, and organized social action". In Bryson L (Ed.). *Communication of Ideas, New York: Institute for religious and social studies*; 1948. Reproduction in Schramm W. *The Process and Effects of Mass Communication*. 1971; 554-578. Urbana Illinois: University of Illinois Press. Translation to Spanish, Moragas M (Ed). *Sociología de la comunicación de masas*. 1979;137-157. Barcelona: Gustavo Gili.
36. Lazarsfeld P, Berelson B, Gaudet H. (1968, 1948, V.O. 1944). *The people's choice. How the voter makes up his mind in the presidential campaign*. New York: Columbia University Press. Translation: *El pueblo elige. Estudio del proceso de formación del voto durante una campaña presidencial*, 3a Ed. Buenos Aires: 1962 (v.o. 1944).
37. Katz E. The Two-step flow of communication: and up-to-date report on a hypothesis. *Departmental Papers (ASC)*, Pennsylvania University; 1957).
38. Katz E. *Communication research since Lazarsfeld*. *Public opinion quarterly*. Oxford University Press. 1987;51(4): 525-545.
Available: <https://www.jstor.org/stable/2749186>
39. Barton A. "Paul Lazarsfeld as Institutional Inventor". *International Journal of Public Opinion Research*. 2001;13(3):245-269.
40. Pooley J. Fifteen pages that shook the field: personal influence, Edward Shils, and the remembered history of mass communication research. *The*

- Annals of the American Academy of Political and Social Science. 2006;608(1):130-156.
41. González R. "Personal Influence": A 55 años de la irrupción de los líderes de opinión. *Razón y Palabra*. 2011;1 (75):1-24.
 42. Matterlart A, Matterlart M. Historia de las teorías de la comunicación. España: Paidós; 1997.
 43. Verón, E. Construir el acontecimiento: Los medios de comunicación masiva y el accidente en la central nuclear de Three Mile Island. Trad. B. Anastasi de Lonné & H. Verbitsky. (2a ed.). Buenos Aires: Gedisa; 1987. (V.O. 1981).
 44. Zucker H. The variable nature of new media influence, *Communication Yearbook*. 1978;2.
 45. Iyengar S. Television news and issue salience: a reexamination of the agenda-setting hypothesis, *American Politics Quarterly*. 1979;7(4):395-416.
 46. Moscovici S. La psychanalyse, son image et son public. Paris: PUF. 1961.
 47. Moscovici S. El psicoanálisis, su imagen y su público. Buenos Aires: Huemul; 1979.
 48. Moscovici S. Psicología social ii. pensamiento y vida social. Buenos Aires: Paidós; 1986.
 49. Jodelet D. "La representación social: fenómenos, concepto y teoría". In S. Moscovici (Ed.), *Psicología Social II. Pensamiento y Vida Social*. 1986; 469-494. Buenos Aires: Paidós.
 50. Herzlich Cl. "La representation social". In S. Moscovici (Ed.), *Psicología Social II. Pensamiento y Vida Social*. Buenos Aires: Paidós; 1986.
 51. Farr R. "Las representaciones sociales: Una introducción". In S. Moscovici (Ed.), *Psicología Social II. Pensamiento y Vida Social*. 1986;494-506. Buenos Aires: Paidós.
 52. Aparicio M. Qué estereotipo y representaciones sociales para la "ocupación docente"? Un estudio empírico franco-argentino inter y transdisciplinario a la luz del cruce de teorías y desde un enfoque sistémico *sui generis*. In Andelka Pejovic & Vladimir Karanovic (Ed.). *Estereotipos y Prejuicios en/sobre las culturas, literaturas, sociedades del mundo hispánico*. 2022;213-231. Belgrado University (Serbian), in collaboration with Universitatia de Bucuresti, Muni Filozofiká Fakultá, Universitatea de Vest, Timisoara, Romania. Universitatia de Ljubljana (Slovenia) and Universitatia de Masaryk (Czech Republic). ISBN 978-86-61-53-687-8. Total: 276 pages.
 53. Becker G. Human Capital. New York: National Bureau of Economic Research; 1964.
 54. Aparicio M. Les facteurs psychosociaux et la réussite universitaire et professionnelle. ANRT. Presses de l'ANRT, Lille. 2009c; 469p. and 126p. Annexes.
Available: ISBN 976-2-7295-6738-5.

55. Jick T D. Mixing Quantitative and Qualitative Methods: Triangulation in Action. *Administrative Science Quarterly*, (1971-1979). 24, 602-611. Available: <https://doi.org/10.2307/2392366>
56. Aparicio M. Homogenization and Mass Identity vs. Individual Identity. An Analysis in the Light of the Theory of the "Three Dimensional Spiral of Sense". *European Journal of Interdisciplinary Studies (EJIS)*, (2016 a).Jan-Apr., 4(2), 40-48. EUSER. ISSN 2411-4138 (On Line) and 2411 958X (Print).
<https://doi.org/10.26417/ejis.v4i2.p40-48>
57. Aparicio M. Les facteurs psychosociaux à la base de la réussite universitaire et professionnelle. Aspects psychologiques et organisationnels. Editions Universitaires Européennes. OmniScriptum GmbH & Co.KG., Dusseldorf, Germany. 2016b;481. ISBN 978-3-639-50405-7. Published in 6 languages (2020).

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

DISCLAIMER

This chapter is an extended version of the article published by the same author(s) in the following journal.
European Journal of Interdisciplinary Studies, 2(2): 31-39, 2016. DOI: <https://doi.org/10.26417/ejis.v4i2.p40-48>

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

Understanding the Experiences of and Challenges Faced by LGBT+ Employees at Workplaces in India: Embracing Diversity and Inclusion

Abhay Mane ^{a++*}

DOI: 10.9734/bpi/rtass/v8/7442A

ABSTRACT

Objective: The objective of this study is to understand the experiences of and challenges faced by LGBT+ employees at various workplaces in India.

Introduction: Not many individuals belonging to lesbian, gay, bisexual, and transgender (LGBT+) community are open about their identity in society or at their workplace. There is scarcity of data on LGBT+ employees at workplace in India with very few employers encouraging active hiring of the community or considering having policies in place for these individuals.

Methods: A survey of 10 questions was conducted and answered by LGBT+ individuals who are employees and currently work in India. The employees of any type of organization were allowed to take the survey. The questionnaire probed into various aspects of their experience at the workplace.

Results: 103 individuals answered the survey. Only 17 (16.50%) responders out of 103 are completely open about their sexual orientation whereas 6 are partially open. 8 survey takers reported to have faced negativity after opening about their sexuality at the workplace whereas 16 out of 23 have faced some form of discrimination. Only 18 survey takers said that they wish to come out to their colleagues in the near future.

Conclusion: Very few (16.50%) LGBT+ employees are open about their sexuality at the workplace. In a society where alternate sexual orientation is still a taboo, discrimination and harassment are likely to happen to these individuals. The study has certain limitations such as small sample size and further research is recommended to build upon the outcomes of this study. Hence, there is a need for protective laws for LGBT employees.

Keywords: *LGBT+; workplace; sexuality; discrimination.*

^a Carlson School of Management, University of Minnesota, Minneapolis, MN 55454, USA.

⁺⁺ Full Time MBA Student;

^{*}Corresponding author: E-mail: drabhay86@yahoo.com;

1. INTRODUCTION

People may adopt a variety of gender identities and sexual orientations to define themselves. To ensure consistency, we will use the term "LGBT+ community" throughout the remainder of this article. Within this spectrum, 'L' represents Lesbian, and 'G' represents Gay, signifying individuals who experience attraction to the same gender. 'B' stands for Bisexual, indicating individuals attracted to both genders, while 'T' denotes Transgender, encompassing those whose gender identity differs from their assigned sex at birth. The '+' encompasses the evolving nature of the community and embraces additional identities and orientations beyond those specified in the initial abbreviation [1].

From ancient to modern times, homosexuality in India has been a subject of discussion. Although Hindu texts and scriptures have always mentioned homosexuality since ancient times, the same is still considered as a taboo in modern India. One concrete illustration of the presence of sexual fluidity among homosexuals is provided by the Khajuraho Temple, located in the Indian state of Madhya Pradesh [1].

As far as legal rights are concerned, on 6 September 2018, a 5-judge constitutional bench of Supreme Court of India invalidated part of Section 377 of the Indian Penal Code, hence making homosexuality legal in India. In striking down the colonial-era law that made gay sex punishable by up to 10 years in prison, one judge said the landmark decision would "pave the way for a better future [2]."

Despite these positive changes in the legal rights of LGBT+ individuals in India, homophobia is prevalent in India [3]. Any form of sexuality is rarely discussed in public and therefore discussion about alternative sexuality is all the more rare. India is among countries with a social element of a third gender. Mental, physical, emotional, and economic violence against the LGBT community in India continues to be a problem [4].

People who belong to the LGBTQIA+ community often encounter various forms of oppression, such as homophobia and transphobia. These collective factors can significantly impact their mental well-being. Additionally, individuals within the LGBTQIA+ spectrum frequently face restricted access to vital necessities due to the marginalization they experience. These essential resources encompass healthcare, legal support, justice services, and educational pathways [1].

However, this attitude towards alternate sexuality is going through slow progression and we have also seen more representation of homosexuality in Indian media and cinema.

There is no way to ascertain the exact number of LGBT+ individuals in India. Coming to acceptance of LGBT+ individuals at workplace almost no data is available on experiences of the community in the same. And given that most of the members of LGBT+ community are 'closeted' it's challenging to generate

such data. This small study was designed to gain insights into lives and experiences of LGBT+ individuals at the workplace and might pave a way for future research. The objective of this study is to understand the situation of LGBT+ employees in India and find out about their experiences related to their sexuality.

2. METHODS

A survey of 10 questions was designed and was supposed to be answered only by individuals who belong to LGBT+ community and who are employees in India. The survey was completely anonymous. The first question asked responders about their gender and it was optional. The second question was about the type of organization they work for. The third question in the survey asked about their 'openness' at the workplace. In an attempt to have a closer look at the situation, the fourth question was about the type of colleagues who know about the sexual orientation of the responders. The fifth question probed into the immediate experience of this 'coming out' at the workplace. Trying to understand the work life of the responders better, the sixth question was about the discrimination they have faced, if any at the workplace. The seventh question asked about the form of this discrimination, if any. The options given for this question included denial of promotion, denial of opportunities and substandard increments. Other than this kind of discrimination, the eighth question probed into any type of harassment faced by responders at the workplace. The next question tried to understand the form of harassment, if any, experienced by the responders. The tenth and the last question asked whether responders have any plans of 'coming out' about their sexuality at the workplace. For a detailed description of each question along with answer choices please refer to Annexure.

3. RESULTS

A total of 103 responders answered the survey.

1) The first question yielded the following response. Out of 103 responders, 77 were male, 16 were female and 6 were transgender individuals. 4 survey takers did not wish to specify their gender.

Table 1. Response to the question 'Please mention your gender'

Answer	No. of Responses
a. male	77
b. female	16
c. transgender	6
d. transsexual	0
e. non-binary	0
f. gender fluid	0
g. Other	0
h. don't wish to specify	4
Total	103

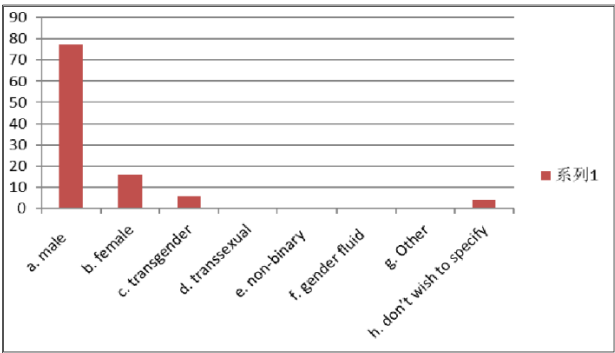


Fig. 1. Gender demographics of the responders

2) The 103 survey takers work for different types of organizations with most of them working for corporate sector (59.22%), followed by NGO (12.62%), educational institutions (10.67%), government sector (8.74%). 8 individuals selected 'others' as an option.

Table 2. Response to the question 'Please mark the type of organization you work for'

Type of Organizations	No. of Responses
a. Corporate	61
b. NGO	13
c. Educational institution	11
d. Government sector	9
e. Others	9
Total	103

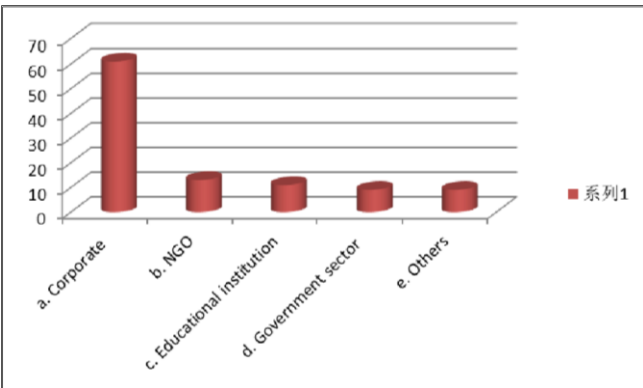


Fig. 2. Type of organizations the responders work for

3) Only 17 (16.5%) responders out of 103 are completely open about their sexual orientation at the workplace. 6 individuals are partially open about their sexuality. In total, 23 (22.33%) out of 103 responders are open in some way about their sexual orientation.

Table 3. Response to the question ‘Are you open about your sexual orientation at the workplace?’

Answer	No. of Responses
a. yes	17
b. no	80
c. partially	6
Total	103

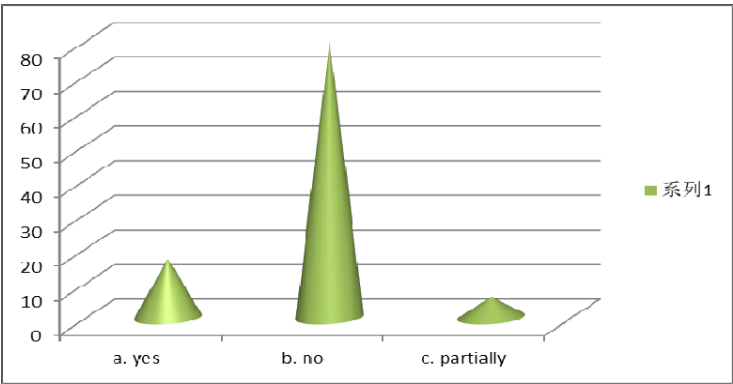


Fig. 3. Openness about sexuality at workplace

4) Only 6 responders are out of the closet to their respective managers whereas only 5 are open to the human resources department. 14 responders reported that they are open about their sexuality to ‘other’ colleagues. As this question allowed multiple answers, there was some overlap in terms of types of colleagues.

Table 4. Response to the question ‘What type of colleagues know about your sexual orientation?’ (multiple option selection available)

Answer	No. of Responses
a. Human resources dept	5
b. Manager	6
c. other colleagues/co-workers	14
d. N/A	80
Total	105

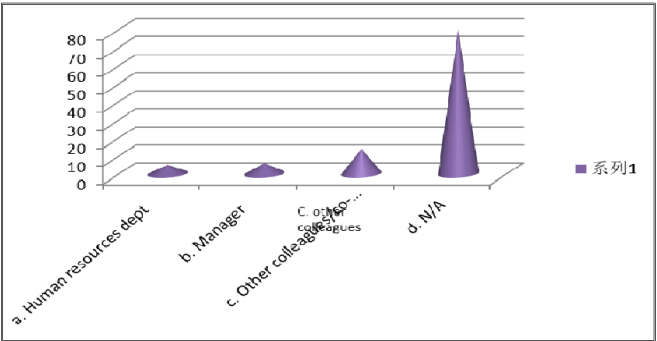


Fig. 4. Type of colleagues aware of responder’s sexuality

5) Out of 23 individuals who open about their sexuality, only 3 (13.04%) individuals reported that their ‘coming out’ was received very well. 5 (21.73%) individuals reported that their ‘coming out’ was received fairly well whereas 7 (30.43%) responders said that their ‘coming out’ was received ‘okay’. Out of 23, 8 (34.78%) responders reported that they faced negativity.

Table 5. Response to the question ‘How well was your coming out received?’

Answer	No. of Responses
Very well	3
Fairly well	5
okay	7
Faced negativity	8
N/A	80
Total	103

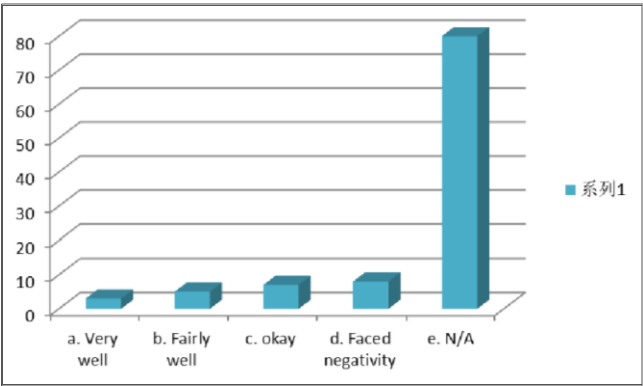


Fig. 5. How well was the ‘coming out’ received?

6) Out of 23 individuals who are out at their workplace 16 (69.56%) have faced some kind of discrimination.

Table 6. Response to the question ‘Have you faced any discrimination at your workplace because of your sexuality?’

Answer	No. of Responses
a. Yes	16
b. No	7
c. N/A	80
Total	103

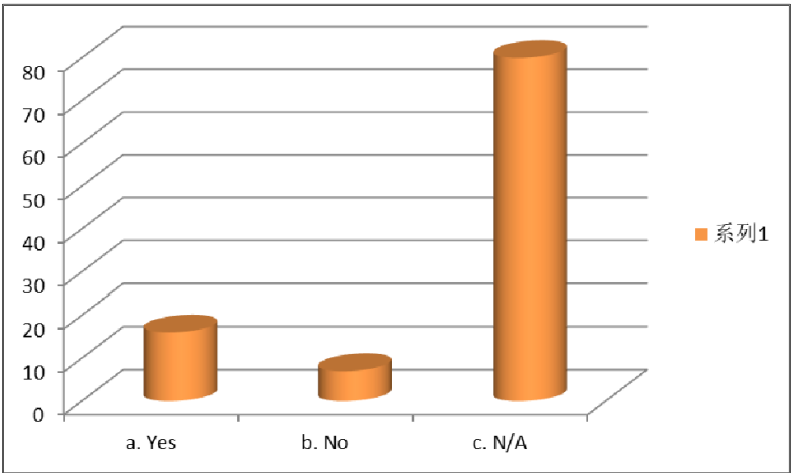


Fig. 6. Discrimination at workplace

7) Six individuals reported that they were denied opportunities because of their sexual orientation. 4 said that they were denied promotions whereas 6 reported receiving substandard increments.

Table 7. Response to the question ‘What was the form of this discrimination?’

Answer	No. of Responses
a. Denied opportunities	6
b. Denied promotions	4
c. Substandard increments	6
d. None	7
f. N/A	80
Total	103

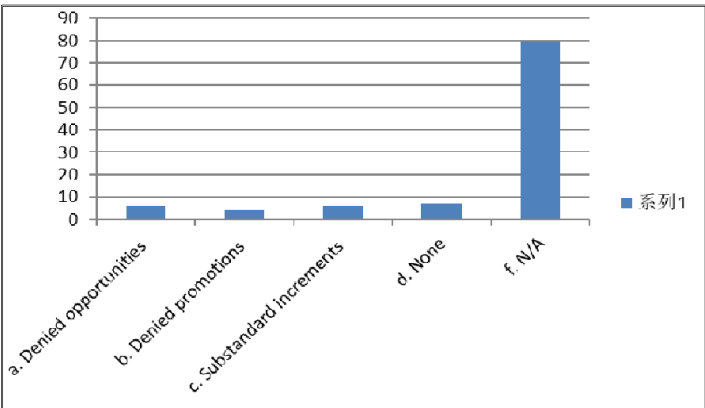


Fig. 7. Form of discrimination at workplace

8) Twelve (52.17%) out of 23 responders who are out at their workplace reported having faced harassment.

Table 8. Response to the question ‘Have you faced any harassment at the workplace?’

Answer	No. of Responses
a. Yes	12
b. No	11
d. N/A	80
Total	103

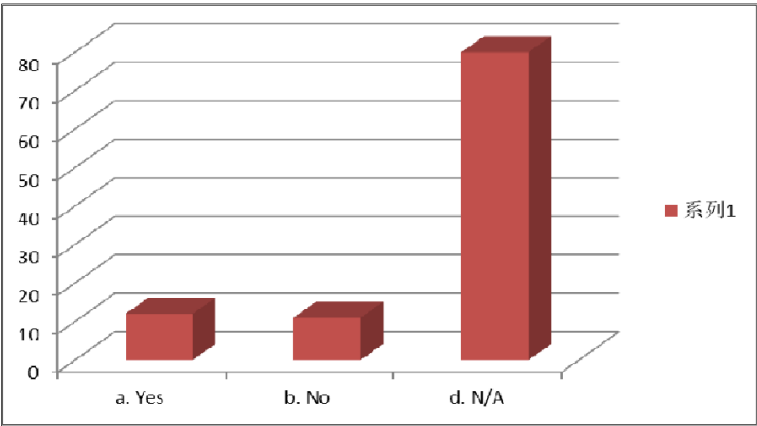


Fig. 8. Harassment at the workplace

9) Seven responders reported that they were excluded from the groups of colleagues. 4 individuals said that they faced verbal abuse/offensive remarks at the workplace. Only 1 survey taker reported experiencing physical abuse. No individuals out of responders have faced sexual harassment at the workplace.

Table 9. Response to the question ‘How would you describe this harassment?’

Type of harassment	Number of responses
a. Exclusion of groups	7
b. Verbal abuse/offensive remarks	4
c. Physical abuse	1
d. Sexual harassment	0
e. None	11
f. N/A	80
Total	103

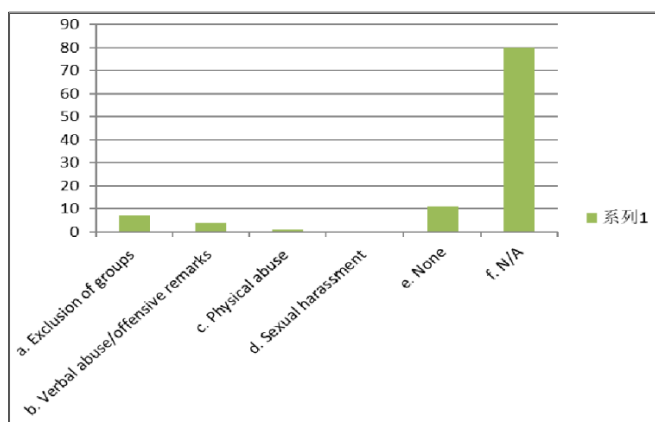


Fig. 9. Form of harassment faced at workplace

10) Eighteen (22.5%) out of 80 (who aren't open at the workplace) individuals said that they plan to come out in near future. 27 answered this question as 'maybe' whereas 35 individuals don't have any such intention.

Table 10. Response to the question ‘If you are NOT open at your workplace do you intend to do so in near future?’

Answer	No. of Responses
a. Yes	18
b. No	35
c. Maybe	27
d. N/A	23
Total	103

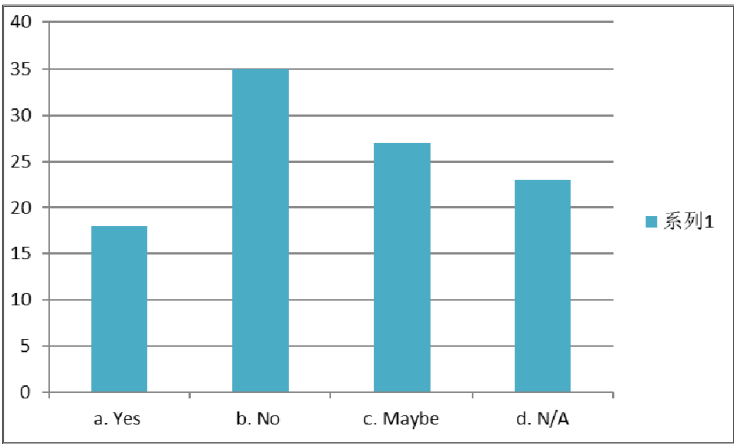


Fig. 10. Intention to ‘come out’ at workplace

4. DISCUSSION

Our study throws light on few very important aspects of Indian workplaces. Most of the LGBT+ employees who answered the survey are men. The representation of transgender individuals in Indian workforce is still miniscule. Our most (59.22%) of the responders belong to corporate sector with some representation of NGOs, government sector and educational institutions. Only 22.33% individuals being out of the closet is a grim number for any workforce. Most of the individuals out these are open to colleagues other than human resources (HR) and/or their managers. This highlights an important point. Not being open to HR and/or manager only emphasizes the fact that LGBT+ employees are unsure about the official stand the organization would take.

Although the number of individuals who are out of closet is very small (23), 34.78% of them reporting to have faced negativity at the time of coming out isn't a positive sign. More than 2/3rds (72.72%) have faced some form discrimination after they came out at the workplace. This percentage is high and should not be overlooked. The form of discrimination ranges from substandard increments to denial of promotions. Despite having a limited number of responders who are out of closet the discrimination is evident in most workplaces.

Harassment is one more challenging issue for LGBT+ employees. More than 2/3rds (69.56%) of the responders who are out of the closet report that they have faced some sort of harassment at the workplace. Exclusion from the groups of colleagues and offensive/homophobic remarks are common forms of harassment. Only one individual reported physical abuse. The answers to these questions reveal the situation of most the LGBT+ employees who are out of the closet. Very few individuals have an intention to come out at the workplace in the near future. This may be because of the negative experiences of the fellow colleagues or due to the feeling of insecurity. In both cases this reflects badly on

the work culture which possibly has minimum tolerance/acceptance of alternate sexualities.

There is scarcity of data on LGBT+ individuals' experiences at the workplace in India. One study conducted by mission for Indian gay & lesbian empowerment (MINGLE) reports similar results to that of our study. Only 25% individuals are out to their colleagues in this study as compared to 22.33% in our study [5].

In the same study by MINGLE, 40% individuals have reported some kind of harassment and 20% individuals have faced discrimination from their own manager/HR. Two thirds of individuals reported having faced homophobic comments at the workplace. This study, however, also probes into resources such as protective policies which employers have to offer. It also tries to understand how satisfied/unsatisfied LGBT+ employees are towards their respective employers [5].

One recent study from researchers in Turkey points out that with LGBT+ employees of enterprises, the first problem they encounter in the workplace is discrimination or micro-aggressions. It also highlights an important fact that even in safe and LGBT+ friendly businesses, people can express adverse reactions towards gays and lesbians. Resulting minority stress causes performance loss in the workplace [6].

This discrimination and resulting impact on mental health is not only limited to the workplace. A study that examined a diverse sample of LGBTQ young adults (N=206) and their experiences of disclosure and non-disclosure to medical providers, when participants did disclose their sexual orientation, they experienced reactions ranging from discrimination and disbelief to affirmation and respect. It should be note that this srusy was not conducted in India [7].

An article from India points out that, although national medical council (NMC) has taken the first step towards more LGBT+-inclusive medical education by editing textbooks, there is still a long way to go. The othering of the LGBT+ community by the medical curriculum has to be unwritten and unlearnt. Providing such education would help address the current health disparities faced by the LGBT+ community and take us closer to providing everyone the 'right to health,' as constitutionally promised [8].

Some researchers have also tried to understand how different factors such as race/ethnicity play an important role in treatment received by LGBTQ individuals. Racism exerted a direct effect on mental health but was not associated with suicidal ideation. The effects of LGBTQ-based discrimination on mental health may be a key area for interventions to reduce suicidal ideation in LGBTQ people of color (POC) [9].

Another study speaks at length about mental health of LGBTQ youth and highlights that clear and consistent evidence indicates that global mental health problems are elevated among LGB youth. The study also states that there have

been extraordinary changes in public understanding and acceptance of LGBT people and issues, and significant advances have been made in scientific understanding of LGBT youth mental health. At the same time, critical gaps in knowledge continue to prevent the most effective policies, programs, and clinical care from addressing mental health for LGBT young people [10].

Pertaining to workplaces, LGBT+ employees who are out of the closet can significantly add to productivity of the organization. Needless to say, those employees who are out contribute to the diversity of the workplace with different viewpoints, ideas, suggestions etc. Our study not only gives voice to LGBT+ employees but also makes an attempt to understand the current attitude of Indian workplaces towards LGBT+ employees.

Our study has a few limitations. First is the small sample size. It was a herculean task to reach out to LGBT+ employees in India. This speaks volume about the 'openness' about sexual orientation at the workplace or even in general in society. We did not ask responders about the names of the organizations they are associated with. This was done consciously to make responders feel safe and completely anonymous.

5. CONCLUSION

To conclude, this study throws light on experience of LGBT+ employees at workplace in India. Our study is one of its kinds and paves the way for future research in this field. The current picture at the Indian workplace is not very positive. However, with a recent ruling from Supreme Court decriminalizing consensual homosexual sex between adults has come as a silver lining. This change in the legal standing will most probably reflect not only in society but also in Indian workforce. Going forward, hopefully, LGBT+ employees will feel safer in their workplace and employers will take necessary measures to protect every employee. In studies to follow, we would like to understand perspective of employers/HR professionals on this. This is an independent study and there are no financial conflicts of interest to disclose.

APPENDIX A

The link to the survey. Retrieved from <https://s.surveymonster.com/bZFxJXxnD>

COMPETING INTERESTS

Author has declared that no competing interests exist.

REFERENCES

1. Agarwal A, Thiyam A. Lancet Reg Health Southeast Asia. 2023 Jan;8:100085. Available:<https://timesofindia.indiatimes.com/readersblog/xpresblogs/lgbtqi-a-and-their-situation-in-india-44668/>

2. DNA. SC decriminalises gay sex, but J&K LGBTs will have to wait longer; 2018.
3. Bedi R. Homophobia persists in India despite court reforms. The Telegraph (UK). London; 2011.
4. DNA India. Violence against LGBT groups still prevails in India; 2013 Nov 24.
5. Mission for Indian Gay & Lesbian Empowerment. (2016). The Indian LGBT Workplace Climate Survey 2016. Retrieved April 30, 2021. Available:<https://vartagensex.org/wp-content/uploads/2019/10/1559396942000-mingle-lgbt-wrkplc-climate-srvy-2016.pdf>
6. Akgül D, Güneş V. Minority stress of workers as internal customers: A case study in Turkey. Athens Journal of Business & Economics. 2023;9(1):109-30
7. Kinton Rossman, Paul Salamanca, Kathryn Macapagal. The doctor said I didn't look gay": Young adults' experiences of disclosure and non-disclosure of LGBTQ identity to healthcare providers. J Homosex. 2017; 64(10):1390–1410.
8. Akhilesh Agarwal, Aashiana Thiyam. Healthcare, culture & curriculum: addressing the need for LGBT+ inclusive medical education in India. Lancet Reg Health Southeast Asia. 2022 Oct 3;8:100085.
9. Megan Sutter, Paul B. Perrin. Discrimination, Mental Health, and Suicidal Ideation among LGBTQ People of Color. J Couns Psychol. 2016 Jan; 63(1):98-105.
10. Stephen T. Russell, Jessica N. Fish. Mental Health in Lesbian, Gay, Bisexual, and Transgender (LGBT) Youth. Annu Rev Clin Psychol. 2016 March 28;12:465–487.

Biography of author(s)



Dr. Abhay Mane

Carlson School of Management, University of Minnesota, Minneapolis, MN 55454, USA.

Research and Academic Experience: He completed MD (medicine), Masters in Pharmacolog. Currently, he was pursuing MBA.

Research Specialization: His area of research includes social sciences, dermatology, pharmacology, hematology.

Number of Published papers: He has published 4 research articles in several reputed journals.

Any other remarkable point(s): He is the editor at European journal of pharmaceutical & medical research, Reviewer at International journal of clinical dermatology.

© Copyright (2023): Author(s). The licensee is the publisher (B P International).

DISCLAIMER

This chapter is an extended version of the article published by the same author(s) in the following journal.
International Journal of Social Science Research, 9(2): 164-175, 2021. DOI: <https://doi.org/10.5296/ijssr.v9i2.18925>

Peer-Review History: During review of this manuscript, double blind peer-review policy has been followed. All manuscripts are thoroughly checked to prevent plagiarism. Minimum two peer-reviewers reviewed each manuscript. After review and revision of the manuscript, the Book Editor approved only quality manuscripts for final publication.

London Kolkata Tarakeswar

India: Guest House Road, Street no - 1/6, Hooghly, West Bengal, India (Reg. Address),
Diamond Heritage Building, 16, Strand Road, Kolkata, 700001 West Bengal, India (Corporate Address),
Tele: +91 7439016438 | +91 9748770553, Email: director@bookpi.org,
(Headquarters)

UK: 27 Old Gloucester Street London WC1N 3AX, UK,
Fax: +44 20-3031-1429, Email: director@bookpi.org,
(Branch office)