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# Lessons and Experiences of Other Country's Forest Accounting Systems for Ethiopia's Forest Accounting System

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**Abstract:**

For many countries, forests play a key role by providing income and livelihoods while contributing to climate change mitigation and other vital ecosystem services. The Ethiopian system of national accounts does not properly account for the full economic, social, and environmental values of forest resources. The main objective of this study is to assess the experience of other countries accounting systems to draw important lessons for designing our robust forest accounting system. For this study, 7 countries across the world were selected for a case study based on the availability of comprehensive data and based on the contribution of forests to the economy. The result of the study shows that Sweden and the United Kingdom made efforts to improve the forest accounting system and use an alternative accounting system. For example, Sweden used forestry statistics; valuation of forest land and timber, and forest area is included in the SNA stock accounts to measure the true value of forest. The United Kingdom developed forest statistics and measure the indirect and induced employment multipliers effect of forests. Also, used annual surveys of forestry sector businesses and organizations to obtain more specific economic data relating to the sector including private woodland owners. The new lesson to be adopted for Ethiopian forest sector accounting is annual forestry statistics, supply and use information, accounting of depreciation, alternative evaluations for non-market goods and services, development survey on indirect and induced employment multipliers affecting the forest sector, quality data on private sector forest and standards data on all goods and services and application alternative forest accounting system. Further, the study recommends the Ethiopian forest sector should be contextualized and adopt the European experiences on forest accounting, in particular estimates of forest and timber values, non-wood goods, production capacity, services (recreation, protection of soils and noise, carbon sequestration), biodiversity and chemical imbalance costs.

*Keywords: Lessons and experiences, forest accounting system, Ethiopia*

## INTRODUCTION

For many countries, forests play a key role by providing income and livelihoods, climate change mitigation, and other important ecosystem services. To properly accounting forest resources, it needs well-organized information and data that can support planning and policy implementation (Castaneda Sanchez et.al. 2017). Forest accounting is helpful for the maintenance of forest resources in a proper way, balancing economic growth and regional economic diversity (Patil, 2017). The System of National Accounts (SNA) is the standard international framework for the organization of economic statistics and has been adopted around the world to judge economic progress and performance. The SNA provides a framework and a comprehensive set of concepts, definitions, and classifications for economic accounting that allows compiling, and presenting

economic data in a format designed for purposes of economic analysis, decision-making, and policymaking (Hundessa and Alemayehu, 2019).

The Ethiopian system of national accounts in the forestry sector does not capture the true value of forest contribution to the economy as well as support services provided to other sectors. This is due to SNA estimates, the valuation of forest resources and ecosystems needs to be exchanged for cash (SNA, 2008). In neoclassical economics, exchange values result from the price (P) and the quantity (Q) exchanged at the equilibrium of supply and demand. Social values would be estimated based on changes in both producer and consumer surplus. The consumer surplus is not included in SNA-based valuations. Therefore, exchange values do not necessarily reflect social values and need to go beyond the exchange value concept by including consumer surplus through another accounting system (valuation methods).

The Ethiopian SNA framework is inadequate to better show economic performance since the contribution of the forest sector is neglected because of the non-marketed nature of most of the forest goods and services. The gap in the current practices of the forest resource accounting system needs analysis of various aspects of a forest accounting system for further improvement that could capture the total contribution of the sector. The contribution forest sector to the national economy is varied among different countries. Understanding the links between forests and the social and economic development of other countries is important to make better-informed decisions on the use of forest resources, and to design and monitor policies that can help achieve sustainable development. To this end, the objective of this study is to assess the experience of other countries in forest accounting and design a robust forest resource accounting system.

## METHODS

To ensure proper accounting, different countries and international organizations will share best practices in the forest accounting system. The implementation of the SNA/SEEA needs to create conditions that improve the quality, availability, consistency, and harmonization of economic statistics and national accounts in all countries. There are various forest accounting practices across different countries. To collect the best experience for Ethiopia from other countries forest accounting experience both developing and developed countries were selected based on the availability of comprehensive data and based on the contribution of forest to the economy. Accordingly, Zimbabwe, from Africa, Indonesia, and Malaysia from Asia, Chile from Latian America, the UK, and Sweden from Europe were selected for the study. The similar sector livestock sector accounting system of Ethiopia was used to draw an accounting system for the forest sector. This study mainly depends on secondary data sources such as Forest Accounting Sourcebook, World Bank, United Kingdom forestry statistics, Afristat, and EUROSTAT.

## RESULTS AND DISCUSSION

The objective of forest accounting is to provide information to give a more complete picture of forest resources, to ensure integration in economic development, and to mainstream forest information in economies that depend on the environment to achieve sustainable development. Since 1993 the release of the first System of Environmental Economic Accounting (SEEA) the development of concepts around natural resource accounting for forests, a number of countries have developed forest accounts. For example, Australia, Canada, Sweden, Finland, Guatemala, New Zealand, and the United Kingdom focused on capital accounting systems. While Latvia, Guyana, Tanzania, and Zimbabwe were not based on the SEEA to account for forests. Several

factors affected the forest accounting system such as forest management, relevance of ecosystem services, policy framework, linkage with other sectors, availability of quality and reliable data, and commitment of users accounting information.

## Zimbabwean Forest Accounting System

Zimbabwe is one of the landlocked countries located in southern Africa, whose forest resources cover 66% of the total land (Mabugu, and Chitiga, 2002). For Zimbabwean forest stocks generate a wide range of timber and non-timber forest products and services. The products include fuel wood, fuel wood for charcoal making, sawn timber, pulpwood, building materials, wood for small artisanal crafts, fodder, fruits, honey, mushrooms, insects, bark for rope, medicines, leaf litter, and gum. The services include watershed conservation; carbon fixation; microclimatic stabilization; and the provision of windbreaks, shade, soil stability, and wildlife habitat (Rasmussen, 2017). The true contribution of forests to national income, wealth, and welfare is not accounted for in the SNA measures (Mabugu, and Chitiga, 2002).

The Zimbabwe system of national account does not capture the depreciation of the natural capital (the forest stocks), upon which subsequent commercial uses are based. The national accounts only measure market-based transactions and exclude consumptive uses such as domestic fuel wood cut by villagers, which occurs outside the marketplace. The country's system of national account tries to use an adjusted contingent valuation study to estimate the mean direct and indirect values of a range of timber and non-timber products woodlands at a monetary value per hectare per year and the total stock value of indigenous woodlands can be approximately estimated. Zimbabwe was unable to implement SEEA due to complexity, data, finance, and manpower. Zimbabwe focused on the way to access the data for the accounting system than SEEA or SNA. The lessons from Zimbabwean for Ethiopia are developing information systems that can support SEEA or SNA accounting systems. Training of enough manpower and sufficient budget allocation for the program as a prerequisite for the implementation proposed forest accounting system.

## Indian Forest Accounting System

India ranks 10th in the list of most forested nations in the world with a total Forest Cover of 21.54% of its total Geographical Area. The forestry & logging sectors' contribution account for 1.23% of the total GDP (Madhu Verma, 2018). The study conducted in India on the Accounting of forest resources is very comprehensive. It builds on a well-established forest physical account of India using SEEA. This work provides a comprehensive picture to obtain a monetary account of timber, non-timber, and carbon wealth (Gundimeda, et.al., 2007; Garg and Sharma, 2017). They used the concept of total economic value in forest valuation considering provisioning services, regulating services, supporting services, and information services. The data regarding the quantity of timber harvested and sold was obtained from the state forest department and valuation was done based on the current market price (Ramachandra, 2017). In addition, different non-timber forest goods and services were obtained from different data sources and valuation was conducted based on the formula stated below.

| Provisioning services | Equation | Details |
|---|---|---|
| Timber | $$V_{Timber} = \sum_{i=1}^{11} \sum_{j=1}^{6} Q_{ij} \times P_{ij}$$ | Q= Quantity of Timber; P= Price of Timber; i= no. of taluks; j= variety of timber |
| NTFP | $$V_{NTFP} = \sum_{i=1}^{11} \sum_{j=1}^{30} Q_{ij} \times P_{ij}$$ | Q= Quantity of NTFP; P= Price of NTFP; i= no. of taluks; j= variety of NTFP |
| Litter | $$V_{Litter} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of Litter; P= Price of Litter; i= no. of taluks |
| Mulching leaves | $$V_{Mulch} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of Mulching leaves; P= Price of Mulching leaves; i= no. of taluks |
| Fodder | $$V_{fodder} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of fodder; P= Price of fodder; i= no. of taluks |
| Fuelwood | $$V_{fuelwood} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of fuelwood; P= Price of fuelwood; i= no. of taluks |
| Food | $$V_{food} = \sum_{i=1}^{11} \sum_{j=1}^{22} Q_{ij} \times P_{ij}$$ | Q= Quantity of food; P= Price of food; i= no. of taluks; j= variety of food products |
| Inland fish catch | $$V_{fish} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of fish catch; P= Price of fish catch; i= no. of taluks |
| Hydrological services | $$V_{water} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of water utilization for different purposes; P= Price of water utilization for different purposes; i= no. of taluks |
| Wild fruits | $$V_{wild\ fruits} = \sum_{i=1}^{11} Q_i \times P_i$$ | Q= Quantity of wild fruits; P= Price of wild fruits; i= no. of taluks |
| Oxygen | Value of oxygen provision from forests was quantified based on the values of oxygen production per hectare of subtropical forest (Maudgal and Kakkar, 1992) | |
| *NB: Taluk is an administrative district for taxation purposes, typically comprising a number of villages.* | | |

The value of carbon sequestration was calculated by considering 10 Euros Per ton of $CO_2$ (Ramachandra, 2017). In addition, the valuation of fodder is using the opportunity cost of allotting alternate acreage of land to it. There are so more details on deriving monitory accounts.

There is greater flexibility for making forest-related adjustments in asset accounts than in current accounts as produced & non-produced assets under economic assets include natural assets (e.g., livestock & timber plantations) & land and natural forests, respectively. Forest resource accounting (FRA) comprises management tools that integrate forest information from various sources thereby making it useful for policymaking and planning and contributing to the development of natural resource accounts. Environmental accounts have been constructed for forest resources more often than for most other resources. The earliest set of forest accounts was constructed by Norway in the late 1970s. At that time only physical asset accounts for standing timber were constructed (Garg and Sharma, 2015).

Their GDP contribution of forest resources excluded natural forests (non-produced assets). This now adds the value of the accumulation of natural forests and hence increases GDP. Consumption

of capital to include the cost of depletion of natural forests, which decreases net domestic product (NDP). Gross Domestic Product (GDP) and Net Domestic Product (NDP) from the forestry sector are computed as follows:

$$GDP \ = \ Value\ of\ Output \ - \ Repairs, Maintenance\ and\ other\ Operational\ Costs$$
$$NDP \ = \ GDP \ - \ Consumption\ of\ Fixed\ Capital$$

Where: Consumption of Fixed Capital is Depreciation of Fixed Assets

The GDP from the forestry sector can be estimated by following either the production approach through Gross Value Added (GVA) like timber or the consumption approach (e.g. Fuelwood). It aims at estimating the value of output at factor cost in the first instance and then deducting the value of various inputs at purchasers' prices (Mali et *al.*, 2011; Garg and Sharma, 2015). The lesson from Indian forest accounting is:

- They used valuation was done based on the current market price from the data obtained from the state forest department.
- They also calculated the value of carbon sequestration by considering 10 Euros Per ton of $CO_2$;
- They used one of the two approaches (the production approach through Gross Value Added) in the calculation of the GDP contribution of the forest sector,
- They considered the value of the annual depletion of natural forests which was previously excluded from Indian forest contribution to GDP;
- They also used different formulas to calculate the value of forest goods and services.

**Malaysian Forest Accounting System**
Malaysia is in Southeast Asia with a total land area of 330 242 km2 (33 million ha) and is one of the few remaining heavily forested tropical countries with 20.06 million ha of natural forest (Talib, 2015). The forests of Malaysia have been systematically managed with the establishment of the forestry department in 1901, whereby ecologically and environmentally sound forest conservation and management practices have been developed to ensure forest renewal and sustained yield (Mokthsim, 2018). Malaysia was favored in economic integrated accounts, and natural capital directly into the SNA. To improve the forest accounting system the country developed a manual providing a procedure accounting economically for changes in the quantity and quality of natural resources in 1993. Natural resource accounts (NRA) are an extension of the SNA, providing more detailed economic information on natural resources of interest, without distorting the central structure of the conventional national accounts (WWF, 1993). The system focused on timber, carbon sequestration, biodiversity, game in natural forests, subsoil assets, and agricultural soils. The WWF, 1993 accounting system was updated and revised to capture the asset value of forests by (WWF, 1998).

To effectively implement economic system of environmental economic accounting Malaysia developed collection of Environment Statistics (CES) and adopted framework for the development of environment statistics (FDES) in 1998 from United Nations 1984.
- Since 2009, Periodical survey on Environment Protection Expenditure captured through Environmental Expenditure Statistics adopted from 2005 – Eurostat.
- Working closely with other agencies and technical collaboration with the local university (data estimation & analysis).

- First-time system is not applied at the national level. But, also considered Peninsular Malaysia, Sabah, and Sarawak explicitly.

**Indonesian Forest Accounting System**

Indonesia is endowed with some of the most extensive and biologically diverse tropical forests in the world. Tens of millions of Indonesians depend directly on these forests for their livelihoods, whether gathering forest products for their daily needs or working in the wood-processing sectors of the economy (Barber et.al.2002). The forest area in Indonesia amounts to 137,090,468.18 ha consisting of 133,694,685.18 ha of terrestrial forest area and 3,395,783 ha of water area. About 48.8 million people of the Indonesian population live in or around the forest, of which 10.2 million people are categorized as poor communities (Ministry of Forestry 2010). The SNA lays down the ground value of the interaction of the economy and forest. Post-2015 development agenda, the country starts efforts to address the issues of sustainable development, climate change, biodiversity, and green economy goals. Environmental Economic Accounting (SEEA) has been adopted as an international statistical standard and as the measurement framework for a variety of related international policy activities. The following actions were undertaken to improve forest accounting:

- National Statistical System that collects data periodical with collaboration stakeholders, and international agencies was established.
- A comprehensive environmental-economic accounting information system that responds to the requirements of information on sustainable development and the green economy was established.
- Institutional coordination within Indonesia and between national and provincial governments for the advancement of the accounting system was achieved.
- Provide training and capacity building in environmental-economic accounting!
- Enhanced coordination of support from international and donor agencies for assistance
- Improved data quality, access, and technical capacity
- Set a priority for accounting, such as ecosystem services like flood control and eco-tourism.
- System is implemented in three phases.
- The first phase would cover a period of 6 to 8 months and would aim to establish the working groups and institutional arrangements required for developing the accounts, as well as a confirmation of currently identified priority accounts. Identifying priority area accounts collaboration with other Indonesian stakeholders and a pilot comprehensive ecosystem services account for one province. In a second phase, would last between 2 to 3 years. Capacity building and institutional coordination is a key element in both the first and second phase. Previous experience has shown that a feasible approach involves bi-annual hands-on training workshops where the selected team (five to ten people, of which at least of which are three full-time) of accountants, economists, and (spatial) modelers that would construct the accounts would be trained based on the progress they have made and the specific issues they are experiencing. In a third phase, the accounts could be integrated in the national accounts production, depending upon the outcome of the second phase. This phase would require that data providers regularly provide updated data to the accounts compilers, that staff is in place to conduct quality assessment and compilation of the accounts, and that the results are regularly published.

**Chilean Forest Accounting System**

Chile has a strong forest sector based on plantations of exotic species and an extensive area of temperate rainforests with unique ecological features and a wealth of biodiversity and endemism (Salas et.al. 2016). Chile's forestry resources consist of 16 million hectares of forest, 86% of which corresponds to natural forests and 14% to plantations. The main planted species are the Radiata Pine (64% of the plantations), the *Eucalyptus Globulus*, and the *Eucalyptus Nitens* (Raga, 2009). Chile´s economic development is based on the exploitation and intensive use of natural resources. This generates a significant impact on the environment and people´s quality of life. The country developed a comprehensive economic-environmental account that helps connect the economic system with its impact on natural capital to have a more precise view of the development strategy as well as support public policy (Ministry of the Environment (MMA), 2016). Environmental Accounts in Chile were started in 1993 by the National Accounts Department of the Central Bank of Chile with World Bank support and which is focused on physical accounts (mining, fisheries, forestry), matrices of emission coefficients and abatement costs, defensive expenditures, and valuation. Preliminary results, particularly regarding the forestry sector, produced extensive debate that led to political conflicts, keeping the project from attaining its objectives (MC). In recent years, the Government of Chile, through the Ministry of the Environment, has taken on the challenge of designing and implementing a comprehensive system of Environmental, Ecosystem, and Economic Accounts for Chile's forest sector. To implement the approach very intensive work has been done by the government such as:

- Build and validate an institutional framework that effectively manages an integrated system of environmental, ecosystem, and economic accounts
- Construct a conceptually coherent information system through economic environmental accounting that responds to the needs of the sectorial strategies.
- Place environmental quantification and statistics in the different ministerial programs that are related to the environment, forest, and forest ecosystem service.
- Develop and publish prioritized sectorial forest accounts,
- Implementation budget from different international agencies and collaboration
- The forest accounting implementation period in different
    1. Phase 1: Development of databases and methodological background prior to the development of environmental accounts.
    2. Phase 2: Development of pilot accounts (draft) with the existing information, while at the same time identifying the existing information gaps.
    3. Phase 3: Development of the complete account considering the development of the missing data sources in Phase 2.

**Sweden Forest Accounting System**

In relation to forest accounting, the European Union has been a leading player. The countries such as Austria, Denmark, France, Netherlands, Norway, Sweden, and the United Kingdom were the pioneer and released a range of different SEEA accounts and have developed relevant data sources and methods. Among these countries, Sweden is one of the leading nations in forestry and forest industry research. Swedish companies are at the forefront of industrial wood construction and the development of new wood and cellulose-based products, such as bioplastics, biocomposites carbon fiber materials, and textile fibers (Hodge, 2016). In total Sweden's forestland amounts to about 28 million ha (Mha) of which 23.4 Mha is regarded as a productive forest. There are 4.7 Mha low-productive forests. Until today, 1.1 million hectares have been designated for nature protection in formally protected areas (Arets et.al. 2019). The forest-

products industry accounts for 15 to 20 percent of the total industrial investments. Together with indirect employment in sectors that supply it with goods and services, it employs around 180,000 people over the entire country, more than a quarter of total industrial employment (SFIF, 2008). The forest industry is highly export-oriented, e.g., paper exports amounted to 89% of the production in 2009 (SFIF, 2010).

Calculating environmental income has become a popular method of highlighting the importance of environmental resources in livelihoods, but few studies have quantified the provisioning of ecosystem services and environmental income in the same landscape and environmental income by source land cover (Pritchard et. al., 2019). Forest accounts in Sweden, describe stocks and changes of stocks for the environmental division and the national account division of Statistics Sweden have earlier developed forestland and timber, together with analyses of the supply and use of timber jointly. This Forest Accounts developed value ecological and social functions of the forest by linking physical data with economic valuation methods, which consists of two sections. Section one comprises a discussion of the physical tables of non-SNA functions of forests and section two includes a monetary valuation of the non-SNA functions produced by the Swedish forest ecosystems (Eriksson et.al 2003). From the review of forest sector accounting in Sweden:
- The forestry sector has its own forestry statistics
- Forest product supply and use table compiled yearly.
- The Swedish Forest accounts, have three subtotals, such as timber values, on-wood goods, and the value of forest services.
- The data availability for forest accounts, compiled on a five-year basis.
- Accounting of timber and non-timber goods by SNA in the forestry sector by using of market prices and Forest services by using of non-SNA.
- Qualitative changes (biodiversity non-SNA avoidance/restoration cost).

**United Kingdom Forest Accounting System**
Woodland land cover in the United Kingdom is estimated to be 3.2 million hectares. This represents 13% of the total land area in the UK, 10% in England, 15% in Wales, 19% in Scotland and 9% in Northern Ireland. Of the total UK woodland area, 0.86 million hectares (26%) is owned or managed by Forestry England, Forestry and Land Scotland, Natural Resources Wales, or the Northern Ireland Forest Service. The total certified woodland area in the UK is 1.39 million hectares. Overall, 43% of the UK woodland area is certified. 13.7 thousand hectares of new woodland were created in the UK in 2019-20, accounting for 57% (Forestry Commission, 2018).
The United Kingdom accounts for forest contribution to the economy based on the European forest accounts collect data on stocks and flows of woodland and timber, and economic data on forestry UK applied the principles of the SEEA-CF and the SEEA EEA in forest accounting system (Rosenkranz et.al. 2018). The forest accounting standard specifies good forest management including criteria covering sustainable yield, conservation of biodiversity, and natural resources such as water, as well as carbon stocks.

Forest accounting systems also assess the gross value added, grown timber production and processing, and recreation, tourism, and employment supported by the forestry-related sector. With the use of methodology, forest economic contribution to Scotland's economy is **£954 million, of which about** £771 million comes from forestry and timber processing, and £183 million comes from forest recreation and tourism. In addition, employment levels in Scotland are up with more than **25,000** people now working in the sector (Forestry Commission, 2012). National-level

Forest accounts have two objectives: providing a framework in which information on forests can be brought together to give a more complete picture of forests, and ensuring that this information can be integrated within broader discussions on economic development and planning. This second goal is often referred to as "mainstreaming." The need for mainstreaming of forest information emerges from the increasing recognition that societies and their economies have an inherent dependence on their environment and that achieving sustainable development requires more holistic and integrated ways of thinking (Castaneda Sanchez et.al. 2017). The lesson and experience from the United Kingdom Forest sector in forest accounting system are mentioned below:

- Indirect and induced *jobs* created by the sector adequately by forestry statistics,
- Employment ratios and earnings from employment adequately identified by business survey
- Forest benefits to the public that are not recorded in economic statistics are valued through contingent valuation and other techniques.
- Annual survey on forestry sector businesses and organizations in order to obtain data relating to the sector
- Timber processing sector accounted under the forestry sector.
- For detailed information on private woodland owners' survey methodology used.
- Input-Output employment multipliers used for indirect employment resulting from the backward linkages to suppliers and indirect employment related both to direct and indirect employment.

## ACCOUNTING EXPERIENCE LIVESTOCK SECTOR IN ETHIOPIA

There are studies conducted by the Intergovernmental Authority on Development (IGAD) livestock policy initiatives and the Ethiopian Ministry of Finance and Economic Development (MoFED) on the contribution of livestock to the Ethiopian economy (Roy Behnke and Fitaweke Metaferia, 2011; ICPALD, 2013). This study was conducted with the main objective to assess the extent to which livestock's contribution to the Ethiopian national economy is reflected in national accounts, by assigning monetary values to the non-marketed services that livestock provide. It can be considered as one of the country's sector experiences. There are also other studies conducted by different scholars on the contribution of livestock resources to Ethiopian economy (Aleme and Lemma, 2015).

There are three major works conducted in the study of the economic benefits that Ethiopians and the Ethiopian economy derive from livestock. It quantifies the volume and value of livestock product output from the agricultural sector. Then the study states the estimates of the monetary value of livestock products (goods and services), primarily but not exclusively as contributions to sustaining the livelihoods of Ethiopian farmers and herders.

Lastly, the study characterizes the 'multiplier' or spread effects of livestock goods and services primarily outside rural areas, as the outputs provided by livestock are taken up and used by other sectors of the national economy – as exports in the trading sector, inputs into manufacturing and transport, or consumed by households (Roy Behnke and Fitaweke Metaferia, 2011; ICPALD, 2013). The study emphasized on quantifying the volume and value of livestock product output from the agricultural sector, by updating the livestock off-take rate. Correction of livestock outputs that used to be under another account- crop. Value role of livestock – credit, insurance,

transport, Livestock output as input to other sectors. The huge change came from the role of livestock in crop traction power.

Generally, the result of the study identified unaccounted livestock goods and services. Those livestock attributes which are accounted for under different sectors/sub-sectors were also accounted for livestock. Thus, the result brought a huge change in indicating the contribution of the livestock sector to the national economy of Ethiopia.  The accounting procedure indicated in the study can be used as the basis for accounting of contribution forest resources to the national income of Ethiopia.

The result of the study conducted on livestock production shows that the new adjustment resulted in more than double the contribution of livestock accounted by the Ministry of Finance and economic development of Ethiopia (Roy Behnke and Fitaweke Metaferia, 2011; ICPALD, 2013). This brings significant change to the policies related to the livestock sector. From the experience of the livestock contribution in the Ethiopian economy, we can take the lesson to adjust for those forest products already accounted in the conventional system of national accounts but underestimated, those forest goods and services misallocated to other sectors of the economy and those goods and services unaccounted in the GDP of the country.

## LESSONS FOR ETHIOPIA FOREST ACCOUNTING

The Ethiopian SNA framework is inadequate to capture the true economic value of forests. Some contribution of the forest sector is misallocated in agriculture, industry, and tourism and other is underestimated. India on accounting of forest based on SEEA and obtains monetary account of timber, non-timber, and carbon wealth, provisioning services, regulating services, supporting services, and information services. The data regarding the quantity of timber harvested and sold was obtained from state forest department and valuation was done based on the current market price. The Sweden on forest accounting system contains five sections including:(i) timber values, (ii) non-wood goods (iii) production capacity (iv) services (recreation, protection of soils & noise, carbon sequestration), (v) biodiversity and (vi) chemical imbalance costs (acidification).

 While the United Kingdom Forest accounting structure includes (i) ecosystem services; (ii) changes in both stocks of assets (iii) flows of services and (iv) woodland and timber. Chile used economic-environmental accounts for forest accounting focused on physical accounts (forestry), matrices of emission coefficients and abatement costs, defensive expenditures, and valuation. Indonesia changed from SNA to environmental-economic accounting (SEEA) in 2015 to address the issue of development agenda such as climate change, biodiversity, and green economy. Malaysia used in economically integrated accounts, natural capital directly into the SNA. Natural resource accounts (NRA) are an extension of the SNA, providing more detailed economic information on forests without distorting the central structure of the conventional national accounts. The system focused on timber, carbon sequestration, biodiversity, game in natural forests, subsoil assets, and agricultural soils.

 In general, from other countries experiences, there are several lessons for the Ethiopian forest accounting system. These are periodic forest statistics, supply and use information, accounting system for depreciation of natural capital, non-market costs and benefits valuation from Sweden, accounting indirect employment multipliers, accounting of forest and timber processing sector to forest sector, develop an information system for accounting on private sector forest owners, develop quality and standards data on all goods and services for a forest accounting system and

implementation of alternative accounting system from the UK. The lessons from Latin America Chile are building and validating an institutional framework, conceptually coherent information system, development of pilot accounts (draft) with the existing information, strong statistics at different ministerial programs, and collaboration with international agency.

Similarly, lessons from the Asian Indian accounting concept are based on the total economic value in forest valuation considering provisioning services, regulating services, supporting services, and information services. The data regarding the quantity of timber harvested and sold was obtained from the state forest department and valuation was done based on the current market price and forest accounting is flexible for making forest-related adjustments in asset accounts than in current accounts. Indonesia, improved data quality, training, and capacity building on environmental-economic accounting, develop a comprehensive environmental-economic accounting and institutional framework, prioritize the accounting system on goods and services of forest, and divide implementation into phases and lessons from Malaysia developing strong stockholder coordination and technical cooperation local and international and phase-based implementation to improve forest accounting. On another hand lesson drawn from the parallel sector of the Ethiopian livestock accounting system, the accounting system estimated the monetary value of livestock products (goods and services), primarily but not exclusively as contributions to sustaining the livelihoods of Ethiopian farmers and herders. The 'multiplier' or spread effects of livestock goods and services primarily outside rural areas, as the outputs provided by livestock are taken up and used by other sectors of the national economy as exports in the trading sector, inputs into manufacturing and transport. The livestock accounting system identified unaccounted livestock goods and services to different sectors and accounted for livestock. Thus, the result brought a huge change in indicating the contribution of the livestock sector to the national economy of Ethiopia. This brings significant change to the policies related to livestock sector. From the experience of the livestock contribution in Ethiopian economy, we can take the lesson to adjust for those forest products already accounted in the conventional system of national accounts but underestimated, those forest goods and services misallocated to other sectors of the economy and those goods and services unaccounted in the GDP of the country. Some of the lessons from experiences of other countries' budgetary demand, and technological innovation can easily adopt. However, other experiences are highly important lessons that can be adopted because of budgetary demand, technological innovation, and other factors. Based on the other countries' forest accounting system and contextualizing a few adjustments for Ethiopia as suggested in (see table 1 below).

### Table 1: Suggested techniques for Ethiopia Forests account

| Forest good and service | Suggested techniques for Forests accounts | Comments |
|---|---|---|
| *Non-timber goods* Harvested products like mushrooms hunted game, forest coffee, medical plants, fruits, and vegetables Change of production capacity of non-wood forest goods | Values should be measured monetary value included in SNA in the forest sector than the agricultural sector | The valuation of non-timber products should be based on price and set up comparable time series On expert estimates. |

| *Non-wood services* Carbon binding | ➢ Carbon balance and accumulation in standing timber, tons of carbon<br>➢ Balance and accumulation of woody biomass dry matter ton of carbon<br>➢ Changes in carbon stored in the forest ecosystem and Changes in land cover,<br>➢ Changes in total carbon storage (forest-related resources and products) | All tables concerning the binding of carbon should be harmonized with the Kyoto agreement |
|---|---|---|
| Recreation services | This should be measured using recreational areas, Visits by the main purpose, accessibility to recreation areas, and Forest areas free from noise using valuation for recreation. | The forest or tree services in urban areas and rural areas provide recreation and cultural services such value should include in SNA through willingness to pay or hedonic price measurement. The sector needs strong suggested monitoring of the environmental objective and Evaluation the service monetary |
| Protective functions | Measured in monetary value of forest protects the primary production sectors. The Primary management objective of forest land in the agrarian economy is multipurpose and each function should be listed | Based on estimates by expert's attached monetary value of forest protection of soil, shielding urban areas from noise |
| Maintenance of biodiversity, quality changes, and Health Service | ➢ Forest-occurring species at risk or endangered<br>Forest balance : Protection of the forest and other wooded land and regeneration and extension of forest and other wooded land | The base for the valuation of biodiversity can be done with CVM studies and Valuation based on the difference between the actual protected area and the national target. |
| Wood | ➢ Construction material, Charcoal, and fuel, Furniture | Accounted in monetary value and estimated the informal /non-taxed use of wood and wood products |
| Chemical quality changes and Quantitative changes in forest ecosystem area | ➢ Chemical quality changes of soils, affecting production<br>Capacity in the future and loss of production capacity | Valuation by the cost of liming to counteract acidification. Possible physical data could be areas with the need for liming and Based on statistics of area changes, valuation by estimates by experts |

## CONCLUSION AND RECOMMENDATION

For many countries, forests play a key role by providing income and livelihoods while contributing to climate change mitigation and other important ecosystem services. The System of National Accounts (SNA) is the standard international framework for the organization of economic statistics and has been adopted around the world to judge economic progress and performance. SNA is the standard international framework for the organization of economic statistics and has been adopted around the world to judge economic progress and performance. The Ethiopian

system of national accounts in the forest sector does not capture the social value of forest and consumer surplus is excluded from SNA-based valuations. The current accounting system needs further improvement and goes beyond the exchange value concept by including consumer surplus. The experience of other countries is important to design robust accounting systems or improving SNA for the forest sector. Assess the experience of other countries' forest accounting systems to design the roust forest accounting system in Ethiopia. The result of the study shows that Sweden and UK made efforts to improve forest accounts and use alternative accounting systems. For example, Sweden used Forestry statistics, Valuation of forest land and timber, and the forest area is included in the SNA stock accounts to measure the true value of the forest. The UK developed forest statistics and measure the indirect and induced employment multipliers effect of forests. The UK also used an annual survey of forestry sector businesses and organizations to obtain more specific economic data relating to the sector including private woodland owners. While Zimbabwe has not made many efforts to forest accounting and the social values of the forest are underestimated. The new lesson to be adopted for Ethiopian forest sector accounting is annual forestry statistics, Supply and use information, accounting of depreciation, alternative evaluations for non-market goods and services valuation, data on indirect and induced employment multipliers affects the forest sector, quality data private sector forest quality and standards data on all goods and services and application alternative forest accounting system. Further, the study recommend the Ethiopian forest sector should be contextualized and adopt the European experiences on forest accounting, in particular estimates of forest values timber values, non-wood goods, production capacity, services (recreation, protection of soils & noise, carbon sequestration), biodiversity and chemical imbalance costs.

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# On the Origin and Generation Mechanism of Large-Scale Vortices in Tidal Estuaries

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**Abstract:**
Large scale vortices in strong tidal currents have been found on the tranquil sea surface at Western Port, Melbourne, Australia. It is found by the similitude analyses that the origin and generation mechanism of these vortices are governed by the following relation: $d/\delta = Ж (|a|/g, UD/v)$, where d is the diameter of vortices, $\delta$ the scale of dunes, $|a|$ the absolute value of acceleration and/or deceleration of tidal current, g the gravitational acceleration, U the velocity of tidal current, D the depth of water, and $v$ the kinematic viscosity of the sea water. Note Ж is an unknown function introduced by the analyses. Aerial observation of dye patches reveals sometimes remarkably regular honeycomb arrangement in a manner in which they are distributed over the sea surface. In the field, flow visualization by two color dye patches, and sea bed survey in terms of a side-scan sonar have been done, while in the laboratory, extensive towing experiments have been conducted to demonstrate the constant, accelerated and/or decelerated flows over each dune model for simulating cycle of tidal currents. On the basis of field and laboratory experiments, the nature, origin, and generation mechanism of the vortices are scrutinized. In general, it is possible that vortices on the sea surface have various origins such as thermal convection (Bénard cell) and wind shear stress (Langmuir cell). Contrary to these ordinary origins of vortices, it has been concluded that they are generated by the interaction of tidal currents and sand dunes at singular time during spring tide: When tidal currents change from acceleration to deceleration, the fluid body in the re-circulatory flow region (cavity) behind each dune crest is intensified during the acceleration period, and then it is ejected upwards and changed into a pair of vortices. Then, the paired vortices are transported to the sea surface in experiencing a series of change in the structure, and finally form the cellular vortices on the sea surface, with which diameter of each vortex is increased by the interaction. It is inferred that this new finding is critical to understand any oscillating flow over the roughness with the separation in nature and laboratory accompanying the cyclical change from acceleration to deceleration and vice versa.

*Keywords: Hydraulics & hydrodynamics, In situ testing, Laboratory tests, Mechanisms, Models(physical), Shallow water.*

## INTRODUCTION

Over the last half-century, it has been known by fishermen, seamen, oceanographers and others in Australia, Japan, USA, Italy, UK, and/or Norway that intriguing vortices (or boils) similar to Bénard cell appear on the tranquil water surface of estuaries and/or rivers. (Pollock 1973, Kostaschuk et al. 1993, Ckadel et al. 2009, Talke et al. 2013, Branch et al. 2021) together with on the surface of water channels in laboratory (Müller et al. 1986, Nezu & Nakagawa 1993, Yue et al. 2005, Mandel etal. 2017, Gakhar e al. 2020).

This enhances us to investigate into those vortices at Western Port, Australia.

Observation made during dye release has shown the existence of large-scale vortices in strong tidal currents as shown in Fig.1(a). These observations, made in tidal estuaries in Western Port, Australia by Hinwood and his students (Pollock 1973; Chandler & Berzkalns 1977, Nakagawa & Hinwood 1978, Hinwood 1978, Nakagawa 1979a) have been extended by the study of aerial photographs of bays and tidal inlets in other Australian States, Delaware Bay, U.S.A, Naruto Strait in Seto-inland Sea, Japan as shown in Fig.1(b) and so forth. These vortices were coined by anonymous Japanese as 'Uzushio' (Tidal Vortex, 渦潮) in earlier than the tenth-century: In the historical book, named "Tosa Nikki", Tsurayuki Kino (1912) referred to "Uzushio" observed during his journey in 935 returning to Kyoto from Tosa province across the Naruto Strait. Very recently, it is realized by the authors that vortices observed at Western Port are quite similar to those at Naruto Strait in their origin and mechanism of generation. This prompts us to investigate the vortices with a renewed interest. Despite the widespread occurrence of these vortices, very little is known about their origin and mechanism of generation. It is evident that the vortices alter the rate of diffusion or dispersion of effluents within the water and may influence the rate of sediment transport and of dissipation of tidal energy, hence a sound understanding of the vortices is essential to the study of flow in estuaries and tidal inlets.



Scale |−| 5 m

**Fig.1(a) Aerial photograph of large-scale vortices in Western port, Victoria, Australia. After Pollock, 1973.**
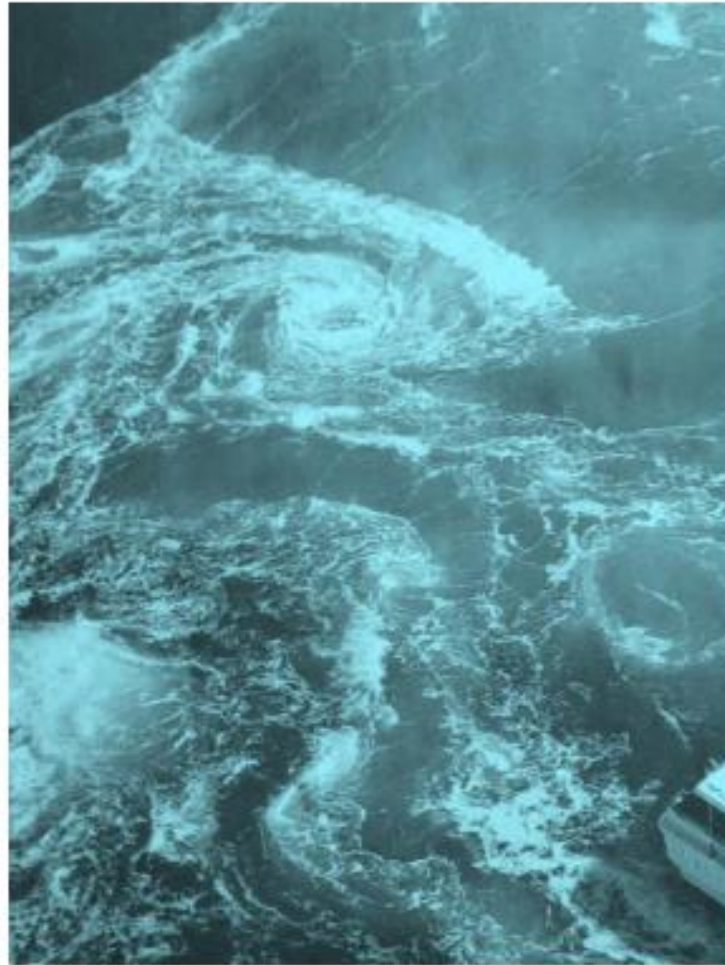
scale |——| 3 m

**Fig.1(b) "Uzushio" in Naruto strait, Seto-inland sea, Tokushima, Japan.**
**After the Asahi, Morning Paper, 10 March, 2018**

Fig.1(a) taken by Pollock (1973) shows a group of the vortices observed on the sea surface at Western Port, Victoria, Australia. In this photograph, numerous large vortex structures are visible by sun light reflection from the sea surface, and the actual shape and size of these structures can be deduced. Dye released from the research boat (5 m in length) is initially confined to the boundary between adjacent vortices, but subsequently is mixed into the vortices. It may also be seen that although there are characteristic dimensions of vortex width and length these dimensions cover a range of values, with the length being typically about one-half to twice the width.

Fig.1(b) shows a group of the vortices observed on the sea surface at Naruto Straight, Seto-inland sea, Japan, where this photograph was taken from Ohnaruto bridge (length=1,929 m) through a transparent glass at 45m high from the sea surface. It can be noticed several circular vortices on the sea surface around the boat (width≈3m).

In the present paper, based on field and laboratory experiments, a hypothesis for the mechanism of generation of the vortices in tidal inlets will be presented. This mechanism depends upon the disturbance of the tidal currents caused by the presence of dunes on the sea bed. Before

mentioning this hypothesis, the observational data made in Western Port, Australia will be presented.

## OBSERVATION OF VORTICES

### Dye Release Experiments

Dye was released into strong tidal currents flowing in Western Port, an un-stratified tidal inlet located 55 km south-east from the center of Melbourne.



**Fig. 2 Plan view of Western Port, located ca. 55 km to SE from Melbourne, Australia. Rectangle shows North Arm experiment site.**

Source Wikipedia (2020) Western Port Map, accessed 19 March 2020. https://en.wikipedia.org/wiki/File:western-Port_Map.PNG.

**Fig.3 Detailed view of the test site.**

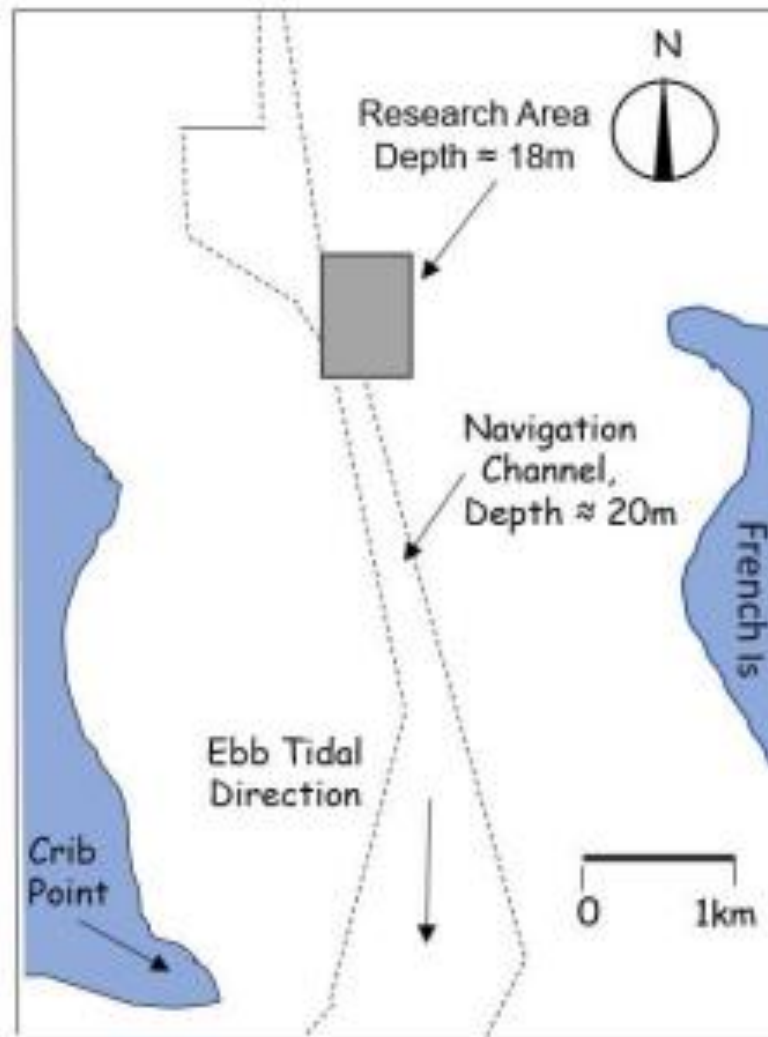Fig. 2 shows a plan view of Western Port, while Fig. 3 provides a detailed view of the test site. The mean water depth at the test site was 18 m.

The dye release was made during the ebb tide, with the current flowing to the southwith a speed of 0.51 m/s. Mean water temperature was14.8 °C and the weather was fine with a light breeze of less than 1 m/s, which caused waves of height less than 0.2m.
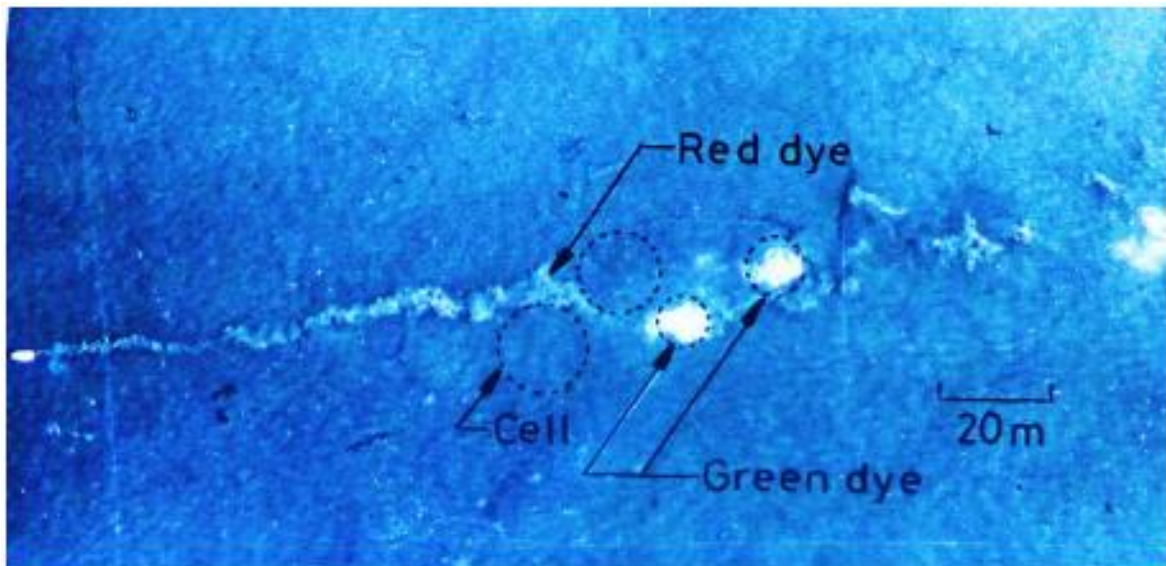
**Fig.4 (a) Aerial photograph of a cellular vortex motion.**
Boat length=5 m. The cells appear as lighter patches, while descending water ontheir edges is darker; red dye and green dye are shown as dark grey and white on this photograph, respectively.
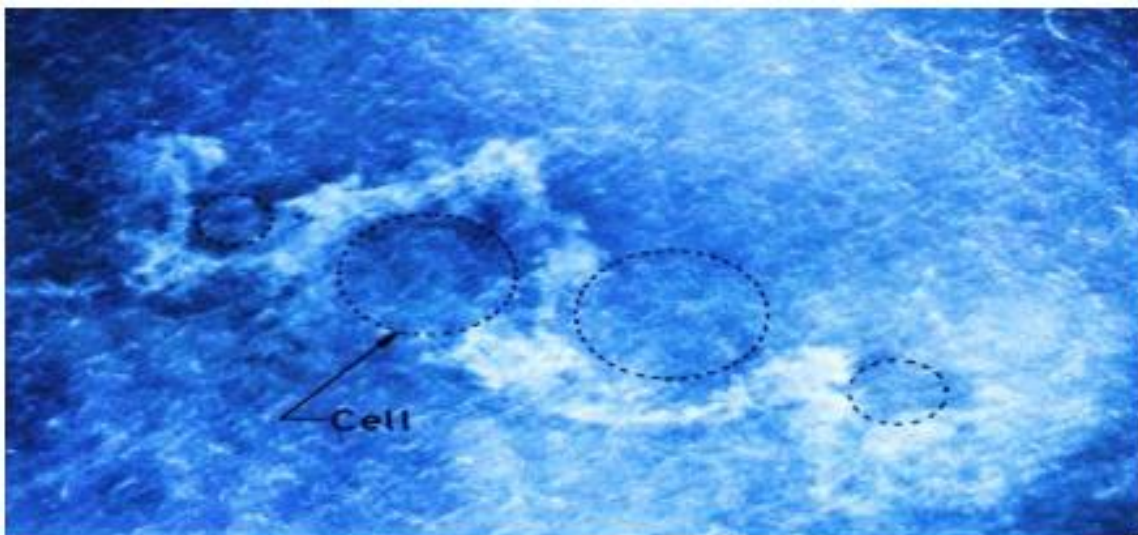


**Fig. 4(b) Aerial photograph of a cellular vortex motion with telephoto lens.**

Two different color dyes were released at different depths, respectively. The reddye Rhodamine was released at a depth of 2 m, while the green dye Fluorescein was released at a depth of 7 m below the sea surface. The whole water depth was approximately 18.0 m. The dyes were photographed from a light airplane flying at a height of ca. 330 m. Fig. 4(a) shows the lower green dye appearing through the center of each vortex colored by the upper red dye. This clearly indicates that there exists an upwards flow in the center of each vortex, as deduced from other data by Hinwood (1978). Fig. 4(b) shows a magnified view of part of Fig. 4(a) taken with a telephoto lens giving an effective height of 83 m.

**Distribution of Vortex Diameters on Sea Surface**
Chandler & Berzkalns (1977) analyzed the dye traces shown in Figure 4 and constructed distribution of vortex lengths, such as that shown in Fig. 5. To cope with the broad range of

possible vortex diameters, and the multi-valued nature of the curve which formed the boundary of the dye patch, they used a technique which has been often applied to meandering streams.



**Fig. 5 Number of vortex Nv against normalized vortex diameter *d*/D**

In Fig. 5, the ordinate denotes the number of occurrences of vortices Nv of a given size, out of a total population of 2,636 (1,464 for red dye and 1,172 for green dye), while the abscissa is the normalized vortex diameter *d*/D as observed at the sea surface, within the range from 0.0225 to 0.706, a range limited in part by the photographic and drafting techniques but containing the whole range of visually observable secondary vortex motions.
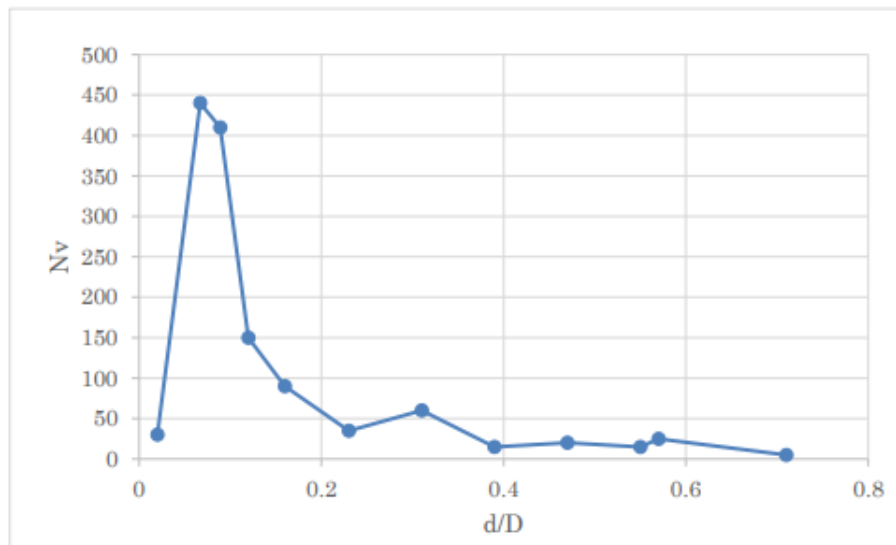
**Vertical Variations**
Detailed vertical velocity profiles were obtained during the dye experiments, a sample of which is shown in Fig. 6. These were made using a propeller-type current-meter, integrating over a period of 30 seconds, hence it cannot provide instantaneous information about motions in the vortices but only the mean flow of a single direction. The current meter used for the present field work has 4 blades of axial flow propellor, mounted in a cylindrical shroud that is 80mm long in the flow direction and has an internal diameter of ca. 98mm, with clearance <1mm.

Rotations are detected by a hall-effect switch on the shroud with small magnets mounted on the tips of the vanes. Only 2 tips have magnets fitted, thus measurements are accurate to an average uncertainty of 1/2 revolution. The shroud is made of stainless steel, while the propellor itself is made of nylon, so its inertia is close to that of water; bearings are tempered steel on sapphire. The current meter is fitted with vane and weight, and is lowered to each of the measuring points in the sea water by a supporting wire.

As may be seen in Figs.6(a) and (b), the velocity profile is that of a typical shear flow. The present observations have confirmed that vortex motion is most active orevident at the period while velocity of the tidal current is accelerated, reaches at the maximum, or strongest, and then it is decelerated. *That is a certain period while* the tidal *current is fully established from the acceleration to deceleration through the flood tide, and particularly during the spring tide in Japan.* For example, Naruto- Uzushio appears during the spring tide conspicuously.
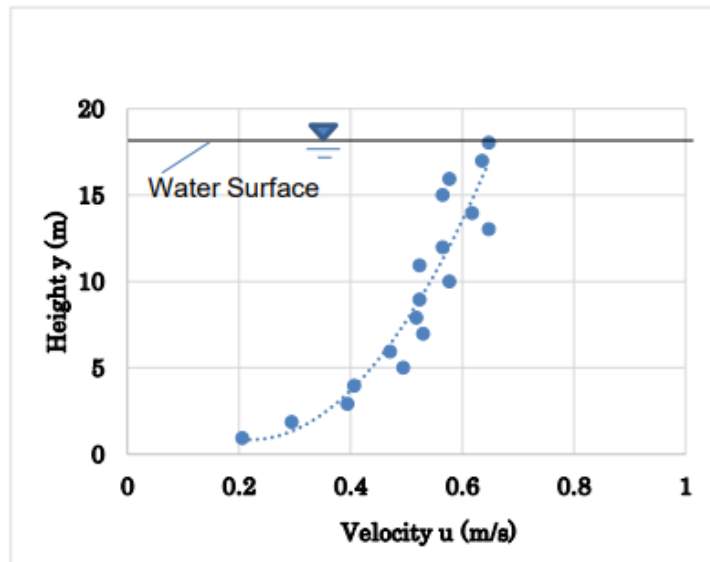
Fig. 6 (a) Height y from sea bed against tidal current velocity υ.
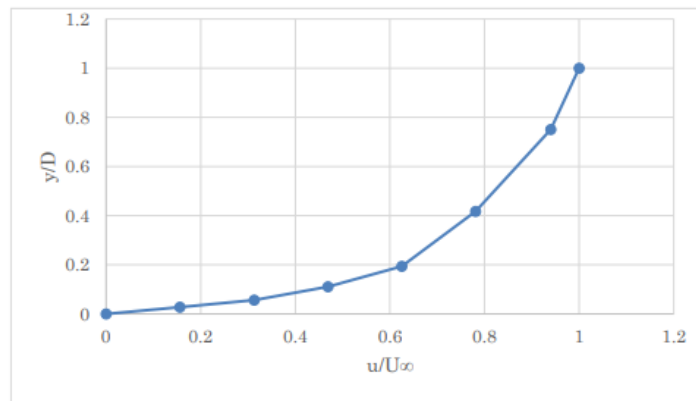


Fig.6(b) Normalized height y/D from sea bed against normalized tidalcurrent velocity u/U∞.
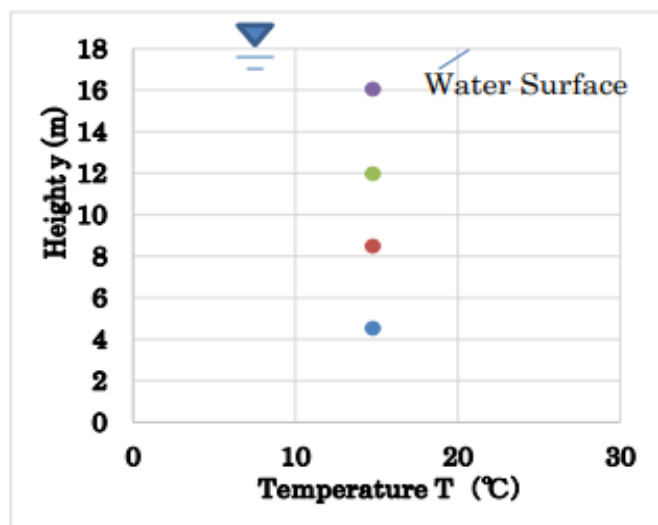


Fig.7 Height y from sea bed against water temperature T.
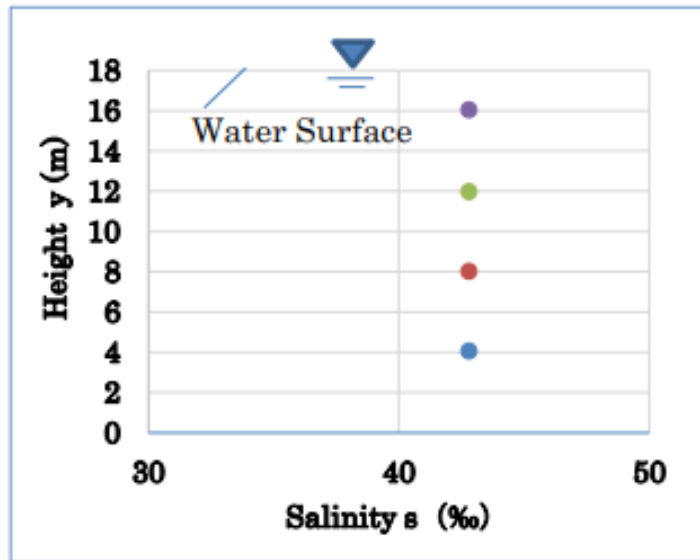
**Fig. 8 Height y from sea bed against salinity s in water.**

Temperature and salinity profiles are measured concurrently as the velocity profile, and are shown in Fig. 7 and Fig. 8, respectively. The temperature is uniform within 0.1°C and the salinity within 0.01 parts per thousand, which are in fact the limits of measurement using the Hamon temperature-salinity meter, respectively. Thus, the water column is statically neutral and any instability, if any, must be of a hydrodynamic origin.

**Sea-Bed Conditions**
A side-scan sonar is used to map the sea bed topography at the test area. Side- scan sonar utilizes a towed transducer array which emits sound within a perpendicular plane to the direction of towing. Echoes received from topography on the sea bed are recorded at successively greater distances from the centerline of the chart denoting the ship's path.
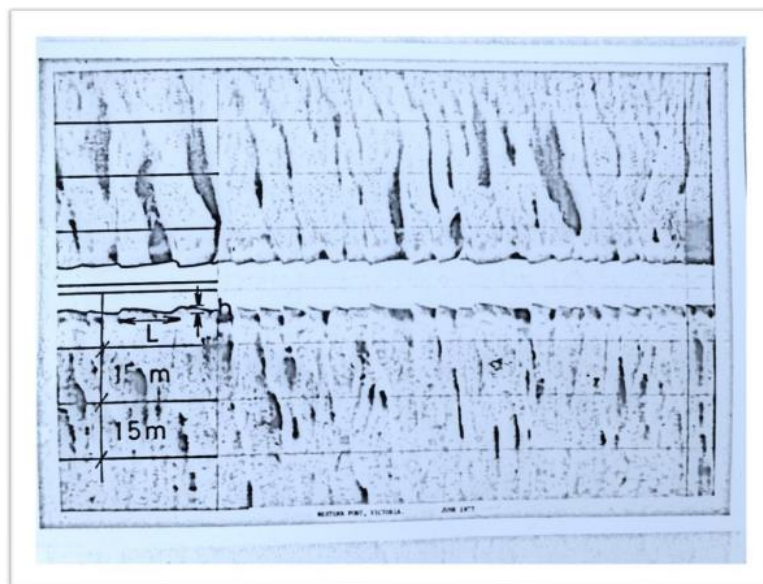


**Fig. 9 Topographic photograph of the sea-bed by the side-scan sonar near the area of dye release.**

The resulting pictorial image in Fig. 9 illustrates a longitudinal profile of the sea bed beneath the tow vehicle equipped with transducer, while the trace on either side of the centerline shows the nature of topography such as sand (or mud) dunes, boulders and/or gravels on the sea bed. This figure is a portion of the side-scan sonar record for the test area, and shows a number of dunes predominantly transverse to the current direction, which coincides with that taken by the research vessel.

The scale L of the dunes is measured from the side-scan sonar charts and is found ranging from ca. 2 m to 73 m, and the steepness $\gamma$, i.e., the ratio of height h to wavelength L, is ranging from 0.035 to 0.19.
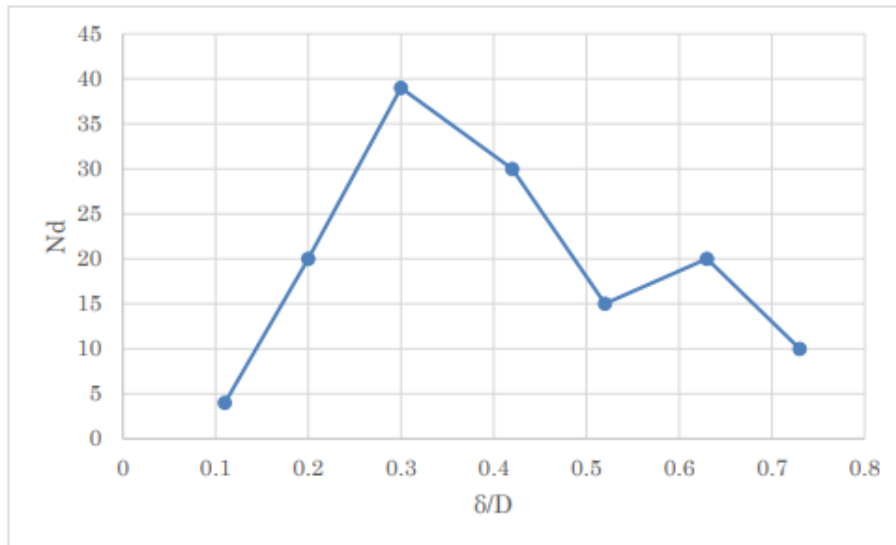


**Fig. 10 Number of sand dunes Nd against the normalized sand dune scale $\delta$/D.**

Fig.10 shows a distribution of the normalized sand dune scale $\delta$/D, where the scale $\delta$ here is no more than the wavelength L of dune. This shows peaks at the normalized sand dune scale $\delta$/D= 0.3. and 0.63, respectively. It may be notable that these coincide with the peaks observed in the frequency distribution of normalized vortex diameter $d$/D in Fig.5. Although sometimes the vortices have been observed over a fairly smooth sea bed, the correspondence between the vortex diameter and the scale of sand dune on the sea bed might indicate a noticeable correlation that the interaction of the shear flow of tidal current and sand dunes provides the favorable conditions for formation of the vortex motions observed on the sea surface in the present dye experiments. This intriguing hypothesis will be critically examined both in the similitude analyses and in a series of laboratory experiments to be described at the following sections, respectively.

**Similitude Analyses (Zierep 1971, Zierep & Nakagawa 1986)**
Let us consider the large-scale vortices appear over the sea surface in estuary only when the tidal flow over sand dunes on the sea bed is accelerated and then it is decelerated. It may be particularly interesting in finding the vortex diameter d on the water surface $d$, while the tidal current is accelerating as well as decelerating. Based on the detailed observation and consideration for the present phenomena, it is realized that the vortex diameter $d$ depends on the physical values, viz. the acceleration |a| of the tidal flow, the dune scale $\delta$ on the sea bed, the depth of water D, the mean flow velocity U, the gravitational acceleration g, the dynamic viscosity of the sea water $\mu$, the density of the sea water $\rho$. That is,

$$d = f\left(|a|, \delta, D, U, g, \mu, \rho\right).$$ (1)

It may be evident that the more explicit relations among these physical values can be obtained by the experiments, but such experiments must be quite difficult to complete, for there are 8 parameters in total. It is, therefore, desirable to reduce the number of the relevant parameters. For this purpose, let us select the 3 base quantities, D, U, and $\mu$. On the other hand, the rest physical values, viz. $\sigma$, $\delta$, g, and $\rho$ may be expressed by the multiple exponents, and 8–3=5 non-dimensional characteristic numbers $\pi_i$ will be obtained in the following way.

At first, divide the relevant physical values into geometrical, dynamical and kinematical values as listed in Table 1.

**Table 1 Summarized list of the relevant physical values**

| Category | Physical Value | Dimension | Symbol |
|---|---|---|---|
| Geometrical Value | Water Depth D | L | Bg |
| | Vortex Diameter $\sigma$ | L | A1 |
| | Dune Scale $\delta$ | L | A2 |
| Dynamic Value | Tidal Flow Velocity U | $LT^{-1}$ | Bd |
| | Acceleration due to Gravity g | $LT^{-2}$ | A3 |
| | Acceleration of Tidal Flow $|a|$ | $LT^{-2}$ | A4 |
| Kinematic Value | Dynamic Viscosity of Sea Water $\mu$ | $ML^{-1}T^{-1}$ | Bk |
| | Density of Sea Water $\rho$ | $ML^{-3}$ | A5 |

Referring to Table 1, write the 5 non-dimensional characteristic numbers asfollow.

$$\pi_1 = (Bg)^{x1}(Bd)^{y1}(Bk)^{z1}(A1)$$ (2)
$$\pi_2 = (Bg)^{x2}(Bd)^{y2}(Bk)^{z2}(A2)$$ (3)

$$\pi_3 = (Bg)^{x3}(Bd)^{y3}(Bk)^{z3}(A3)$$ (4)
$$\pi^4 = (Bg)^{x4}(Bd)^{y4}(Bk)^{z4}(A4)$$ (5)

and

$$\pi_5 = (Bg)^{x5}(Bd)^{y5}(Bk)^{z5}(A5).$$ (6)

Then, substituting the corresponding physical value for Bg, Bd, Bk, A1, A2, A3,A4, and A5 into (2), (3), (4), (5) and (6), respectively, we obtain

$$\pi_1, \pi_2, \pi_3, \pi_4, and\ \pi_5$$ (7)

For example, in order to determine unknown exponents x1, y1, and z1 in (2), because the characteristic parameter $\pi_1$ is non-dimensional by definition, we will conduct the dimensional consideration as,

$$M^0L^0T^0 = \left(L\right)^{x1}\left(LT^{-1}\right)^{y1}\left(ML^{-1}T^{-1}\right)^{z1}\left(L\right) = M^{z1}L^{x1+y1-z1+1}T^{-y1-z1}.$$ (8)

Then, comparing the exponents of the left side with those of the right side, weget

$$\pi_1 = \sigma/D. \tag{9}$$

Similarly, to the above, we have

$$\pi_2 = \delta/D. \tag{10}$$
$$\pi_3 = Dg/U^2 = 1/Fr^2, with \; Fr = U/(gD)^{1/2} \tag{11}$$
$$\pi_4 = D|a|/U^2 = 1/Na^2, with \; Na = U/(|a|D)^{1/2} \tag{12}$$

and

$$\pi_5 = UD/v = Re, \tag{13}$$

where v is the kinematic viscosity of the sea water.

It may be noteworthy that Fr and Re are well known Froude number and Reynolds number, respectively, while Na is the acceleration number depending on its sign whether it is positive or negative; when $a$ is positive, the flow is accelerating, while a is negative, the flow is decelerating. It is very important to understand only when the flow is decelerating (a < **0**), the vortices are generated, shed upwards and appear on the water surface if the degree of the flow deceleration is sufficiently large enough.

Hence, with (1) the following relation can be derived immediately,

$$\pi_1 = f(\pi_2, \pi_3, \pi_4, \pi_5). \tag{14}$$

Alternatively, using (9)-(13) we obtain

$$d/D = F(\delta/D, 1/Fr^2, 1/Na^2, Re). \tag{15}$$

Noting that each of characteristic parameter is non-dimensional, we can reduce number of characteristic parameters by combining $\pi_1$ and $\pi_2$ as well as $\pi_4$ and $\pi_3$. Thus, we have

$$\pi_1/\pi_2 = Л(\pi_4/\pi_3, \pi_5). \tag{16}$$

Substituting (9) – (13) in (16), we obtain

$$d/\delta \; = \; Ж(|a|/g, UD/v). \tag{17}$$

The relation (17) is the final forms showing how the normalized vortex diameter d/$\boldsymbol{\delta}$ changes depending on acceleration and deceleration of tidal flow |a|, under the constant Reynolds number Re=DU/$v$. However, it is critical to note here that the vortices appear on the sea surface only if the tidal flow is decelerated or $a$ <**0** and absolute acceleration of tidal flow |a| exceeds to a certain threshold value. Though the acceleration $a$ > **0** is absolutely necessary precursor of the strong vortex shedding upwards, without the following deceleration no vortices could reach at the sea surface.

## LABORATORY EXPERIMENT
### Objectives
The laboratory experiment is planned to examine vortex motions which occur in a flow over a series of dunes on the sea bed. A number of authors (e.g., Dyer, 1970) have measured the mean, and fluctuating velocities over gentle undulate dunes on the sea bed or in the laboratory flume

(Nezu & Nakagawa, 1993), but no measurement has been conducted for the possible transverse velocity field due to vortex motions induced by the dunes, but few measurements have been made over dunes as steep as those observed in Western Port, Australia.

To enable the details of any secondary motion to be determined, flow visualization both within the body of water above the dunes and right on the surface of the dunes is essential. Pressures, which would be useful to explain the dynamics of the flow, could be measured without disturbance at any solid boundary, as reported by Nakagawa (1980, 1981). To facilitate the flow visualization and to reduce the variability of experimental results, it is decided to tow a series of model dunes through a tank filled with still water, thus avoiding the unwanted effects of turbulence which would be generated by the flow of the running water in a conduit.

**Experimental Apparatus**

The experiments are conducted in a towing tank 14.6 m long, 616 mm wide and 350mm deep. The tap water is filled until 300mm in deep at first. Then, each of the model dunes is mounted on a false bed in the water tank, which is towed by means of a variable speed motor and cable system, as depicted in Fig. 11.
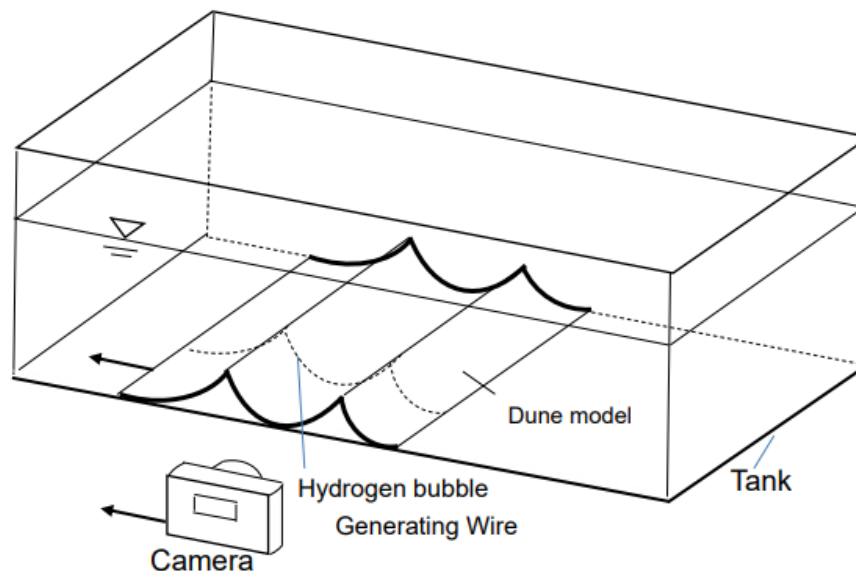


Fig. 11 Schematic diagram of towing tank experiment

The false bed was short so as to avoid generation of thick boundary layer, thus concentrating on the effects of dune model rather than on those due to the shear in the flow above them.

Several shapes of the dune model are used; in each case two identical dunes are mounted transversely to the longitudinal axis of the tank. The four shapes are depicted in Fig. 12 and their dimensions are given in Table 2.
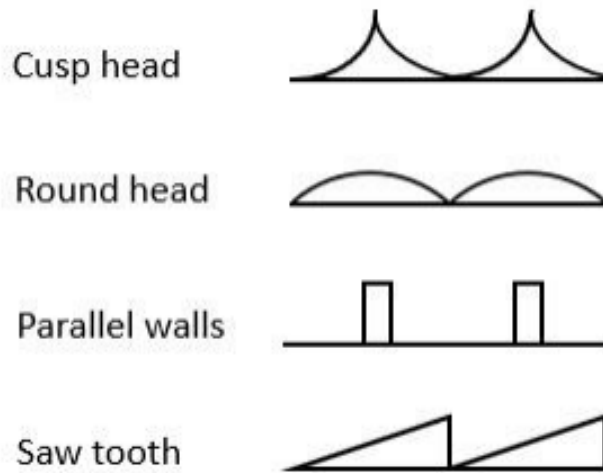
**Fig. 12 Profiles of dune models.**

**Table 2 Dimensions of dune models**

| Profile | Wavelength (mm) | Wave Height (mm) | Steepness of dune |
|---|---|---|---|
| Cusp head 1 | 100 | 50 | 0.5 |
| Cusp head 2 | 62.5 | 31.25 | 0.5 |
| Cusp head 3 | 43.5 | 21.75 | 0.5 |
| Cusp head 4 | 100 | 30 | 0.3 |
| Round head | 80 | 28 | 0.35 |
| Parallel walls | 100 | 50 | 0.5 |
| Saw tooth 1 | 100 | 30 | 0.3 |
| Saw tooth 2 | 100 | 10 | 0.1 |

The flow around each dune model is visualized using hydrogen bubbles generated on a copper wire of 0.08 mm in diameter located in the central vertical plane of the tank, as shown in Fig.11. Photographs were taken from the side through the transparent glass window by using a camera mounted on the carriage towed with the dune model, in the field of view illuminated by a synchronized stroboscope. The natural buoyant rise of the hydrogen bubbles is detected, but it is realized that this effect does not hinder from determining the details of the flow field in the uncorrected photographs.

The flow on the direct surface of the dune model is visualized using a shallow pool of milk placed on the trough between the dunes, and is photographed from above. The experimental conditions are summarized in Table 3, where they are compared with those in the field. It will be easily noted that the flow patterns observed over the model under accelerated and/or decelerated conditions differ *markedly* from those under conditions of steady motion.

Experimental parameters of laboratory experiment are not exactly same as those of field experiment, but at least comparable ones are carefully selected to avoid the violation of the similarity law for the flow (Zierep 1982), though the Reynolds numbers in laboratory experiment is smaller than those in field experiment by two orders of $10^2$.

**Table 3 Comparison of experimental conditions between field and laboratory.**

| | Field Experiment | Laboratory Experiment |
|---|---|---|
| Velocity U (mm/s) | 510 | 3.3 to 109.3 |
| Acceleration $\alpha(\frac{mm}{s^2})$ | 0 to 0.47 | 0.3 to 9.4 |
| Deceleration $-\alpha(\frac{mm}{s^2})$ | 0 to -0.47 | -0.3 to -9.4 |
| Non-dimensional acceleration$\frac{\alpha}{\delta}$ | 0 to 4.80 x $10^{-5}$ | 3.06 x $10^{-5}$ to 9.59 x $10^{-4}$ |
| Non-dimensional Deceleration$\frac{-\alpha}{\delta}$ | 0 to -4.80 x $10^{-5}$ | -3.06 x $10^{-5}$ to -9.59 x $10^{-4}$ |
| Normalized acceleration $\pi_4$ | 0 to 3.25 x $10^{-2}$ | 7.53 x $10^{-3}$ to 2.59 x $10^{2}$ |
| Normalized Deceleration $-\pi_4$ | 0 to -3.25 x $10^{-2}$ | -7.53 x $10^{-3}$ to -2.59 x $10^{2}$ |
| Reynolds number Re | 7.30 x $10^{6}$ | 3.30 x $10^{2}$ to 3.01 x $10^{4}$ |
| Froude number Fr | 3.80 x $10^{-2}$ | 2.00 x $10^{-3}$ to 1.10 x $10^{-1}$ |
| Steepness of dune $\gamma$ | 0.035 to 0.190 | 0.1 to 0.5 |

Note: The normalized acceleration and/or deceleration $|\pi_4|$ is defined as D$|a|$/U², where D is the mean water depth, $|a|$ is the flow acceleration and/or deceleration, and U the mean velocity. The Reynolds number is defined as Re=UD/ν, where ν the kinematic viscosity. And, the Froude number is defined as Fr=U/ (g D)$^{1/2}$, where g is the gravitational acceleration.

## RESULTS OF LABORATORY EXPERIMENT

In performing an experimental run, each model is mounted in the still water tank, the hydrogen bubble wire is switched on, and then the camera and towing mechanism are started. Over a very short period, the towing mechanism accelerates the model up to a constant speed which is held along the length of the tank, and finally decelerated it in a very short time, after which the hydrogen bubble wire and camera are switched off. Thus, motion of each model which may be from left to right and vice versa, consists of the following three stages:

1. Acceleration stage,
2. Constant speed stage, and
3. Deceleration stage.

Fig. 13 depicts a sequence of flow patterns spanning stages A, B, and C.  In the description below and in Fig. 13, it is assumed that the observer is moving with the model and hence the flow will be seen, as if it approaches to a stationary dune on tank bed.
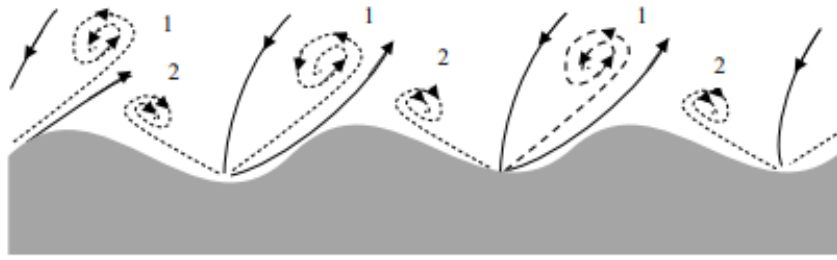
(a)
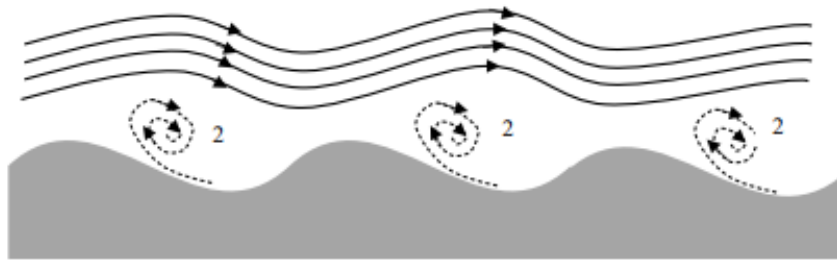
(b)
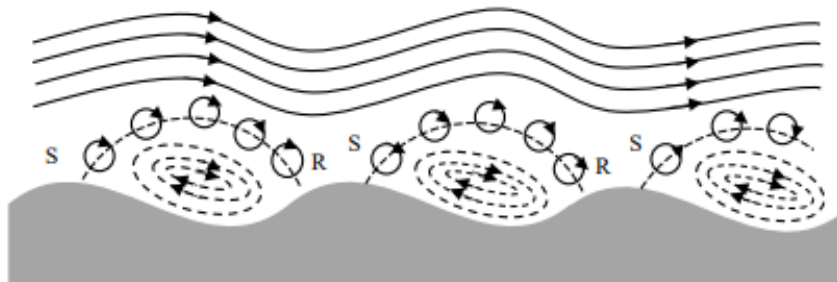
(c)
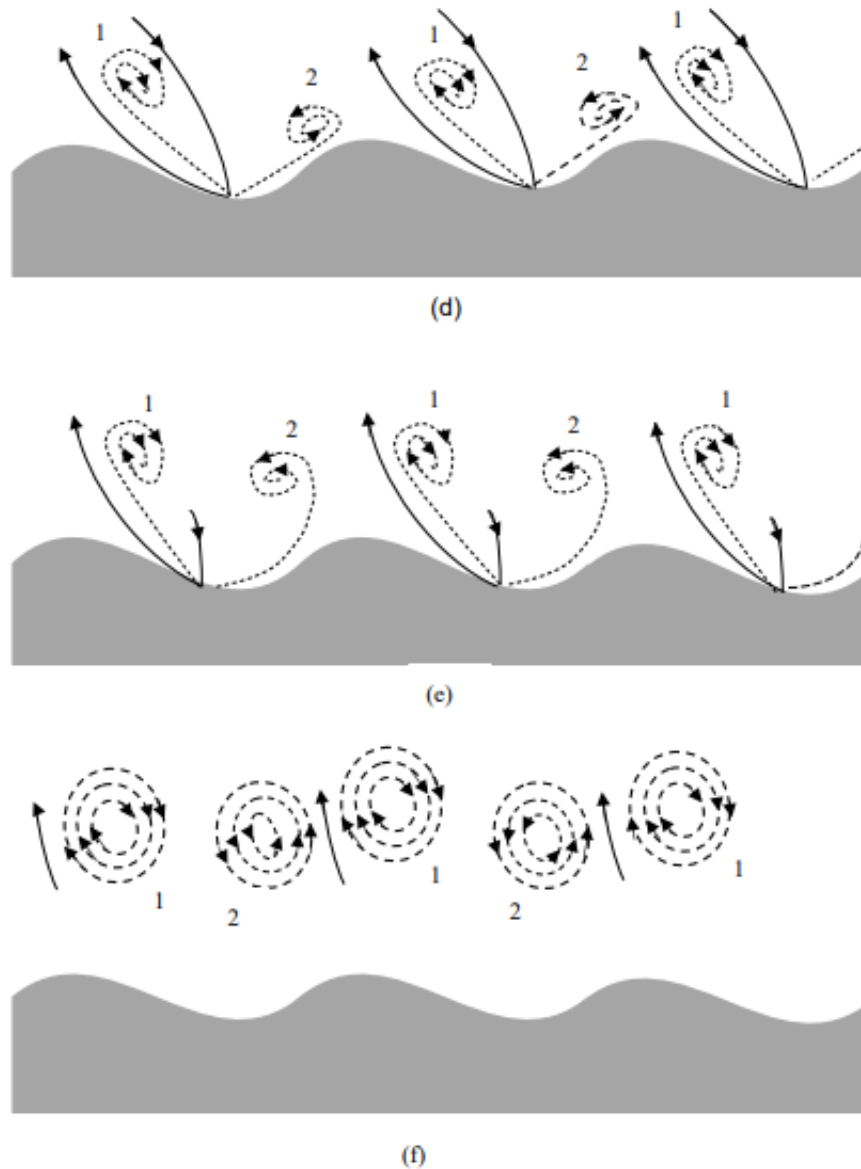
**Fig. 13 A series of sketches for interaction of unsteady flow and sand dune, andresulting secondary flow and vortices. (a) and (b) show stage A with the flow starting from rest and moving from left toright; paired vortices, numbered 1 and 2 are generated, (c) shows stage B with steady flow from left to right, where letters S and R denotethe separation and reattachment points, respectively, (d), (e) and (f) show the flow evolving from steady motion to rest in stage C.**

Fig. 13 (a) and (b) show stage A with the flow starting from rest and moving from left to right. Paired vortices, numbered 1 and 2, are generated. Vortex, No.1 is carried into the ambient flow, while vortex, No.2 is trapped by the bed topography and ultimately forms a separation eddy behind each dune.

Fig. 13(c) shows stage B with steady flow from left to right. Vortex No. 2 remains as the separation eddy behind each dune receives energy from the ambient flow, while it dissipates in internal and bed shearing processes. Additional vortices of smaller dimension are formed along the dividing free stream line between vortex No.2 in the cavity and the ambient flow, and change their shape

depending on geometry of the dune and the Reynolds number. The dividing free stream line may become unstable sometimes and thus some of the tiny vortices might be shed from its downstream end, viz. reattachment point R. Figs. 13 (d), (e) and (f) show the flow in stage C.  As the flow decelerates, a pair of vortices is formed.  These vortices move towards each crest and then are "ejected" into the ambient flow. It is certain to expect that each vortex changes into three-dimensional vortex ring directing to the water surface, in keeping an increase of the radius with time by the interaction with the sea surface (Nakagawa& Kageyama, 1977). These vortex rings may also interact with each other, by leapfrogging of the two rings for example (Yamada & Matsui, 1978).
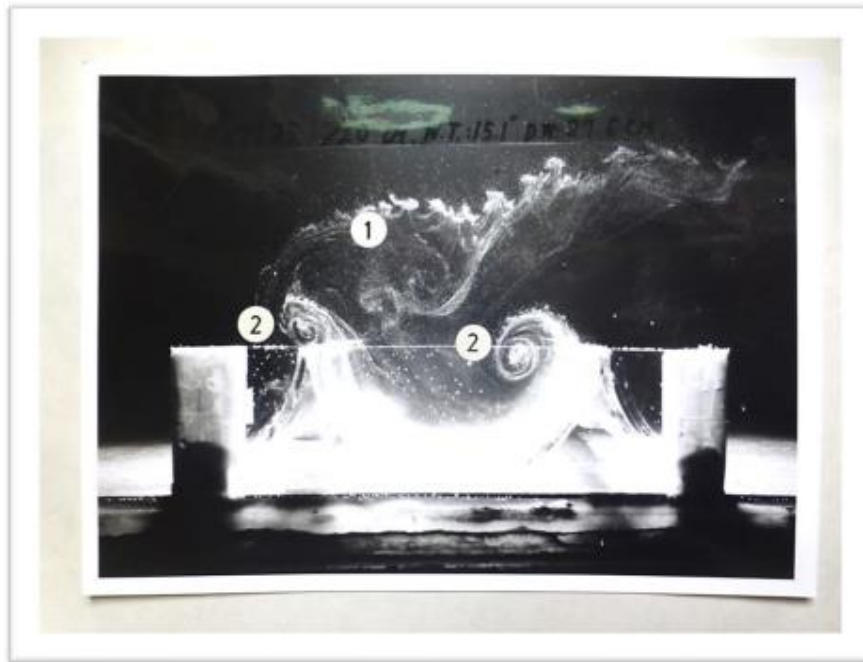


(a) After 1 second, compare with Fig.13 (d).
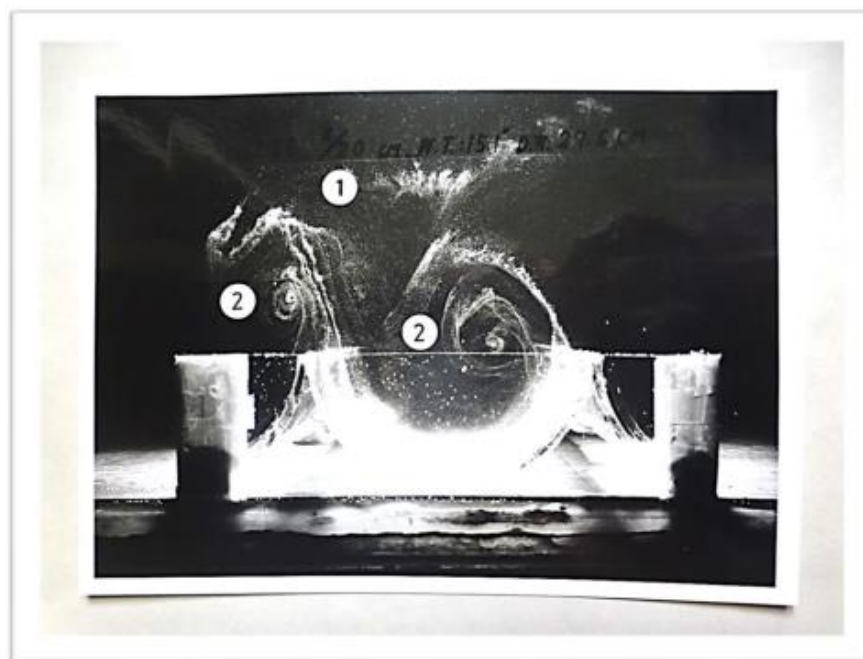


(b) After 2 seconds, compared with Fig.13 (e)
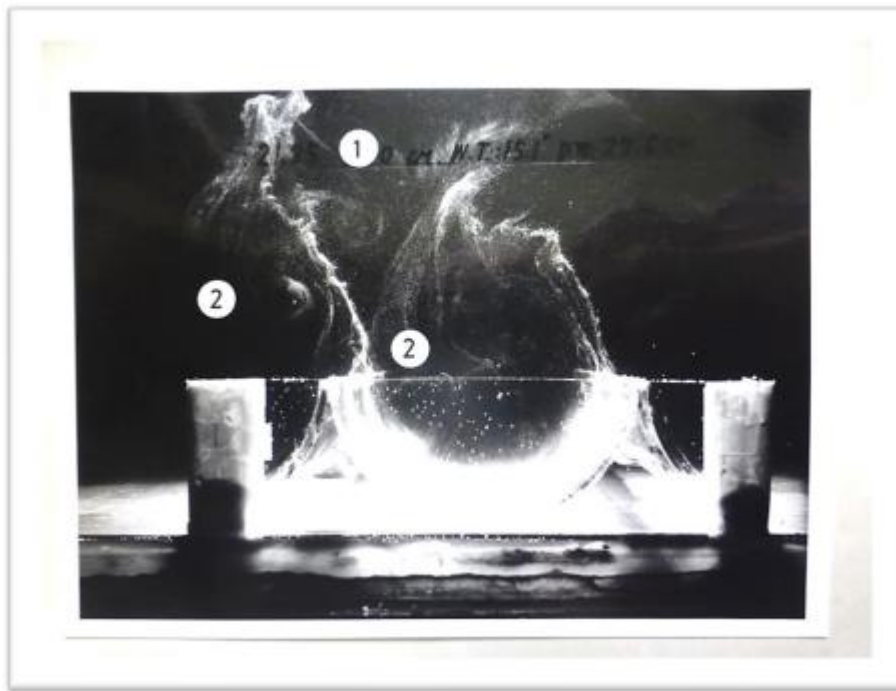
**(c) After 3 seconds, compared with Fig.13 (f).**
**Fig. 14 Vortices generated at each crest of cusped dune model when the mainflow is decelerated at the normalized deceleration $\pi_4$=−3.13.**

Figs. 14 (a), (b), and (c) correspond to Figs. 13 (d), (e), and (f), respectively, and show the ejection of the paired vortices and their subsequent increase in cross-sectional area. Figs. 14 (a), (b), and (c) are taken at 1, 2, and 3 seconds, respectively, after the start of deceleration of a steady flow velocity, U=30 mm/s at the normalized deceleration $\pi_4$=−3.13.

The pressure measurements made around the circumference of the dune profile have been described by Nakagawa (1980, 1981), who has confirmed the existence of a stagnation point, and directions of the motion by the hydrogen bubble flow visualization.

The flow visualization near the surface of the dune models, made by using milk, is described by Nakagawa & Hinwood (1978). They reveal a more complex and finer scale of vortices with axes aligned in the direction of primary flow. These Görtler vortices are formed by a Rayleigh-Taylor instability of the flow (Nakagawa1979b), as it passes near part of the concaved surface of a dune, as depicted in Fig.15.

**(a) Onset of Görtler Vortices**
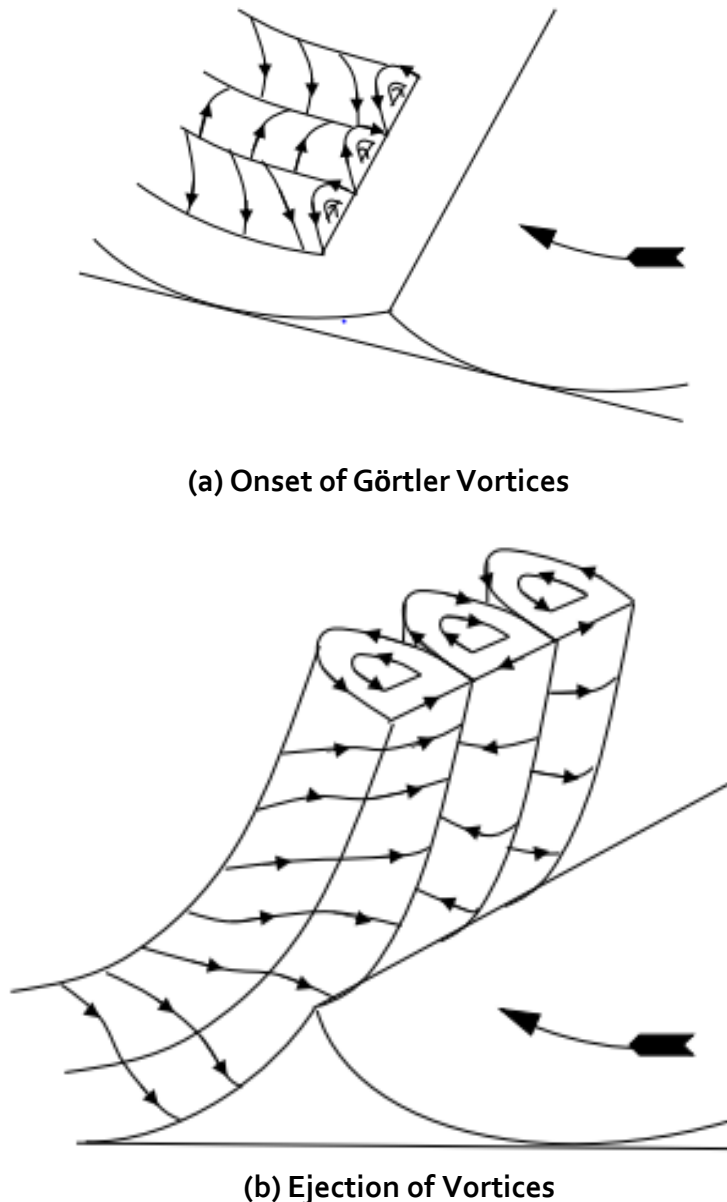


**(b) Ejection of Vortices**
**Fig. 15 Onset of Görtler vortices and the ejection from crest of the concaved wallwhen the flow is decelerated.**

The infant Görtler vortices are initially much smaller in scale than the dimensions of each dune as well as the vortices at the water surface in the laboratory water tanks or in the tidal estuaries. However, considering the potential rapid growth of the upwards ejected vortices after being pinched off (Nakagawa & Kageyama, 1977), these Görtler vortices must be a plausible candidate as the source of the large-scale vortices observed on the sea surface atWestern Port, Australia and many other spots such as river mouth and/or tidal estuary in the world. The milk flow visualization indicates that the flow normally separates from the dune model if the crest has a cusp, or if steepness of the dune $\gamma$ exceeds to the value of ca. 0.1.

The same features of the secondary vortex motion are observed in the experimental runs using the other dunes although in case of the parallel walls and saw tooth shapes, additional transverse vortices are generated at corners formed by the dunes and the bed plate. In particular, in the case

of the parallel walls, several vertical columnar vortices are regularly formed on the trough between two walls aligned in the transverse direction normal to the primary flow.

## ORIGIN OF THE LARGE-SCALE VORTEX MOTIONS IN TIDAL CURRENTS

### Possible Mechanisms

Before the laboratory results are applied to the field problem, the possible mechanisms which might be responsible for the origin of the large-scale vortex motions will be considered. It is worth reiterating that sometimes these vortices have been observed even above a plane smooth sea bed, so that it is probable that no single explanation can account for all examples of cellular vortex flow which have been observed in the field.

A number of possible mechanisms, which have been considered briefly by Hinwood (1978) will be reexamined here in sufficient detail to make their acceptance or rejection enable. These mechanisms are:
- A. Hydrodynamic instability in a statically unstable stratified flow,
- B. Instability of a statically unstable flow (thermal Bénard convection),
- C. Secondary motions driven by wind shear (Langmuir cell),
- D. Eddy shedding at channel bends or islands, and changes in plan form,
- E. Secondary motion generated by wind waves,
- F. Turbulent bursting phenomena in boundary layer flow,
- G. Local imbalance in the turbulent kinetic energy budget, and
- H. Interaction of tidal currents and sand or rock dunes on sea bed.
- I. Other features of real flows which may give rise to disturbances, but for which no coherent mechanism can be formulated are:
- J. Variations in boundary roughness in the longitudinal and transverse directions,
- K. Large scale curvature of the flow in plan, as noticed in the Gulf Stream or the Kuroshio (Greenspan, 1969; Nakagawa 2019),
- L. Large scale variations in mean water depth of the flow in the longitudinal and transverse directions,
- M. Large scale variations in the intensity and direction of wind shear stress during Cyclone (Hurricane or Typhoon).

The mechanisms in the first list, A-H, will be considered in the following sections, whereas the features of the flow in the second list, I-L will not be considered further as it has not been possible to develop a mechanism of generation for large-scale vortices in tidal currents based on them.

### A. Hydrodynamic Instability in a statically unstable stratified Flow

Within a sharply or continuously stratified flow, instabilities may grow through a number of mechanisms. Internal waves may be present and these may be amplified by the conditions of flow, so that eventually they break. Alternatively,turbulent or other fluctuations in the flow may propagate across or along a density gradient and may persist or may be diminished by the flow. Finally, the nature of the stratification would change by producing a static instability, as is observed in the ocean under conditions resulting salt fingering.

The observation reported in the preceding section show that the sea water in which secondary vortex motions have been observed are homogeneous, eliminating the possibility of occurrence of any of these instabilities or secondarymotions.

However, it must be pointed out that the measurements have a certain resolution or accuracy, and that temperature (Fig.7) or salinity (Fig.8) differences smaller than that resolution are present. Even such very weak stratifications in flows of high Reynolds numbers would cause to let perturbations be unstable across a wide span of wave numbers (Shlichting, 1935; Turner, 1973). Thus, the turbulence generated within the tidal current may be possible to penetrate this stratification and would lead to effective mixing. Nonetheless, there appears to be no mechanism by which the present cellular vortex motions can have arisen in a statically stable stratified flow.

**B. Instability in a statically unstable Flow (Thermal Bénard Convection)**
The present vortices bear some resemblance to the Bénard cells (Chadrasekhar, 1961), which are formed when a horizontal viscous fluid layer is either heated from below or cooled from above. This heating or cooling producesa static instability which drives the secondary motion to form hexagonal cells distributed over the surface. Although the classical description of the Bénard cells relates to the case of heating of an initially stationary fluid confined between parallel horizontal plates, many other cases have been examined including heating from below of a flowing fluid with a free upper surface, a case resembling the geometry of the present flow.

The temperature data (Fig.7) and the argument presented in the preceding section would appear to eliminate this mechanism from further consideration. It was considered that a surface layer of water a few millimeters in thickness might have been cooled by evaporation or other heat loss to the atmosphere, and thus in this very thin layer certain secondary motions could be observed. To test this hypothesis, water was collected by lowering several vessels a few millimeters below the sea surface at the test site, and allowing them to fill by skimming the surface layer.

No temperature difference was observed between the water in the different vessels or between that water and the water in the rest of the vertical profiles at any section of measurement. Hence, this possible mechanism must be eliminated from further consideration.

**C. Secondary Motion driven by Wind Shear (Langmuir Cell)**
Secondary motion known as the Langmuir cells (Langmuir, 1938) is caused by the shear stress exerted on the sea surface by the wind.
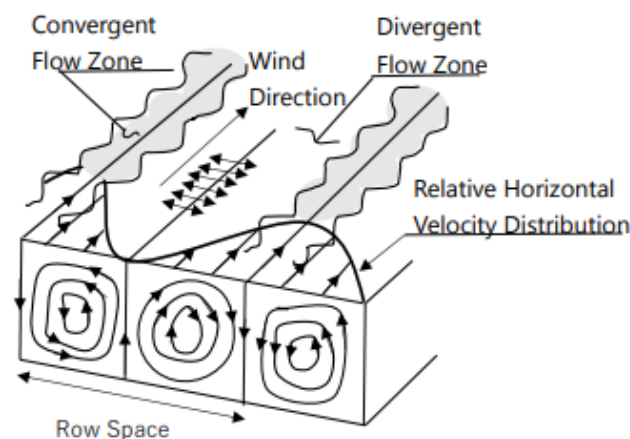


**Fig. 16 Hypothetical sketch of Langmuir circulation**

As depicted in Fig.16, the Langmuir cells are helical vortices with axes alignedin the primary wind direction, in which each vortex has a sense of rotation opposite to that of the adjacent vortices. It is conceivable that long vortices of this kind would be broken up in shallow to form the roughly elliptical cells like rugby ball observed in the field experiments [see Figs. 4 (a) and (b)]. However, the Langmuir cells have been observed in the field only when the wind speed exceeds about 3 m/s, while the present cellular vortex motions have been observed most frequently when the wind speed is below 1 m/s, including some observations under calm conditions. Thus, it can be concluded that the Langmuir cells are not the prime mechanism of generation of the present cellular vortex motions, although it is possible that wind shear could play certain role in some occasions.

## D. Eddy Shedding at Channel Bends or Islands and Changes in Plan Form

It is frequently observed that eddies are periodically shed in the wake of a headland or in the downstream from a bend in tidal estuaries. It is even conceivable that these eddies would tend to generate counter-rotating eddies in the adjacent water, giving rise to a field of eddies. The eddies are supposed to be generated by the mean flow, so that the total head of the fluid comprising the eddies will remain approximately the same as that of the mean flow. It is certain that in addition to the internal shear stress dissipation both the mean flow and the superimposed eddy motion will lose energy due to shear stress on the sea bed as well as the boundary of land or island. Data obtained by Hinwood & Jones (1979) show that this loss may be described by use of the velocity profile, $U/U^* = 2.5 \cdot \ln(y/z_0)$, where U is the mean velocity of tidal current, $U^*$ is the friction velocity, and $z_0$ is the height scale at height y above the bed. Moreover, the Chézy coefficient, is defined as $C = U/(mr)^{1/2} = 28 \cdot D^{1/6}$ in S.I. units, where m is the hydraulic mean radius, $r$ is the specific gravity of sea water, and D is the water depth of 18 m in the present measurements. The kinetic energy of the mean motion is maintained by the water surface slope arising from the tidal rise and fall, but there is no comparable process sustaining the eddy motion, which will thus start decaying immediately after its generation. It may be seen from Fig.2 that the test site is approximately 8 km from the nearest promontory likely to shed eddies. The rate of decay of the total head of the eddy motion is estimated, and the total head will decay to 1.3 % of the initial value. Any generation of additional subsequent eddies must increase the rate of extraction of energy from the initially-generated eddies. However, no energy is available for generating the strong, regular vortex motions.

From these considerations, it appears most unlikely that eddies shed from plan-form features of the channel could give rise to strong, regular vortex motions such as those observed.

## D. Secondary Motion generated by Wind Waves

In this regard, two possible mechanisms might be considered. Firstly, the direct production of vortex motion by the waves could be considered. This possibility may be dismissed as no other observers have seen vortex motions of the present kind induced by waves. Furthermore, on some occasions when waves are present the wavelengths differed from the vortex dimensions and the waves sometimes in the direction of the tidal current and at other times in other directions, making it difficult to see how energy could be transferred to a vortex motion.

The second possibility is that the oscillatory motion of the water, caused by the waves, interacts with the rock or sand dunes on the sea bed in the way demonstrated by the laboratory experiment in the preceding section. On the days when field data were obtained, the wind was slight and wavelengths produced by the wind were only a few meters long. Thus, the ratio of the water depth to the wavelength was much greater than twice, and hence the waves may be regarded as deep-water

waves with a minimum interaction with the sea bed. Furthermore, the period of these short water waves was typically about two seconds, which is much less than the period required for a current of 0.6 m/s to advent a vortex of length 0.405 ~ 12.7 m from the bed to the sea surface.

### E. Turbulent Bursting Phenomena in Boundary Layer

Kline et al. (1967) have shown that in the turbulent boundary layer on a smooth flat plate, turbulence is generated intermittently near the wall. They have also shown that the main contributors to the Reynolds stress are discrete sweep and ejection events. These events may extend well into the free stream above the boundary layer (Corino & Brodkey, 1969; Grass,1969; Gordon,1974,1975). Heathershow (1974) has suggested that the laboratory results are directly applicable to flows of geophysical scale. Gordon found that the mean non- dimensional bursting period, $T^*$, has a nearly constant value, $T^*=UT/\delta_1=5$, where U is the mean velocity of the fluid, T the mean bursting period, and $\delta_1 =\int_{y=0}^{\infty} (U - u)\, dy$, the displacement thickness of the turbulent boundary layer, where $u$ is the flow velocity, and y is the vertical coordinate from the sea bed. This is consistent with laboratory result of Rao et al. (1989) and others. Gordon obtained the result that 99 % of the contribution to the Reynolds stress is made during only 55 % of the total time. Gordon's experiments are carried out at a maximum tidal velocity of 0.75 m/s yielding a Reynolds number based on depth of water of the order of $10^6$ to $10^7$. In the present field experiments, the maximum velocity of the tidal current is of 0.65 m/s, and the Reynolds number is $7.3 \times 10^6$, resulting conditions comparable with those of Gordon.

If it is hypothesized that the tidal current in an estuary corresponds to a turbulent boundary layer over a flat plate, it is possible that the ejection event which is part of the bursting process produces the vortices observed at the sea surface. In favor of this hypothesis are the previously cited observations that the ejection events are produced by the mean motion and that they propagate far from the boundary, or sea bed. Against this hypothesis, the bursting process isthe random and intermittent nature; based on Gordon's bursting period formula, bursting events would have a mean separation of 21 m in the present flow. It is, therefore, difficult to see how the regular arrays of vortices observed in the field can be produced by the random ejection events. However, it has been observed that the precursor of an ejection can be a weak perturbation of the outer part of the boundary layer. The possibility that this disturbance is supplied by a previously generated ejection arriving at the sea surface has been investigated by Hinwood (2020), who concluded that it could not be ruled out of consideration in the case of a uniform, non-accelerated shear flow over a plane bed. A similar suggestion to this has been examined by Nezu & Nakagawa (1993), but they have unfortunately overlooked the most critical factor of the deceleration of the flow toconvey the vortices generated at the bed to the sea surface: *Vortex ejection fromthe sea surface due to bursting phenomena is considered not to have enough potential to carry vortices until the sea surface if there is no deceleration of flow.* In addition, the conditions that induce bursting phenomena are not well satisfied by the present field experiments, for the dunes on the sea bed make the application of flow over a flat plate implausible.

Additionally, it may be worth noting here that oceanic Rossby waves (Chelton & Schlax 1982, Dickinson 1970, Tyler 2008) are caused by the Coriolis force and conservation of potential vorticity which leads to change of relative vorticity. They are large-scale waves within an ocean basin, and gain momentum from wind shear at the ocean surface layer with no significant vertical motion of fluid. On one hand, the planetary Rossby waves (Covey & Schubert 1982, Kospi & Schneider 2011, Shepherd 1987) are easily observed in the atmosphere as the large meanders of the mid-latitude jet

stream that are responsible for prevailing seasonal weather patterns and their day-to-day variations. However, Rossby waves have been much more difficult to detect in the ocean because of their small sea-surface signature (height variations of order 10 cm or smaller), slow propagation speeds (of order 10 cm/s or less) and long wavelengths (hundreds to thousands of kilometers).

Thus, it is evident that oceanic Rossby waves (Rossby, 1939) must be different from the present vortices in appearance, origin and generation mechanism.

### F. Local Imbalance in the turbulent kinetic Energy Budget

Talke et al. (2013) have investigated the relationship between turbulent statistics and coherent structures in an unstratified reach of the Snomish River estuary in USA, using in situ velocity measurement and surface infrared imaging. Sequential infrared images are used to estimate surface flow characteristics via a particle image-velocimetry (PIV) technique, and are conditionally sampled to delineate the surface statics of bottom-generated boils. Boils and their surface manifestation, therefore, play a critical role in the vertical transport of turbulent kinetic energy and the water column distribution of dissipation, and are an important of the turbulent kinetic energy budget. Over a large, depth-scale sill, Chikadel et al. (2009) and Talke et al. (2010) have found that boils are linked to flow separation and mixing layer growth.

Orton et al. (2010) have found that energy dissipation caused by wind-induced shear dominates over dissipation caused by bottom-generated turbulence at a near surface measurement location (ca.50 cm below surface) in the Hudson River estuary in USA. Near surface, turbulence production and dissipation are approximately equal, though a significant upward-directed turbulent-transport accompanying boils is from time to time reported during strong tidal currents at many spots in the world. Note that Scully et al. (2011) have reported that they are unequal in the lower water column in areas of high roughness on bed.

Talke et al. (2010) have studied how the growth of mixing layer (separated flow) and embedded coherent structures to be developed into boils eventually, are influenced by the surface boundary more strongly as water depth over a sill decreases. On the contrary, they conclude that the surface significantly damps growth of coherent structures and inhibits to form boils once the sill height exceeds to ca.80% of the local water depth.

Moreover, Talke et al. (2013) adopt a unique research platform that couples infrared remote sensing of the water surface in order to identify the detailed surface expression of boils, together with highly being resolved and collocated near-surface and water column turbulence measurements below the surface. This remarkable combination enables them to quantitatively link the subsurface turbulent structure with its surface expression, boils, and to measure the turbulent kinetic energy $q^2 = \langle u'^2 \rangle + \langle v'^2 \rangle + \langle w'^2 \rangle$, where u′, v′ and w′ are x, y and z fluctuation components of the velocity, respectively, and its dissipation rate ε within boils. They show that boils are low-momentum water masses with elevated turbulent kinetic energy and vertical velocity variance, which is the mean of the squares of deviations of the data values at the data set, relative to the ambient surface water. Boils are marked by horizontal divergence and upwelling, which may be caused by the interaction of coherent structures with the kinematic boundary condition. It may be natural to consider that downwelling also occurs at each of the boil boundaries and boundaries with the ambient flow to preserve the continuity of flow.

The turbulent kinetic energy budget in the water column indicates that production P and dissipation ε are not in balance generally. Instead, P exceeds ε near the bottom of the sea and/or river; this abundant shear production of the turbulent kinetic energy well exceeds the local capacity to dissipate the energy, resulting in the local imbalance. Talke et al (2013) have hypothesized that such an excess turbulent kinetic energy is transported away only from the bottom towards the surface, though there might be no reason why the excess energy only aims at the water surface. It may be evident that the excess energy could moves towards the ambient locations in the same and/or even lower level as well.

It is plausible that the water surface suppresses the vertical motions with a scale greater than the depth H, but admits smaller, boil-scale motions. It is therefore clear that a marked scale dependence of statistical isotropy develops, with anisotropic conditions observed near the surface for scales greater than the depth H, and approximately equal and horizontal velocity variance may be observed at scales equal to or smaller than the boil scale. Such statistically isotropic conditions are governed by the spatial structure of the surface, which contains patchy boils consisting of many regions of upwelling and downwelling.

## G. Interaction of tidal Currents and Sand Dunes

The laboratory experiments reported in preceding section have shown that decelerated flow over steep, sharp-crested dunes will lead to the vortices, and that these vortices may propagate upwards into the body of the flow.

The range of steepness of the sand dunes in Western Port, Australia was 0.035 to 0.19, while the experiments have shown that the flow separation is likely to occur if the steepness $\gamma$ is greater than 0.1, as it is in the model experiments (Table 3). However, it is also found that the flow separated at the sharp crest of each of saw tooth profile dune models which must be a good approximation to the real dune on the sea bed. Thus, the model flow patterns are likely to be representative of those in the field, and hence a decelerating tidal current flowing over the sand dunes could produce the paired vortices at the crest of each dune. The similitude analyses revel the fact that the normalized deceleration $-\pi_4$ in the laboratory experiments covers that in the field experiments.

In addition, the Reynolds number Re, the Froude number Fr, and the steepness of dune $\gamma$ in the laboratory experiments are comparable in order with those in the field experiments, as being evident in Table 3.

It is critical to note that cellular vortices have only been observed close to the time of tide when the current velocities record a maximum and hence close to the singular time when the acceleration flow changes to deceleration one. This flow change from acceleration to deceleration coincides with the condition of Fig. 14(b), in which paired vortices are ejected into the ambient flow from the crest of each dune. Although the magnitude of the deceleration in the field is less than that in the laboratory experimental runs, but it is revealed by the present similitude analyses that the order of the normalized deceleration characteristic number $-\pi_4$ is the same. It is, therefore, suggested that the occurrence of the vortex ejection is primarily governed by degree of the deceleration in tidal current: The critical point in this regard is whether the vortex is ejected upwards or not, depends on acceleration and deceleration of the tidal current, and its magnitude is increased as the higher degree of acceleration and deceleration in the current! The precursor acceleration plays a decisive role in enhancing the strong upwards ejection of vortex being assisted by the following deceleration of the tidal current. This may the main reason why

the Uzushio or large-scale vortices are often observed on the sea surface during the spring tide, where just before the flood the acceleration reaches at the maximum, and then after the flood the deceleration becomes at the maximum. It is certain that during the acceleration period fluid dynamical energy is accumulated in the cavity behind dunes, and the energy would be released upwards in a form of vortex once the deceleration of flow begins.

On the basis of the present findings, as well as the existing information `and knowledge` (Nakagawa & Kageyama,1977), a tentative kinematic model of the large-scale vortex motion in strong tidal current is elaborated as a tentative hypothesis: After being ejected from the crest of each dune on the sea bed into the ambient flow, the vortex moves to the sea surface, experiencing a series of changes in its structure. Though the present proposed processes from the sea bed to the surface have not been verified quantitatively yet, it may be evident that near the sea surface, the vortex grows the diameter with moving upwards by entraining the surrounding water and by the strong interaction with the sea surface.

Further evidences for the mechanism proposed are firstly the agreement in the peaks on the vortex-diameter frequency distribution, Fig. 5, and dune-scale frequency distribution, Fig. 10, and secondly the existence of upwards flow in the center of each vortex, which has been revealed by the flow visualization experiment in terms of dye patches. The evidences available thus support the hypothesis that an interaction between the tidal flow and the dunes generates the vortices (or boils) and the acceleration and deceleration of the tidal currents could play a decisive role in ejecting the paired vortex, to be transported to the sea surface eventually.

## CONCLUSIONS

In this section, new knowledge and insights obtained through the present study have been summarized. It is concluded that the present vortices are generated by the interaction of tidal currents and sand dunes at one singular time during spring tide: When tidal currents change from acceleration to deceleration, the fluid body in the re-circulatory flow region (cavity) behind each dune is transformed into a pair of vortices. Then, the paired vortices are ejected to the sea surface in experiencing a series of changes in vortex structure, and finally form the cellular vortices on the sea and/or river surface. It is found that interaction of the tidal currents and the sand dunes on sea bed appears most likely to have generated the infant Görtler vortices, which evolved into the large-scale vortices at the sea surface eventually. It is realized that the large-scale cellular vortices provide significant influence on the vertical transport of material, such as effluent, and hence will exert a major influence on longitudinal dispersion in the sea. Vertical momentum transport in the upper part of the flow will also be profoundly altered by the vortices. It is inferred that the present findings are critical to understand any oscillating flow in nature and laboratory accompanying the cyclical change from acceleration to deceleration and vice versa. In addition to tidal current, any oscillating flow such as flow in blood vessel, and/or in a wave, must be relevant to the present study.

## ACKNOWLEDGEMENTS

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# History of Early Modern Society and Everyday Life as Reflected in the Works of the Bestseller Author Johannes Pauli (1522)

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**Abstract:**
Historians would be well advised to take a closer look at the didactic and entertaining tales published by Johannes Pauli in 1522, a collection that quickly emerged as a true best- and longseller, being popular far into the eighteenth and even nineteenth centuries. Although he was a Franciscan writing during the early years of the Protestant Reformation, Pauli did not support Luther and his companions. Nevertheless, in many respects, he pursued similar ideas, criticizing, ridiculing, and commenting on the shortcomings and foibles of his contemporaries. For historians, his narratives, almost 700 in total, prove to be highly valuable since they reflect on the infinite kaleidoscope of human life conditions, with all the problems people tend to face or reveal. This study is the first probe into Schimpf und Ernst as a source for many different scholars in the field of Early Modern Studies, addressing the various social classes, the genders, economic and religious conflicts, war, justice, crime, fools, entertainment, truth, virtues and vices. Here we encounter a most valuable literary mirror of social, intellectual, religious, gender, economic, and political conditions in the early sixteenth century. Although Pauli drew heavily from classical and medieval sources, his selection and adaptation transformed these many prose tales into specific comments about ordinary conditions in human life.

*Keywords: Johannes Pauli, sermon narratives, entertaining literature, historical sources, early sixteenth century, anticlericalism, rape, truth, justice, fools, entertainers, peasants, aristocrats, peasants*

## INTRODUCTION

For historians or scholars in the field of social studies and anthropology, the truly critical question has always been whether they can identify enough sources to build a case about specific conditions, events, circumstances, and people in the past. It makes perfect sense, hence, to consult chronicles, letters, last wills, judgments, and a variety of other contemporary documents to find sufficient evidence. The more voices can be brought to the table, the more solid would then be the historian's argument. In order to understand more than just the surface events, such as wars, enthronements, legal decisions, economic arrangements, trade, banking, building, or diplomatic exchanges, it proves to be critically important to investigate also deeper levels of cultural-historical conditions.

For quite some decades, hence, three major new approaches have been developed that have proven to be highly effective in uncovering innovative levels of meaning of past cultures: the investigation of the history of mentality, the examination of everyday life, and, most recently, the history of emotions.[1] Latest research has also probed what we can recognize through the

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[1] Barbara H. Rosenwein and Riccardo Cristiani, *what is the History of Emotions?* What is History series. Cambridge: Polity Press, 2018; *Emotions and Medieval Textual Media*, ed. Mary C. Flannery. Early European Research, 13.

available documents as to racism, gender conflicts, nationalism, and ecocriticism (nature).[2] However, those new angles also require new sources to be considered for the analysis, even though innovative methodologies applied to well-known narratives can equally unearth significantly innovative aspects concerning people's ordinary lives.

One of the more productive and yet also problematic sources would certainly be the literary text, and this also for the historian. On the one hand, fictional works powerfully mirror forms of imagination and fantasy,[3] hence a different dimension of reality; on the other, they reveal what many people enjoyed hearing or reading about. It would not matter, for instance, whether King Arthur actually existed or not,[4] whereas it centrally matters for us that countless people already then admired him and reproduced either actively or passively that myth. In parallel, we have realized the extent to which particularly fifteenth- and sixteenth-literature served quite poignantly as a mirror of the social, political, moral, religious, and economic conditions, whether we think of William Langland's *Piers Plowman* (ca. 1377)[5] or Des *Teufels Netz* (ca. 1414).[6] Studying the various works by Christine de Pizan (1364-ca. 1430), for instance, sheds enormous light on late medieval gender relationships and encourages us strongly to recognize that women at that time could have been highly educated and were certainly prepared to make their voices heard in public. As much as patriarchy ruled, so to speak, it would be a misconception to assume that late medieval women were simply repressed and treated as muted chattel.

Already several decades ago, a team of French scholars under the guidance of Georges Duby launched a new research project dedicated to the private life in the various centuries.[7] As literary

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Turnhout: Brepols, 2018; *The Routledge History of Emotions in Europe: 1100–1700*, ed. Andrew Lynch and Susan Broomhall. The Routledge Histories (London and New York: Routledge, 2020).

[2] *Europäische Mentalitätsgeschichte: Hauptthemen in Einzeldarstellungen*, ed. Peter Dinzelbacher. 2nd rev. and expanded ed. (orig. 1993). Stuttgart: Alfred Kröner Verlag, 2008; *Alltag im Spätmittelalter*, ed. Harry Kühnel. 3rd ed. (orig. 1984). Graz, Vienna, and Cologne: Verlag Styria, 1986; Otto Borst, *Alltagsleben im Mittelalter*. Frankfurt a. M.: Insel Verlag, 1983. As to the connections between medieval people and us today, a notion which is, of course, subject to considerable generalizations, see Catherine Brown, "In the Middle," *Journal of Medieval and Early Modern Studies* 30.3 (2000): 548–74. For ecocritical perspectives, see now Albrecht Classen, *Water in Medieval Literature: An Ecocritical Reading*. Ecocritical Theory and Practice (Lanham, MD, Boulder, CO, et al.: Lexington Books, 2018).

[3] See now the contributions to *Imagination and Fantasy in the Middle Ages and Early Modern Times: Projections, Dreams, Monsters, and Illusions*, ed. Albrecht Classen. Fundamentals of Medieval and Early Modern Culture, 24 (Berlin and Boston: Walter de Gruyter, 2020).

[4] Andrew Breeze, *The Historical Arthur and the Gawain Poet: Studies on Arthurian and Other Traditions*. Studies in Medieval Literature (Lanham: Lexington Books, 2023).

[5] *The Cambridge Companion to Piers Plowman*, ed. Andrew Cole and Andrew Galloway (Cambridge: Cambridge University Press, 2014).

[6] Albrecht Classen, "Death, Sinfulness, the Devil, and the Clerical Author: The Late Medieval German Didactic Debate Poem *Des Teufels Netz* and the World of Craftsmanship," *Death in the Middle Ages and Early Modern Times: The Material and Spiritual Conditions of the Culture of Death*, ed. A. Classen. Fundamentals of Medieval and Early Modern Culture, 16 (Berlin and Boston: Walter de Gruyter, 2016), 277–96.

[7] *A History of Private Life*. Vol. II: *Revelations of the Medieval World*, ed. Georges Duby (orig. 1985), trans. by Arthur Goldhammer (Cambridge, MA, and London: The Belknap Press of Harvard University Press, 1988); cf. also Arno Borst, *Lebensformen im Mittelalter* (Frankfurt a. M., Berlin, and Vienna: Ullstein, 1973); Hans-Werner Goetz, *Life in the Middle Ages: From the Seventh to the Thirteenth Century*, trans. from the German by Steven W. Rowan. Notre Dame, IN: University of Notre Dame Press, 1993 (orig. 1986); Arnold Esch, *Die Lebenswelten des europäischen Spätmittelalters: Kleine Schicksale selbst erzählt in Schreiben an den Papst* (Munich: C. H. Beck, 2014). Cf. also Peter Dinzelbacher, *Lebenswelten des Mittelalters 1000–1500*. Bachmanns Basiswissen, 1 (Badenweiler: Wissenschaftlicher Verlag Bachmann, 2010); Hans-Werner Goetz, *Life in the Middle Ages: From the Seventh to the Thirteenth Century*, trans. from the German by Steven W. Rowan. Notre Dame, IN: University of Notre Dame Press, 1993 (orig. 1986); Christopher Dyer, *Everyday Life in Medieval England*. London: Bloomsbury, 2003; Flocel Sabaté,

scholars have widely confirmed, the large body of late medieval prose and verse narratives by literary giants such as Giovanni Boccaccio and Geoffrey Chaucer, or Heinrich Kaufringer and Marguerite Navarre contains a vast array of reflections on everyday life conditions and could be regarded as truly valuable sources, also for the historian. Here we encounter representatives of the various social classes, gender, and age groups (though not, races), and we learn about virtues and vices, happy and sad circumstances, economic and religious problems, and also about social interactions, conflicts, friendship, and love. As a side remark, the same could apply to medieval art and musical history which also mirrored important aspects of society.

Studying these stories (in prose and verse) invites us to explore the many different social frameworks and perspectives characteristic of that period. Their fictional character would not have a negative impact on the conclusions that we could draw; instead, we would simply have to recognize it as a projection of deeply-seated fears, aspirations, and fantasies that had their own impact on the material dimension and both mirrored and influenced everyday life conditions.[8] We should also add that history, as we commonly perceive it, is the result of endless conversations, negotiations, arguments, and exchanges. Hence, the step from history as such in its material conditions, to literature, and vice versa, would be only a small one, with both fields of investigation cross-fertilizing each other.[9]  After all, when poets discussed the lives of their protagonists, they had to be somewhat realistic to make sense out of their narrative material. Thus, historical research and literary history meet and entwine each other.[10]

### JOHANNES PAULI

The history of late medieval literature is filled with names of major and lesser authors and poets, titles of works, and genres. Some achieved great success, such as the Swiss Dominican Priest Ulrich Bonerius with his *The Gemstone* (ca. 1350) or Geoffrey Chaucer with his *Canterbury Tales* (ca. 1400), others have remained fairly obscure, such as Franco Sacchetti (ca. 1335– ca. 1400) and Heinrich Kaufringer (ca. 1400). In the course of time, however, especially with the help of the printing press, new market opportunities emerged and made it possible that individual titles such as Johannes Pauli's *Schimpf und Ernst* (1522) could soon grow into veritable bestsellers. Pauli's

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*Life and Religion in the Middle Ages*. Newcastle upon Tyne: Cambridge Scholars Publishing, 2015; Albrecht Classen, "Everyday Life and Culture in the Late Middle Ages: The Evidence of the *Tacuinum Sanitatis*: Historical-Medical and Social-Cultural Aspects," *Mediaevistik* 30 (2018): 225–40. The list of comparable studies is legion.

[8] Joachim Bumke, Höfische Kulur*: Literatur u. Gesellschaft im hohen Mittelalter*. 2 vols. (Munich: Deutscher Taschenbuch Verlag, 1986); he offers a wealth of research references; Aaron J. Gurjewitsch, *Mittelalterliche Volkskultur*, trans. from the Russian by Matthias Springer (orig. 1981; Munich: C. H. Beck, 1987); Christian Domenig, *Geschichte in Bewegung: das Mittelalter jenseits der Politik* (Stuttgart: Verlag W. Kohlhammer, 2022); Claudia Wittig, *Learning to be Noble in the Middle Ages: Moral Education in North-Western Europe*. Disputatio, 33 (Turnhout: Brepols, 2022). The literature on this topic is legion.

[9] W. A. Davenport, *Chaucer: Complaint and Narrative*. Chaucer Studies, 14 (Woodbridge, Suffolk: D. S. Brewer, 1988); see the contributions to *Paul Ricoeur and Narrative: Context and Contestation*, ed. Morny Joy (Calgary: University of Calgary Press, 1997).

[10] Hans-Werner Goetz, *Life in the Middle Ages: From the Seventh to the Thirteenth Century*, trans. from the German by Steven W. Rowan. Notre Dame, IN: University of Notre Dame Press, 1993 (orig. 1986); Christopher Dyer, *Everyday Life in Medieval England*. London: Bloomsbury, 2003; Flocel Sabaté, *Life and Religion in the Middle Ages*. Newcastle upon Tyne: Cambridge Scholars Publishing, 2015; Albrecht Classen, "Everyday Life and Culture in the Late Middle Ages: The Evidence of the *Tacuinum Sanitatis*: Historical-Medical and Social-Cultural Aspects," *Mediaevistik* 30 (2018): 225–40; and see the contributions to *Making the Medieval Relevant: How Medieval Studies Contribute to Improving our Understanding of the Past*, ed. Chris Jones, Conor Kostick, and Klaus Oschema. Das Mittelalter. Perspektiven mediävistischer Forschung, Beihefte, 6. Berlin and Boston: Walter de Gruyter, 2020.

collection of tales was highly popular not only throughout the sixteenth century; it also continued to appeal to its audiences far into the eighteenth and even nineteenth centuries).[11]

Pauli was a Franciscan preacher and administrator who was a highly prolific collector of short tales, culling his material from a wide range of classical and medieval sources, and also from his own experiences. Those tales, almost 700 in total, address numerous topics of relevance in human life and were intended as narrative material for preachers. But *Schimpf und Ernst* soon turned into a large collection of entertaining and didactic stories that stand on their own. In the course of time, new editors modified this work, either by eliminating or by adding some tales depending on the targeted audience. Posterity happily drew from Pauli's work, adapting individual narratives for their own purposes, removing more traditional Catholic narratives and emphasizing more a Protestant perspective. Overall, later authors of *Schwank* literature, such as Hans Sachs (1494-1576) or Hans Wilhelm Kirchhof (ca. 1525- ca. 1602) enthusiastically responded to Pauli and acknowledged his work as a bedrock for their own efforts. Altogether, since *Schimpf und Ernst* continued to exert a major appeal throughout times, we can certainly identify it as bestseller and also 'longseller.'[12]

Pauli made a particular effort to address major themes that concerned his world, or human society at large, and thus he succeeded in a surprisingly refreshing manner, as the book title itself indicates, to entertain and to provide entertainment with his stories. Of course, as a writer or preacher he promulgated his own ideals and values determined by his Franciscan worldview, but he utilized many different ordinary situations within his society to illuminate what people tended to do and how they reacted to conflicts, challenges, and problems. Thus, at least indirectly, we can recognize here a unique opportunity to identify basic situations and conditions that are relevant for our understanding of the history of mentality or the history of emotions, both during the early sixteenth century and, *mutatis mutandis*, in later times when Pauli's stories continued to be popular. Scholars have so far focused on a variety of literary motifs addressed here, but we have not yet explored to what extent we could use his tales as 'historical' or sociological sources.[13]

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[11] For an excellent edition, not ever superseded, see Johannes Pauli, *Schimpf und Ernst*, ed. Johannes Bolte. 2 vols. Alte Erzähler, 2 (Berlin: Herbert Stubenrauch, 1924; reprinted Hildesheim and New York: Georg Olms Verlag, 1972). The second volume contains a list of Pauli's successors and imitators, a list of texts that were added to later editions, a bibliography of the large number of imprints until the nineteenth century, commentaries on the individual tales, especially references to other narratives containing the same motif (not sufficient at all), annotations, and a glossary. To avoid technical errors, I spell out all superscripta that serve in lieu of *umlauts*, such as 'ö' (as oe), 'ä' (as ae), or 'ü' (as ue).

[12] Albrecht Classen, *Deutsche Schwankliteratur des 16. Jahrhunderts: Studien zu Martin Montanus, Hans Wilhelm Kirchhof und Michael Lindener*. Koblenz-Landauer Studien zu Geistes-, Kultur- und Bildungswissenschaften, 4 (Trier: Wissenschaftlicher Verlag Trier, 2009).

[13] Anna Mühlherr, Johannes Pauli," *Deutsche Dichter der frühen Neuzeit (1450–1600): Ihr Leben und Werk*, ed. Stephan Füssel (Berlin: Erich Schmidt, 1993), 125–37; Arlene E. Pearsall, *Johannes Pauli (1450–1520): On the Church and Clergy*. Medieval and Renaissance Series, 11 (Lewiston, Queenston, and Lampeter et al.: Edwin Mellen, 1994); Hans-Jörg Uther, "Pauli, Johannes," *Enzyklopädie des Märchens*, ed. Rolf Wilhelm Brednich. Vol. 10.1 (Berlin and New York: Walter de Gruyter, 2000), 661–70; Seraina Plotke, "Erzählte Wertordnungen: Recht und Gerechtigkeit in Johannes Paulis 'Schimpf und Ernst' (1522)," *Rechtsnovellen: Rhetorik, narrative Strukturen und kulturelle Semantiken des Rechts in Kurzerzählungen des späten Mittelalters und der Frühen Neuzeit*, ed. Pia Claudia Doering and Caroline Emmelius. Philologische Studien und Quellen, 263 (Berlin: Erich Schmidt, 2017), 293–305; Sebastian Coxon, "'Da lacht der babst': zur komischen Erzählmotivik als Mittel der Kohärenzstiftung in Johannes Paulis 'Schimpf und Ernst' (1522)," *Schwanksammlungen im frühneuzeitlichen Medienumbruch: Transformationen eines sequentiellen Erzählparadigmas*, ed. Seraina Plotke and Stefan Seeber. Germanisch-Romanische Monatsschrift, Beiheft 96 (Heidelberg: Universitätsverlag Winter, 2019), 223–41; Caroline Emmelius, "Fallkontexte: Narrativität,

With Pauli, we encounter a writer who was apparently deeply familiar with many aspects of human life, although, or just because he was a Franciscan preacher.

Pauli, to be sure, did not write as a chronicler; he was not interested in historical aspects, as much as those appear throughout his work on a regular basis. Instead, he elaborated many different themes and explored them by means of embedding them into historical contexts. Moreover, Pauli drew from a vast number of classical and medieval themes and motifs and adapted those for his own purposes. At first sight, that might make his tales actually useless for historical investigations. However, at a closer look, we recognize that he commonly examined everyday-life situations which his readers could easily identify with, and this irrespective of the sources he employed. Those are normally combined with references to common situations or relationships typical of that time, as we may assume.

The very first narrative, for instance, examines a conflict between a nobleman and his servants who use his repeated absences to eat and drink whatever they can find, although they would normally not be allowed to do so. A fool among them, however, reveals all their doing to his lord, who tends to inquire with the fool upon his return what the other servants might have done during his absence. Unfortunately for the fool, the servants realize that he is tattling on them, so they brutally whip him one day to teach him a lesson not to betray them to their lord. Subsequently, once the lord has returned from his trip and wants to learn once again what has taken place behind his back while he had been away, the fool no longer talks to him about that and only refers to the scars on his back that tell him never to reveal the truth.

The essential topic here pertains to the question of what constitutes truth, who is willing to tell truth, and what happens when violence enters the picture. At the same time, as we can easily recognize, the poet refers to a common problem in noble households where many servants and maids are hired who happily misuse their lord's property, which he knows about but is unable to prevent from happening. All that he can do is to mock his employees ("Spotzweiß," 7). He knows about their secret doing through his fool, an official entertainer, who appears to be a very simple person who does not fully understand what is going on and why the servants beat him so brutally. However, he innocently reveals the real problem in this world because he identifies 'truth' as the worst thing here on earth. Anyone who would reveal the truth would hence face violent treatment.

The entire first section (tales nos. 1–9) reflects upon the challenges for the truth because people no longer want to hear the truth and prefer illusions and fantasy. As the second narrative indicates – it appears to be more a commentary on the first story – the fool was closer to the truth than all the preachers Pauli knows of. He acrimoniously accuses them all of hiding the truth without having ever received a beating like the fool did in his innocence and simplicity. The preachers try, as the poet emphasizes, to avoid irritating anyone, especially not their superiors ("besunder die Obern," 8). Without being an early 'Protestant,' Pauli certainly added his contribution to a growing anticlericalism, reminding his audience of the bravery and courage demonstrated by

Diskursivität und Kontextualität von Mordfällen in Erzählsammlungen des 16. Jahrhunderts," *Schwanksammlungen im frühneuzeitlichen Medienumbruch: Transformationen eines sequentiellen Erzählparadigmas*, ed. Seraina Plotke and Stefan Seeber. Germanisch-Romanische Monatsschrift, Beiheft 96 (Heidelberg: Universitätsverlag Winter, 2019), 189–222. For a recent biographical and interpretive overview in English, see Albrecht Classen, "Johannes Pauli," *Literary Encyclopedia* (forthcoming).

John the Baptist and later Bishop Ambrosius who spoke out for the truth irrespective of any possible persecutions by King Herold and Emperor Theodosius respectively.[14]

In the third tale, we hear once again of a marginal figure, this time not a fool, but a vagrant and entertainer, "ein Gauckoelman" (8), who cannot find any housing one evening because he has the habit of telling only the truth, which then regularly angers all people. Although a farmer then finds this to be a highly valuable virtue, as soon as the homeless man has told him the truth about the way how he and his wife, along with the cat, all look like, that is, somewhat disfigured in the face because of problems with the eyes, he drives him out of the house. However, in this context, the narrator offers a somewhat different reading, suggesting that people should be careful with telling the truth because it would hurt too many people's sensitivities. Often, it would be better to keep quiet and not to blurt out what one would think about the others. As Pauli then confirms in other tales, such as no. 5, people do not like to hear the truth – it does not find housing (10) – which hence implies that the entire world is determined by falsehood insofar as people serve the "Herren der Falscheit" (10; the lord of untruth).

In social terms, the author does not demonstrate any hesitation to confirm this deeply-troubling insight by telling stories about farmers (no. 5) and noblemen (no. 6), the Roman senate (no. 7), and a farmer's wife (no. 9). As a Franciscan preacher, Pauli was not opposed to addressing universal concerns and people's shortcomings wherever he observed them, so we face here the remarkable situation of an author who aimed for addressing all people among his audience, highlighting a specific sin or weakness as it manifested itself at all social classes.

The second section of tales addresses young women, maids, nuns, but also evil characters. In the tenth story, we are taken to the world of a university where a young man wastes all of his money on women and parties until he is completely impoverished and has to leave. His prostitute cries about that but not because she would miss him; instead, she only regrets that she could not get her hands on his expensive coat with buttons out of silver. The narrator then generalizes this observation and notes that people generally only think of money, and whores pursue their business for no other reason but money (13).

The following story (no. 11), however, presents a highly virtuous young nun whom a nobleman wants to have as his mistress. He is even threatening to burn down the entire monastery with the nuns if the abbess does not turn over that beautiful nun. When the latter inquires with the messengers why the lord is so interested in her, she is told that her eyes are so attractive to him. In order to comply with his request, she has another nun gouge out her eyes and sent those to her admirer. When he finds her eyes in a box that the messenger's hand over to him, he is so deeply ashamed and suddenly filled with God's grace that he changes his entire life. Pauli, however, uses this story to comment on the general decline in morality and virtues among nuns since in present

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[14] See the seminal volume, *Anticlericalism in Late Medieval and Early Modern Europe*, ed. Peter A. Dykema and Heiko A. Oberman. Studies in Medieval and Reformation Thought, 51 (Leiden, New York, and Cologne: Brill, 1993); for literary-historical perspectives, see Birgit Beine, *Der Wolf in der Kutte: Geistliche in den Mären des deutschen Mittelalters*. Braunschweiger Beiträge zur deutschen Sprache und Literatur, 2 (Bielefeld: Verlag für Regionalgeschichte, 1999); Albrecht Classen, "Anticlericalism and Criticism of Clerics in Medieval and Early-Modern German Literature," *Amsterdamer Beiträge zur älteren Germanistik* 72 (2014): 283–306; Cordelia Hess, "A Common Enemy: Late Medieval Anticlericalism Revisited," *Zeitschrift für Religionswissenschaft* 21.1 (2013): 1–20; online at: DOI:10.1515/zfr-2013-0003.

times those cloistered women would not live up to the level of that fictional character, who regained her eyesight through a divine intervention (14).

In the thirteenth tale, a nobleman is wooing a farmer's daughter and wants to bring her to his castle, probably only as his prostitute. When he arrives at the farm, no one seems to be present, but at the end, when he is about to leave, she calls out to him from her hiding place, a barrel, which reveals that she had only pretended to be a virtuous woman and was more than willing to become his mistress. We hear only a few times throughout the Middle Ages and early modern age of a similar situation when a peasant women becomes a lord's wife, such as in Hartmann von Aue's *Der arme Heinrich* (ca. 1190), in Boccaccio's tenth story told on the tenth day in his *Decameron* (ca. 1350) – the famous Griselda – and in the anonymous tale *Dis ist von dem Heselin*.[15] Granted, there is no indication that in Pauli's text the young woman might marry the nobleman, but we are told for sure that she becomes his mistress. In other words, despite the focus on the woman's pretend chastity, which the narrator ridicules, the entire story serves us well to confirm that personal relationships between members of the aristocracy and the rural population certainly existed, even if only in sexual terms.

In a number of tales, the poet discusses various conditions under which young women from the class of burghers get married (nos. 14, 15), or sexual conflicts, such as the charge of rape raised by a maid against her wooer (no. 16). Whereas there, her claim fails because the judge learns that she would have known well how to defend herself under any circumstance, in no. 17, two village women pursue the son of a rich farmer and become pregnant at the same time. They thus try to force him to marry her, but the village judges decide that they had imposed themselves upon him, like whores, which frees the man from any constraint to marry either one of them.

In the fourth section that deals with fools and foolishness, a peasant requests help from a nobleman because he has a garden in which a hare causes him much damage. As a peasant, he was not allowed to carry weapons, so it seems. The nobleman arrives with a number of dogs, tries to catch and kill the hare, but he fails because the little animal gets away. The entire effort, however, causes more damage to the garden than the hare could have done in ten years (22–23). For Pauli, this ordinary situation in a village served as a metaphor of all those people who suffer from envy and are never willing to let it go, although it would be God's obligation to exact justice. The more those people try to avenge themselves, the more they hurt themselves. The narrator includes a common proverb regarding the one who digs a hole for another person to fall into but at the end falls into it himself (23). We can ignore the religious didacticism here and focus on the fact that the preacher refers to an ordinary situation with this farmer who cannot even hunt down a hare in his garden. Pauli hence evokes the option that a nobleman is socially tasked with handling wild animals and to control the damage that they can easily bring about.

Several times we hear of convicts who are about to be executed at the gallows and act foolishly (nos. 27 and 28). In story 29, a fox is sent to his death because it has devoured many geese and

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[15] Albrecht Classen, "Utopian Space in the Countryside: Love and Marriage Between a Knight and a Peasant Girl in Medieval German Literature. Hartmann von Aue's *Der arme Heinrich*, Anonymous, 'Dis ist von dem Heselin,' Walther von der Vogelweide, Oswald von Wolkenstein, and Late-Medieval Popular Poetry," *Rural Space in the Middle Ages and Early Modern Age: The Spatial Turn in Premodern Studies*, ed. Albrecht Classen, with the collaboration of Christopher R. Clason. Fundamentals of Medieval and Early Modern Culture, 9 (Berlin and New York: Walter de Gruyter, 2012), 251–79.

chicken, a practice which would seem absurd to us if historical sources did not confirm that this was actually quite often the case, charging animals in legal terms for damage they had caused.[16]

Even when Pauli draws on a very old story, commonly shared throughout the Middle Ages, to convey a didactic message, we discover opportunities to recognize reflections on ordinary life situations. In story no. 32, for instance, the Romans try to convince the Greeks to provide them with laws and regulations to build their nation. The Greeks, however, first want to test the Romans and send a wise man to dispute with one of them but only with the premise that they resort only to making signs to each other. The Romans, helpless in this situation, choose a fool and dress him up elegantly, assuming that if he would be defeated by the Greek, the latter would have defeated only a fool, no one else; if the fool, however, would win, then the Romans could win over all other peoples (26).

In their dispute, the Greek raises one finger to indicate that there is only one God. The Roman raises two fingers in the assumption that the other man threatened him to poke out one of his eyes. He himself would then poke out both of his opponent's eyes. The Roman also lifts automatically his thumb, which the Greek reads as a sign that there is the Holy Trinity in one God. Next, he lifts his open palm to signal that for God everything would be known. The Roman is afraid that this might mean that the Greek would want to strike his face, so he lifts his fist to threaten the other one with violence. For the wise man from Athens, this can only mean that God has all things hidden in his power and refuses to let people understand any of the divine secrets (27).

Consequently, with the dispute completed, the Greek acknowledges the Roman's wisdom and regards him and his people as worthy enough to receive laws, here meaning, the Bible. The narrator, however, then comments that if the fool had spoken just one word, he would have easily revealed his utter ignorance.[17] While the entire set-up specifically targets the problem of everyday miscommunications, the critical point for us would be that Pauli at the end explicitly criticizes the members of urban city councils (27) for resorting to a similar strategy to deceive the citizens about their actual lack of effectiveness. The essential point, however, prove to be the intricacies of human language that commonly misleads people and defies all efforts to communicate effectively. Whereas the Greek scholar believed firmly in the value of hand gestures, presumably being unmistakable in their meaning, the Roman fool resorted to his primitive understanding of those signals and gave them a very different meaning. Unfortunately, as the author thus indicates, even the holiest and most precious documents – the Bible or laws – would easily get into the hands of unworthy people. The hilarious scene with the two men disputing with each other thus speaks volumes about the difficulties with language itself, a confusing, often ambivalent and obscure medium for communication.

The following tale (no. 33) picks up a similar theme, though here it is a young man who reveals his foolishness when people come up to him after the burial of his father and lament for and with him. His response, however, is always the same, telling them that he wishes them that their father

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[16] Peter Dinzelbacher, *Das fremde Mittelalter: Gottesurteil und Tierprozess*. 2nd, extensively rev. ed. (2006; Darmstadt: wbg Academic, 2020).

[17] This account exists, for example, also in Juan Ruiz's *Libro de buen amor* (ca. 1330/1340). For an online version of the relevant passage, see https://markgredler.com/the-debate-between-a-greek-scholar-and-a-roman-ruffian/ (last accessed on July 9, 2023). For a comparative study, see Laurence De Looze "To Understand Perfectly Is to Misunderstand Completely: 'The Debate in Signs' in France, Iceland, Italy and Spain," *Comparative Literature* 50.2 (Spring, 1998): 136–154. Pauli's case has never been discussed, as far as I can tell.

would also die, and then he would come to their funeral and express his empathy with them (27). The narrator at first provides a brief but important insight about common funeral practices in "etlichen Steten oder Doerffern" (27; many cities and villages). In other words, he is discussing the ritual of expressing one's condolences, as we still tend to do today, of course.

The actual concern here is, however, that people easily reveal their ignorance and stupidity when they open their mouths and utter words. Altogether, the topic addressed here also pertains to communication and its failures in many situations. Pauli, however, is not the only one to address this concern, as we can discover it in countless other medieval and early modern narratives (heroic epics, courtly romances, *fabliaux*, or courtly love poetry).[18] Communication itself has always been of greatest importance in public and private life, so these literary examples serve exceedingly well for the historical analysis of fundamental conflicts and concerns also during the early sixteenth century.[19]

The section about fools or jesters, either mentally challenged individuals or entertainers, consists of a larger number of tales, but one, in particular, deserves to be mentioned here, no. 30, where a fool observes an army moving into the war. Inquiring about what they might be doing in the war, he learns that they would destroy villages and conquer cities, burn grain and soil wine; and worst of all, that they would slay each other. Puzzled about this insane operation, he wonders why they would do all that and learns to his great surprise, "'Das man friden mach'" (31; to make peace). The fool opines that all that would seem rather crazy to him, and he suggests that it would be better to make peace first before the outbreak of war. He regards himself as smarter than all of them because if he had any saying or influence, he would establish peace before all the damage would have occurred: "'nit darnach, so der Schaden geschehen ist'" (31; not after once the harm has been done).

Pauli was not at all the first or the last one to speak up against war, but it seems that scholarship has not yet recognized the value of this story for the overall discourse during the early modern age.[20] He might not have intended to formulate a specific anti-war concept, especially because

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[18] Albrecht Classen, *Verzweiflung und Hoffnung. Die Suche nach der kommunikativen Gemeinschaft in der deutschen Literatur des Mittelalters*. Beihefte zur Mediaevistik, 1 (Frankfurt a. M., Berlin, et al.: Peter Lang, 2002); id., "Communication in the Middle Ages," *Handbook of Medieval Studies: Terms – Methods – Trends*, ed. Albrecht Classen (Berlin and New York: Walter de Gruyter, 2010), vol. 1, 330–43; see also the contributions to *Communication, Translation, and Community in the Middle Ages and Early Modern Period: New Cultural-Historical and Literary Perspectives*, ed. Albrecht Classen. Fundamentals of Medieval and Early Modern Culture, 26 (Berlin and Boston: Walter de Gruyter, 2022).

[19] Charles W. Connell, *Popular Opinion in the Middle Ages: Channeling Public Ideas and Attitudes*. Fundamentals of Medieval and Early Modern Culture, 18 (Berlin and Boston: Walter de Gruyter, 2016). As to theme of communication in Pauli's narratives, see Christiane Witthöft, "An den Grenzen symbolischer Kommunikation: Verstehen und Missverstehen als Thema von gestischen Disputationen," *Grenze und Grenzüberschreitung im Mittelalter: 11. Symposium des Mediävistenverbandes vom 14. bis 17. März 2005 in Frankfurt an der Oder*, ed. Ulrich Knefelkamp and Kristian Bosselmann-Cyran. Symposium des Mediävistenverbandes, 12 (Berlin: Akademie-Verlag, 2007), 295–308.

[20] Ben Lowe, *Imagining Peace: A History of Early English Pacifist Ideas, 1340–1560.* (University Park, PA: Pennsylvania State University Press, 1997). See also the contributions to *War and Peace: Critical Issues in European Societies and Literature, 800–1800*, ed. A. Classen and Nadia Margolis. Fundamentals of Medieval and Early Modern Culture, 8 (Berlin and New York: Walter de Gruyter, 2011); and to *Gewalt, Krieg und Geschlecht im Mittelalter*, ed. Amalie Fößel (Berlin: Peter Lang, 2020); Albrecht Classen, "Poetische Proteste gegen den Krieg: Der Meistersänger Hans Sachs als früher Kriegsgegner im 16. Jahrhundert," *Amsterdamer Beiträge zur älteren Germanistik* 63 (2007): 235–56; id., "The Horrors of War in the History of German Literature: From Heinrich Wittenwiler and Hans Jacob

there is no follow-up, that is, he does not address the topic any further within that section dedicated to fools or jesters. However, this short narrative contributes meaningfully to the overall discourse against the insanity of war, and this in the early sixteenth century.

In another case (no. 44), a nobleman purchases an entire county and travels from village to village to establish his authority. Everyone, submissively, tries to demonstrate their loyalty by means of gifts, which the lord has his scribe's record. They all are pleased with it in the assumption that he wants to remember their generosity for the future. However, the opposite is the case because this prince takes all those gifts as a standard for future payments, or rents, which imposes heavy new 'taxes' on the people. The narrator's criticism of this nobleman's abuse of his privileged position finds vivid terms, which could have had wider implications beyond this text. But in the second part, this lord gets ill with gout and loses the ability to walk. While he is resting in his bed, his jester playfully sets fire to his bed and refuses to extinguish it because he has learned from the people that once a person would have done a favor to the lord, that would become a standard expectation: "'wer dir einmal het geben, der muß es alwegen geben'" (34; whoever has given you something sometime, must always give it to you).

For the author, who drew here from the Book of Wisdom (Old Testament) and from Seneca, the message implies that the one who commits a sin is to suffer for it through the same condition (34). We can also gain more insight into an additional point raised by this story since it directly challenges and criticizes lords who impose too high taxes on their subjects and threaten them in their existence. This topic reappears later in the section dealing

In story no. 46, a lord has a jester whom he likes very much. The latter falls very ill one day, and his master gives him solace, assuring him that he would travel to God together with him. But the fool rejects this premise, insisting that he would like to travel to hell with him since he had always been his companion throughout his life. The lord is rather surprised about this blasphemy, but the fool then points out that all the nobleman's subjects call him an evil man for many different wrongdoings. As such, he would certainly go to hell, and the fool thus wants to accompany him there. His master is deeply troubled by this message, changes his way of life, and turns into a pious and devout man (35).

Again, behind the religious teaching about hypocritical preachers and other liars, which the narrator formulates in his epimythium, the major portion of the tale is determined by specific criticism of the lord because of all kinds of abuse of his dominant position. Pauli did not hold back in commenting on corruption and evil rulers and thus warned the members of the nobility to guard their own virtues and observe their obligations as rulers.

Within the section dealing with fools, Pauli turns his attention to many different social settings, such as the university (no. 50), the Holy See (no. 51; cf. also no. 95), the castle of a nobleman (no. 52), a peasant's farm (no. 53), and a public house in the city where people sing and dance (no. 54). Each time, of course, the poet turns it all around and reflects on the religious message contained in each one of them. Nevertheless, this all confirms that here we encounter a most valuable collection of narratives about a kaleidoscope of social and political settings as they existed in the

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Christoffel von Grimmelshausen to Rainer Maria Remarque. Literary Outcries against Inhumanity from the Fifteenth to the Twentieth Centuries," *Athens Journal of Humanities & Arts* 9.2 (2022): 121–44; https://doi.org/10.30958/ajha.9-2-2.

early sixteenth century. Pauli did not compose his tales for just one type of audience; instead, as a preacher, he obviously intended to reach a most mixed group of listeners, perhaps in public at a market outside of a church. We also notice that he did not pursue harsh and bitter perspectives, and never radically condemns individuals, as much as he ridicules and mocks them for their shortcomings. His stories are, as scholarship has long observed, determined by a sense of humility and modesty since he hoped deeply to reform his listeners through humor and entertainment.[21]

In the fifth section, dedicated to members of monastic orders, a nobleman dislikes an abbot and tries to hurt him by presenting him with three, virtually impossible questions. First, what value he would assign him, where the center of the earth would be, and what the distance would be between good fortune and misfortune. Deeply troubled about those challenges, the abbot walks around in nature and encounters a swineherd who immediately offers his help and offers the best possible answers for the nobleman. He suggests that the latter would be worth 28 ducats because Christ was betrayed for 30, whereas the emperor would be worth 29. The center of the universe would be the monastery; he urges the nobleman to measure this himself. And as to the relationship between fortune and misfortune, he only refers to himself since from one day to the next he has gained the rank of abbot. Only then is the truth about his identity revealed, and the swineherd can hold on to the position of abbot. At the same time, the previous abbot is also treated with respect.

Pauli drew from a well-known motif, as elaborated, for instance, in the famous collection by Herman Bote (?), *Till Eulenspiegel* (first printed in 1510). What matters for us, however, pertains to the fact that the preacher introduces a swineherd and gives him so much credit that he can properly answer those three difficult questions and then is given the privilege of serving as the new abbot. Curiously, the narrator then does not offer any commentary (epimythium), and we are left with a story in which three social dimensions or classes interact with each other. It would seem highly unlikely that a swineherd would actually experience in reality such a meteorical rise to the rank of abbot, but Pauli at least imagined that because intelligence and wit can be found also among the members of the lowest classes. Moreover, the entire tale is predicated on the nobleman's strong antipathy for the abbot whom he would like to victimize and remove from his office.

Otherwise, we often hear about various exchanges and relationships between a cardinal and a monk (no. 56), a knight and his priestly confessor (nos. 57 and 58), a nobleman and an abbot (no. 59), and so forth. Consistently, Pauli raises his voice against moral, social, and economic shortcomings in monasteries and condemns monks or abbots for their wrongdoing. Most prominently, he highlights the problem of corruption which he observes also among the most dignified members who buy their posts with a good bribe (no. 62).

Other clerics who become the target of Pauli's satire are nuns (section VI) and priests (section VII), but then he also addresses people's fear of the devil (section VIII). Even here we observe the great opportunity to identify concrete everyday life conditions, such as in tale no. 81 where a civil clerk walks to a village to collect outstanding debts. The devil joins him on his way, and twice they hear people yelling about something that irritates them, wishing that the devil might take the screaming child or a disobedient swine. While the clerk believes that the devil would hence be

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[21] For a good, compact overview, see Alexander Hildebrand, "Johannes Pauli," *Hauptwerke der deutschen Literatur: Darstellungen und* Interpretationen, ed. Manfred Kluge and Rudolf Radler (Munich: Kindler, 1967), 67–68.

entitled to take each one, he is taught that the opposite is the case. When they arrive at the peasant's farm where the clerk is to ask for the debt, the peasant yells, "das dich der Tueffel holen muoß!" (57; may the devil fetch you). This, however, is meant seriously, and thus the devil is allowed to take the clerk with him into hell.

The narrator does not criticize the economic model and accepts that such clerks have to do their job, but he advises them to bless themselves when they arrive at a debtor's house for self-protection because their work itself would be evil and sinful. Most importantly here, the author explicitly engages with monetary loans and the difficulties for many poor people in paying those back, or paying their taxes. He does not express any surprise that the debtors turn to cussing in harsh terms because they just do not have the funds available to meet the demands. The only warning is that the collectors ought to bless themselves to guard from those aggressive curses (57). However, Pauli does not even consider the possibility that such loans could be forgiven; the financial constraints are there to stay. Indirectly, hence, this story provides us with a good mirror of financial dealings on the lower end of society.

In tale no. 80, however, the narrator becomes much more explicit in his condemnation of evil machinations among those who administer shires for their lords and collect the various types of taxes. One of those clerks and his wife feel strongly that they act in an evil fashion and abandon this task, but soon enough, they miss their previous wealth and take on the same professional responsibilities once again so that they can enjoy good food and a pleasant life.

One day, however, the husband encounters the devil who greets him identifying as a citizen of his own hellish kingdom. This scares him so much that he abandons this job for good. Pauli finally comments that those tax collectors would have to be viewed as wild animals that run through a storage room and kick down all the vessels. They are then followed by smaller animals that also rob and do not leave behind anything but bones. The final analogy then brings everything down to the critical point. The great lords take most of their subjects' properties by means of taxes and with violent means. Those are then followed by the officials who take the remains by means of additional taxes and demanding of gifts, leaving barely the poor people's skin on their legs (62). Finally, as the narrator concludes, those officials who collect the most for their lords are the best liked ones. But, as we are then told, "Das mag kum on Suend sein" (62; That can hardly happen without committing a sin).

It remains uncertain what economic concept Pauli might have had in mind, and how he would envision the proper relationship between the ordinary people and their lords. But there no doubt that he harshly criticizes the entire taxation system and regards the lords and their officials as greedy and sinful animals who commit, through their working, sinful deeds. Of course, he as a preacher viewed material wealth through a religious lens and formulated specific criticism of people's greed, such in the tale no. 178 where a man saves all of his money in a secret compartment in his chapel. He begs God all the time not to let him die until he would have filled that container, which then also happened. After his wife had remarried, the new husband prayed to God not to let him die until he would have consumed all that money, and this then also occurred. Pauli's criticism, however, is directed at those people who always desire what they do not have, while they do not use what they own. He comments: "Es froewt sie nichtz, dan das es da in dem Trog und in dem Schranck ligt" (117; Nothing makes them happy except that what is stored in a vessel or in a cupboard).

The narrator compares those people with a dog resting on a pile of hay who does not eat it and also does not allow the oxen and the other animals consume it. Quoting Petrarch (1304-1375), he concludes that many people simply store their money without doing anything, except that it encumbers their mind and fills it with worries. Most people would invest their money in a sinful and evil fashion, "aber wenig sein, die das Gelt nuetzlich und wol bruchen" (177; but there are only few who use money in a reasonable and laudable fashion).

Pauli calls those people 'greedy' and ridicules them, as in the following story (no. 179) since they would only bear much work to acquire their money by way of hurting other people through taxations and fees. If they lose one penny, they would feel more sorrow about that than they feel joy about 40 ducats kept in a saving box. Similarly, in a tale dealing with usury (no. 201), the narrator points to an old usurer who is about to die and refuses to repent while already on his deathbed. Although his friends urge him intensively to change his heart and mind, he remains adamant and tells them that he would be able to follow their advice only if they would give him a different heart (127).

Turning this topic into a religious one, Pauli next observes that people are caught by the devil by means of worldly goods and greed. People would prove to be even more foolish than fish because the latter cannot see the fishing hook or the line catching it. And once it would be hooked, it desires nothing more but to get free again. People, on the other hand, that is, Christians particularly, know only too well how worrisome it is to acquire illegitimately some goods, or they should know it if they attended mass. They could go to confession and cleanse themselves, but they would not do that either. People would rather hand out some alms than to change their mind and heart (127).

In tale no. 203, a usurer works with a friend shortly before his death so that he would help him to return all the money that he had earned through his financial dealings. This decision is recorded in his last will. Later, the two sons come to that friend and try to bribe him with much money to revoke their father's last will because they want to keep the inherited wealth. The friend refuses to cooperate with them because it would mean the eternal condemnation of all of their souls. As a consequence, one of the sons slays their father's friend (128). The narrator can only comment that the sons would have badly hurt their father's salvation if he had inherited his wealth to them. People would be foolish if they entrusted the well-being of their souls to their surviving family members (128).

The list of other topics addressed by Paul is long and would not need to be discussed at greater length. For instance, he examines the problems of drunkenness (section XXI), gluttony (section XXII), wrath (section XXIII), sloth (section XXIV), death (sections XXV and XXVI), the soul (XXVII), confession and repentance (section XXVIII), etc. Other sections deal with the temptation of those objects that are banned for us (section XXXII), giving of alms (section XXXIII), prayer (section XXXIV), loyal servants (section XXXIX), inn-keepers (section XLII), gamblers (XLIII), sycophants (section XLIV), dancing and playing music (section XLV), organizing good festivals and celebrations (section XLVI), lying (section XLVII), and secrets (section XLVIII). The topic of peace and unity (section XLIX) is directly followed by the topics of prostitutes (section L) and painters (section LI), which altogether does not make much sense, except that the author simply combined whatever narrative material he could cull from different sources, both written and oral.

## CONCLUSION

On the one hand, we might respond to these findings with some disappointment since Pauli obviously cared fairly little about a systematic arrangement of his tales. Even though there are thematic groupings, there is hardly ever a logical continuation from one section to the other. However, his audiences throughout the sixteenth and seventeenth centuries disregarded those issues and responded rather with enthusiasm because *Schimpf und Ernst* offered both entertainment and instruction for virtually everyone, addressing the widest range of topics in human life. Virtues and vices, money issues and prostitution, entertainment and taxation, warfare and festivities, religious concerns and ignorance, communication and political structures find their narrative forums. The title of this volume was well phrased since it combined entertainment and instruction.

From a literary-historical perspective, we can identify this monumental work as a fascinating storehouse of narratives borrowed from classical, medieval, and also early modern sources. From a social-historical angle, Pauli presented most valuable material reflecting a wide range of issues in human life, commenting on taxes, usury, adultery, prostitution, loyalty, wisdom, communication, marriage, foolishness, and fear of the devil. We recognize here a fascinating and valuable gateway into early modern mentality, everyday-life conditions, and the world of emotions as reflected in this vast body of short prose narratives.

Of course, the author ultimately intended to convey religious and moral lessons, especially through the final comments, but many of the tales mirror ordinary situations and illuminate daily conflicts and misunderstandings, character weaknesses and vices.[22] Here we come across valuable contemporary comments about abuse of the taxation system, usury, robbery, violence, gender conflicts, communication issues, and conflicts between the social classes. In this sense, *Schimpf und Ernst* proves to be an important narrative source not only for literary scholars, but also for historians, sociologists, and anthropo

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[22] Literary historians have certainly acknowledged Pauli's great contributions to the genre of *Schwankbücher* (jest narratives), but we can go beyond that perspective and recognize his tales also as valuable sources of social, mental, emotional, ethical, moral, and economic history of the early sixteenth century. See, for instance, Hans Rupprich, *Die deutsche Literatur vom späten Mittelalter bis zum Barock*. 2nd part: *Das Zeitalter der Reformation*. Geschichte der deutschen Literatur von den Anfängen bis zur Gegenwart, 4.2 (Munich: C. H. Beck, 1972), 167–68; Max Wehrli, *Geschichte der deutschen Literatur vom frühen Mittelalter bis zum Ende des 16. Jahrhunderts*. Geschichte der deutschen Literatur von den Anfängen bis zur Gegenwart, 1 (Stuttgart: Philipp Reclam jun., 1980), 1129–31. Recent research has not progressed much at all and continues to highlight moral and ethical issues. Those are certainly omnipresent, but they do not fully determine the true value of Pauli's narratives. See, for instance, Johannes Traulsen, "Virginität und Lebensform," *Legendarisches Erzählen: Optionen und Modelle in Spätantike und Mittelalter*, ed. Julia Weitbrecht, Maximilian Benz, et al. Philologische Studien und Quellen, 273 (Berlin: Erich Schmidt Verlag, 2019), 137–58; Silvan Wagner, "Keimzellen für moralischen Sinn: prägnantes Erzählen in Johannes Paulis 'Schimpf und Ernst'," *Beiträge zur mediävistischen Erzählforschung*, 1, Sonderheft *Brevitas* (Oldenburg: BIS-Verlag der Carl von Ossietzky Universität Oldenburg, 2019), 497–526. For a full appreciation of the literary quality of *Schimpf und Ernst* we have also to comprehend the poet's strong interest in the vast array of concerns in human life at his time.

# Gender Equality and Women in Democratic Politics

Rajbir Saha

**Abstract:**

Gender Equality is a current political issue. Globally, women's political participation lags behind men. The beginning of the 20th century saw a transformation in almost all phases of women's daily activities, from the household to the public sphere. The emergence of a women's association to protest for equal freedom and rights and the ups and downs since modern times. Women are neglected at family, community and society levels and live as an oppressed class. Although women make up almost half of every society, their roles, resources, status and participation in all areas of social life are considered low compared to men. The prevailing system of male dominance in society creates gender inequality, discrimination, exploitation of women, it is against human rights. The political participation of women is considered a fundamental element of building equality between women and men and the development of democracy. This work basically aims to study how women's political participation can contribute to the creation of gender equality, that political participation is one of the solutions to establish gender equality in the global world.

*Keywords: Gender equality, politics, democracy, women.*

## INTRODUCTION

India is a democratic country. Democracy is the ideology of the Indian political system based on representative government, people's participation in politics. Gender equality is a hallmark of democracy. Gender refers to social and cultural differences between men and women. It is used to indicate differences, discrimination, inequality and oppression that characterize society due to the presence of religious, cultural and social customs, traditions and values. Gender difference and discrimination is a product of man-made and male-dominated society. Unlike such discrimination against women is unreasonably harmful, senseless and wrong. This is a crime and therefore must be eradicated through political participation. Political participation is another democratic concept. Political participation can be defined as the activities of citizens that influence politics. Empowerment of women and gender equality in society, as well as their political participation, is integral to accelerating the process of national development. UN Sustainable Development Goal five promotes gender equality. This goal guarantees women's full and effective participation and equal opportunities for leadership at all levels of political decision-making. Realizing women's right to vote is a necessary step towards achieving global gender equality and democratic governance. Furthermore, gender equality is very important for a peaceful, harmonious and sustainable world. The Constitution of India guarantees equality, liberty and the right to vote in its preamble in Part III of the Constitution. Women have the right to vote in elections, be elected to public office, serve on boards of directors, and speak out in all ways that will ultimately affect them, their families, and their communities. Participation in the electoral process is not only about the right to vote, but also about representation, political activism, political awareness and much more. Voting empowers women to analyze, organize and mobilize for

social change. Niti Aayog, the policy arm of the Indian government, has created the Sustainable Development Goals (SDG) Index, which assesses the performance of all Indian countries in achieving the Sustainable Development Goals. This is related to the equal status of women, ensuring equal opportunities and freedom for their development. Empowerment of women means an increased role in decision making. A few decades ago, women rarely had a voice. But fortunately, the scenario is changing now and women are participating in elections in large numbers. This is the emergence of a stable and just society. However, it should be understood that women's problems, demands and political aspirations are different from men.

## Objectives of the study
1. To analyze the political participation of women to increase gender equality.
2. To study the causes of non-participation of women in politics.

## RESEARCH METHODOLOGY
The methodology adopted in the preparation of this paper is analytical in nature. In this present task primary and secondary sources of data have used. The primary sources are books and secondary sources are creative writings and relevant materials are collected from various articles, journals and book which are pertinent to study important.

## ANALYSIS AND DISCUSSION
### Political Participation
Political participation refers to an individual's participation in the political process. Political participation means sharing power, decision-making and policy-making at all levels of the national government, more than exercising the right to vote. It allows people to fully participate in politics. There are different types of women's political participation, which include:

Voting, working with election campaigns and organizations, working with government departments, participating in protests and demonstrations, working informally with others to solve community problems, Training and leadership programs, Representatives of heads of state, Members of parliament, Members of legislatures and Panchayats.

### Achieving Gender Equality
Gender, the difference between men and women, is innate as a creation of Almighty God and is a form of culture that must be nurtured and socialized to a wider society since the beginning of time. This is why the distinction between gender roles is so important and helps to rethink the division of roles that people have in order to create a more dynamic and effective gender reality in society. He was born into different roles, duties and responsibilities in everyday life. Sexual difference is no longer a reason for women to work in politics. The mindset and culture of society that ignores the presence of women needs to be renewed. Political participation for women can start as small as encouraging government programs. Gender functions as a sociocultural construct, where gender represents the difference between men and women that exist in biology and social culture, and we can distinguish between men and women as social beings. Thus, gender can be defined as the concept of difference between men and women, or people's understanding of the differences in roles and responsibilities performed by men and women. The process of political education must take into account the concept of gender equality at the national and international levels, gender equality is very important, but there are often many problems that stand in the way. Most female cadres in political parties do not participate fully. In addition, women are nominated as candidates or regional candidates in the elections. Many countries like

Indonesia have political dynamics. Gender, what has happened so far is political discrimination against women in the world of democratic life and politics.

## Significance of Gender Equality

Gender equality is intrinsically related to sustainable development and is essential to the belief of human rights for all. The gender equality is very critical to achieve the aim of women empowerment. The general goal of gender equality is a society in which males and females enjoy the identical opportunities, rights and responsibilities in all spheres of lifestyles. Equality between men and women exists when each sexes are capable of proportion similarly in the distribution of energy and affect; have same possibilities for financial independence through work or through setting up groups; experience same get entry to to training and the possibility to broaden private objectives, interests and capabilities; share obligation for the home and children and are completely free from coercion, intimidation and gender-primarily based violence both at work and at home. In context of population and development programmes, gender equality is critical as it will allow males and females to make choices that impact more positively on their very own sexual and reproductive health in addition to that of their spouses and families. selection-making with regard to such issues as age at marriage, timing of births, use of birth control and recourse to harmful practices stands to be advanced with the fulfillment of gender equality. The fulfillment of gender equality implies changes for both women and men. More equitable relationships will need to be based totally on a redefinition of the rights and duties of women and men in all spheres of life, along with the own family, the administrative center and the society, at big. It is consequently essential not to overlook gender as an aspect of men's social identification. This reality is, certainly, frequently not noted, due to the fact the tendency is to take into account male characteristics and attributes because the norm, and people of women as a version of the norm.

However, the lives of males are simply as strongly motivated by way of gender as those of ladies. Societal norms and practices about "masculinity" and expectations of fellows as leaders, husbands or sons create demands on men and form their behaviour. Males are too often predicted to pay attention at the cloth wishes in their households, as opposed to at the nurturing and being concerned roles assigned to females. Socialization inside the family and later in faculties promotes danger-taking behaviour among young guys, and this is regularly bolstered via peer strain and media stereotypes. So, the existence that men roles call for frequently result in their being extra uncovered to extra dangers of morbidity and mortality than women. These risks include ones relating to injuries, violence and alcohol consumption. But it is crucial to well known that wherein gender inequality exists, it's far normally females. Whom are excluded or deprived in relation to choice-making and access to monetary and social assets? Consequently, an essential thing of gender equality is the empowerment of ladies, with a focal point on figuring out and redressing energy imbalances and giving women more autonomy to control their own lives. The adoption of a gender attitude is a first important step; it exhibits that there are hazards and prices to men accruing from styles of gender distinction. It also underscores that gender equality is concerned no longer simplest with the roles, responsibilities and wishes of women and men, but also with the interrelationships among them.

## Political Participation of Women in India

In a democratic country like India, men and women have equal rights to participate fully in all aspects of the political process. In practice, it is often difficult for women to exercise this right. The Government of India Act of 1935 gave all women the right to vote unconditionally. In 1950, the Indian constitution gave all political and legal rights to women. There are several laws,

ordinances and amendments that help women get equal political representation in the country. Under the 73rd Amendment Act, 33% seats in the panchayat raj system are reserved for women. It is an important step at the grassroots level for women's decision-making and political participation. This amendment was made to improve the status of women, especially at the village level, thus empowering women in politics. Several important laws have been passed to protect the interests of women. The fundamental rights and directive principles of our Constitution have provided comprehensive guarantees to women. Equality is a fundamental right for Indian citizens against any discrimination in the conduct of public affairs between men and women. UNDP supports women's opportunities and skills to exercise their political rights and participate in decision-making.

**Participation of Women in Political Process**

## Table 1: Representation of women in Lok Sabha

| Year | Total seats | Women Elected | |
|---|---|---|---|
| | | No. | %age |
| 1952 | 489 | 22 | 4.4 |
| 1957 | 494 | 27 | 5.4 |
| 1962 | 494 | 34 | 6.7 |
| 1967 | 523 | 31 | 5.9 |
| 1971 | 521 | 22 | 4.2 |
| 1977 | 544 | 19 | 3.4 |
| 1980 | 544 | 28 | 5.1 |
| 1984 | 544 | 44 | 8.1 |
| 1989 | 529 | 28 | 5.3 |
| 1991 | 509 | 36 | 7.0 |
| 1996 | 541 | 40 | 7.4 |
| 1998 | 545 | 44 | 8.0 |
| 1999 | 543 | 48 | 8.8 |
| 2004 | 543 | 45 | 8.1 |
| 2009 | 543 | 59 | 10.9 |
| 2014 | 543 | 66 | 12.5 |
| 2019 | 543 | 79 | 14.4 |
| **Average** | **528.94** | **39.52** | **7.38** |

Source: Rai, 2011; rao, 2020

## Table 2: Representation of women in Rajya Sabha

| Year | Total seats | No. of women | % of women |
|---|---|---|---|
| 1952 | 219 | 116 | 7.3 |
| 1957 | 237 | 18 | 7.6 |
| 1962 | 238 | 18 | 7.6 |
| 1967 | 240 | 20 | 8.3 |
| 1971 | 243 | 17 | 7.0 |
| 1977 | 244 | 25 | 10.2 |
| 1980 | 244 | 24 | 9.8 |
| 1985 | 244 | 28 | 11.4 |
| 1990 | 245 | 38 | 15.5 |
| 1996 | 223 | 19 | 9.0 |
| 1998 | 223 | 19 | 8.6 |
| 2004 | 245 | 27 | 11.1 |

| 2009 | 245 | 22 | 8.97 |
| 2014 | 245 | 29 | 11.83 |
| **Average** | **238.21** | **22.92** | **9.62** |

Source: Census of India 2011

*Interpretation:*

From the above two table, it can be further analyzed that India is far behind in achieving gender equality, especially a term of representation of women in political decision making, among others. Representation of women in executive government and parliament is extremely low in India both in absolute numbers as well as globally. Between, first Lok Sabha (1952) and the sixteenth Lok Sabha (2019) women representation have increased from 4.4% to 14.4%. Similar trend of low representation of women is also observed in the Rajya Sabha (upper house) during the entire period of post-independence era. Women's representation in Rajya Sabha have increased from 7.3% in 1952 to 11.83% in 2014.

**Barriers for Non-Participation of Women in Politics of India**

*Illiteracy:*

One of the main obstacles to the presence of women in politics. India is the country with the largest illiterate population. Illiteracy limits women's ability to understand political systems and issues. Because of their illiteracy, many women are sometimes removed from the voter list and cannot exercise their political rights.

*Poverty:*

Another obstacle that has led to the decline of women's political participation in India. 70% of India's population is made up of women, most of them live below the poverty line. They have fewer job opportunities and receive lower salaries than men. They have no decision-making role in the family or politics. The institution of marriage is another obstacle that leads to the decline of women's political participation in India. After a woman gets married, all her political decisions are controlled by her family. After marriage, women have little opportunity to run for office or participate in political campaigns.

*Discrimination:*

Although the Indian constitution eliminates gender and gender inequality, discrimination remains a widespread barrier to women's political participation. The burden of domestic responsibilities is the main reason why most Indian women do not participate in politics. Unlike men, women have fewer opportunities to participate in organizations to acquire leadership skills. The Indian government reserves seats for Dalits and Scheduled Castes, but women face discrimination and harassment as elected officials.

*Lack of Awareness of Women:*

Female are not aware of their rights charter gives same rights for women and men. As residents, they are able to exercise their right to vote. They could emerge as political leaders and make political selections through them. However, most women are not aware of their rights. Arranged marriage could be a reason for low participation of women in India. Once a woman gets married, all her political decisions are managed by way of the own family. Women do now not have time to participate in elections or take part in celebration campaigns.

*Religious Barriers:*

India is a nation geared up with many religions. Every faith has its own one of kind beliefs. Non secular is the primary reason for gender discrimination, because of the patriarchal gadget within the society, the gap of gender discrimination among men and women has arisen. Women are underestimated. Men consider that women must live inside the boundary of the house, because of non-secular reasons, girls ought to face gender discrimination and they are not able to enter politics.

*Social Cause:*

The famous truth seeker Aristotle says that a person who's a social animal and who does now not live consistent with the guidelines of society is either a deity or an animal. The society has been looking to impose diverse sorts of restrictions on women inclusive of exercise, child marriage, widow life, maid service, dynasty tradition, estranged wealth, and illiteracy are a number of the vital elements that save you the participation of girls in politics. And promote gender discrimination.

*Commercial Constraints:*

It is no wonder that the work of women and men has been specific due to the fact historical times because of the gender differences regular in society. Women ought to depend upon a person of the own family for financial assist, due to which they may be disenchanted in taking selections of each type, huge and small. Because of being economically susceptible, even these days women are not allowed to enter politics, while men are capable to take decisions of their own, because of which men are higher and women proportion are less in Indian politics. Gender-based totally discrimination is full-size in India. Here, from delivery to dying, from education to employment, from family to political degree, gender inequality is visible anywhere. On the level of social and political, perpetuating discrimination play a massive and primary role among both genders. Recently the World Economic Forum (WEF) has released the Global Gender Gap Report - 2020 based on the data of 153 countries. In this annual report, India ranked 112 with a 91/100 sex ratio. India has lost four ranks in the case of gender inequality compared to the year 2018. From this rank, we can clearly guess how strong and deep the roots of lagging discrimination are in our country. Some of the main points are outlined below -

*Health and Survival:*

According to the report, the performance of India (150th place) in the field of health and survival is very poor, so it is worrisome.

*Education Opportunity:*

Education is also a critical factor in gender discrimination. in step with the Indian census conducted in 2011, male literacy in India is 78.26 percentage and woman literacy is 65.46 percent. in keeping with the record given by way of the sector monetary discussion board, India ranks 112th inside the global in phrases of the supply of tutorial possibilities for women.

*Economic Partnership and Choices:*

The Equal Remuneration Act, 1976 has been enacted in India to eliminate gender discrimination in the employment region, however even after the regulation comes into pressure, the depths of gender discrimination inside the employment zone in India can be definitely measured. According to WEF statistics, the position of women in the economic sector in different countries in terms of

opportunities is as follows - India (35.4%), Pakistan (32.7%), Yemen (27.3%), Syria (24.9%) and Iraq (22.7 %).

## Gender Equality can be Convention of Discrimination of Women

The conference defines discrimination in opposition to girls as "any difference, exclusion or restrict made on the idea of sex which has the impact or purpose of impairing or nullifying the recognition, enjoyment or workout by using girls, no matter their marital popularity, on a foundation of equality of women and men, of human rights and essential freedoms in the political, financial, social, cultural, civil or every other area. Such situation ends in women empowerment. Through accepting the conference, States dedicate themselves to adopt a series of measures to stop discrimination towards girls in all forms, consisting of: to comprise the principle of equality of women and men in their felony device, abolish all discriminatory legal guidelines and adopt appropriate ones prohibiting discrimination against women; to set up tribunals and different public institutions to make certain the powerful safety of girls in opposition to discrimination; and to ensure elimination of all acts of discrimination against women through people, agencies or corporations. The convention affords the basis for figuring out equality between women and men through making sure women's equal access to, and equal possibilities in, political and public lifestyles consisting of the proper to vote and to stand for election as well as training, health and employment. States events conform to take all suitable measures, which include law and temporary special measures, in order that women can enjoy all their human rights and essential freedoms. The convention is the simplest human rights treaty which affirms the reproductive rights of girls and objectives culture and lifestyle as influential forces shaping gender roles and family family members. It affirms girls's rights to accumulate, trade or hold their nationality and the nationality of their children. States events also comply with take suitable measures against all kinds of site visitors in women and exploitation of women. Nations that have ratified or acceded to the convention are legally bound to position its provisions into exercise. They are also devoted to publish national reports, at the least every four years, on measures they have got taken to comply with their treaty duties.

## Ways to Solve the Barriers

### *Voting Rights:*

Voting is one of the most important acts of political participation. Although women make up half of the country's population, they are not given the same attention. More awareness programs should be created to encourage women to vote. Whether it's a man's or a woman's vote, all voters have equal weight. Women should have the right to be elected and hold high positions in the public sector. There is no discrimination on the basis of type of employment in the Services.

### *Training and Leadership Programmes for Women:*

Various training and leadership programs prepare women for political work and develop their political skills. Education helps women make public decisions, and they become public speakers, confident and politicians with leadership skills. In 2021, with the support of UNDP, the newly elected women representatives can walk together.

### *Government Initiatives to Eradicate Gender Inequality:*

NGOs/Governments can take initiatives to arrange various awareness applications on gender equality. There are numerous plans via the government that may sell gender equality. National coverage of women empowerment 2001, Vocational schooling for females, Beti Bachao Beti padao are desirable examples.

### *Education:*

Education is a vital tool for developing gender equality. Human rights education in faculties and universities is one of the simplest and most crucial solutions to put off gender inequality. The role of education in promoting gender equality, training, gender and improvement is a part of the talk on gender equality and ladies's empowerment, which recognizes the principal function of schooling. The fine consequences of education encompass advanced maternal fitness, decrease little one mortality and beginning rates, and possibilities for women.

## CONCLUSIONS

In modern times, there is a lot of interest in studying gender equality. This is one of the relevant political issues. Despite the fact that women constitute almost half of every society, their role, position and participation in all areas of life is unequal and insufficient. The above studies seek to find causes and solutions for gender inequality. Women's participation in politics can be a tool or a means to create gender equality. It could be seen clearly from the above discussion that gender equality is very essential to achieve the goal of women empowerment. It is observed that women in India have been subjected to various types of discrimination and disabilities towards enjoyment of benefits of development consequent upon disempowerment. Hence the empowerment of women could be possible through attainment of gender equality.

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# The Other World: The Religious and Gender Dimensions in Afghanistan According to the International Media

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**Abstract:**

15 August 2021 was the key moment to understand the political and socio-cultural changes of the new Afghan crisis. Specifically, the investigation set out to study the spaces and contents related to the narratives of Afghan women and women journalists within the major international newspapers, firstly considering two very specific phases: 1) the end of the 'US military campaign'; 2) the beginning of the new Taliban government, which envisages the re-establishment of a dark past for human and civil rights narrated by the media. Although this investigation is mainly exploratory in nature, the research questions from which it starts are probably not intended to lead to a discovery, but rather to validate a hypothesis, which rests on a ground of empirical media and sociological observations.

*Keywords: media, human rights, women, Afghanistan.*

## INTRODUCTION

On August 15, 2021, the Taliban entered Kabul and quickly completed the recapture of the country. Control of the "new" Afghanistan was laid bare to the rest of the world with images of Islamic fighters inside the government building broadcast by *Al Jazeera*, while the president, Ashraf Ghani, had already left the country for a few hours to go to Uzbekistan.

At the first press conference, the leaders of the future Taliban government first *made it* clear that they would respect women's rights and forgive those who had resisted them in the past [1]. On various public occasions, then, through the words of spokesperson Zabihullah Mujahid, it was stressed how the "question of women in Afghanistan" would be an important point of the future political project and that the Islamic Emirate would be committed to their rights under Sharia [2]. Another interesting aspect were also the words addressed to the local media, presented as "independent and impartial", in line with Islamic values, free to " criticize" the country's political institutions [3].

However, the apparent openness to the press soon turned out to be a short-lived facade. In the first place, with the start of the new Taliban government, the figure of women has once again been limited to the stereotype of wife and mother, while freedom of the press has begun to clash with radical Islamic thought.

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[1] See www.vanityfair.it/news/cronache/2021/08/18/talebani-prima-conferenza-stampa-rispetteremo-donne-islam-sharia

[2] In this sense, it should be remembered that the Sharia it is not a written, codified and uniform code for the entire Muslim world. It is a set of customs, uses, religious and moral norms that can inspire both the faithful in their personal lives and a community or a state. Sharia is based on two main sources, the Qur'an and the Sunna. But, in the Qur'an, only 80 verses out of more than 6,000 contain legal obligations. The rest of the Sharia rules are the result of analyzes and evaluations that can they vary from one region to another ( Pepicelli , 2010; Coviello , 2021). An example above all, there is no single rule on the use of the veil and on the clothing of women.

[3] Ibid

The work presented here focuses on the political-social analysis on the one hand, and media-cultural analysis on the other, of Afghanistan, an example of a country in the process of "demodernization" where human rights have been won with effort in the last twenty years. They have been erased in a few weeks amid violence, information disorder, and geopolitical changes still in progress (Minakov, 2022).

Moving at a theoretical and empirical level, from the study of integrated open sources to the use of the social *content analysis methodology*, the research highlighted the main journalistic narratives that emerged between August 15 and September 30, 2021 at the international level. . The objective was to investigate the role of Afghan women and journalists within the current crisis situation and especially the representation of the latter in the information ecosystem, taking into account the situation of serious social and economic instability in the country, where each time Furthermore, it is evident how the processes of modernization and demodernization interact, generating unexpected political, social, and technological transformations that, however, never seem to fully merge.

## "JOURNALISM TRIALS" IN AFGHANISTAN

Afghanistan is considered one of the most dangerous places in the world for journalists.
On the occasion of the recent publication entitled *Special Report: Murders of Human Rights Defenders, Journalists and Media Workers in Afghanistan (2018-2021)* , Deborah Lyons , Special Representative of the United Nations Secretary-General for Afghanistan, has underlined in repeatedly how the Afghan people deserved to live in a civic space where people could think, write and express their opinions openly, without fear.

Even recent data, published by *Reporters Without Borders*, shows that at least 85 local reporters have been killed or taken hostage in the last 20 years [4]. Despite the low level of security, since the first months of 2000 an interesting network of independent journalism has developed, well established in Afghan territory, but little known abroad [5].

However, it is as of September 12, 2020, start date of negotiations of peace in Afghanistan [6], that attacks against media operators, as well as representatives of local legal, health and religious institutions have increased again.

This event, with its important critical issues, had a strong psychosocial impact on the society civil. Many of the defenders its defenders and media workers even then they began to quietly leave Afghanistan, leading to a decline in public confidence and hope in the efforts made to achieve their peace. Information professionals have always been exposed to a series of daily risks such as

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[4] Https://Rsf.Org/En/Afghanistan
[5] It Is Important To Highlight How, In General, The Internal Affairs Of The Country, Linked To Economic Or Political-Military Issues, Have Never Been In The First Place Of The Interests Of The Different Western Institutions Before This New Rise To Power Of The Taliban, Except In Cases Of Kamikaze Attacks Or Violent Riots (Collins 2008; Silverstone 2009, Lombardi 2016; Ajsc 2016).
[6] On September 12, 2020, The Intra-Afghan Talks, The First Peace Talks Between Representatives Of The Kabul Government And The Taliban, To End 19 Years Of War, Opened In Doha . A Necessary Process, Although Bumpy And With No Guarantee Of Success That Has In Fact Led To 11 Murders, Among Defenders Of Rights Humans Y Journalists (Unama, 2021) . The Occasion Was In Any Case Historic: The Two Main Actors In The Conflict -The Government And The Taliban- Sat At The Same Negotiating Table, For The First Time Directly And Formally And Without Mediators, As Happened Instead In 1988. Peace Conferences In Geneva And In 2001 In Bonn. But The Obstacles To A Balanced Division Of Power And A Political Solution To The Conflict Have Always Seemed Difficult Results To Achieve.

threats, intimidation, harassment, surveillance, detention arbitrary. On years we have repeatedly attended a series of attacks against journalists, with the clear objective of silencing them through the use of artillery explosives improvise (EDI) .

Specifically, only in 2020 we witnessed: the discovery of the body of Safar Muhammad Atal (radio host Samoon ), al. detonation of a FDI responsible for the death of Khurshid TV reporter Mir Wahid Shah " Zamir " Amiri , before the murders in city of jalalabad of the reporter- _activist by the Rights of women, Malalai Maiwand and finally, in city of Ghazni , by Ghazni Journalists Association President Rahmatullah Nekzad .

Therefore, the long-awaited opening of peace negotiations has not produced the (desired) diminish of violence. On the contrary, there seems to be marked a significant increase in social insecurity among the civilian population and what were extraordinary narratives of acts of violence have become ordinary stories in which " you die, there is a tweet, and people move on" (NYT, January 2, 2021) [7].

After the recent takeover of Kabul by the Taliban, very few journalists are continuing their work, many others, in fact, have tried to leave the country fearing for their safety.

As for the figure of women, the issue is even more complex; even more so if your profession is linked to the narration of reality through the media.

Since the 1950s, despite having been the center of interest of the United Nations and the UN at a supranational level, Afghan citizens have always been strongly influenced by traditions, prejudices, the different ways in which legislative and culturally individual countries have conceived them ( Lanzelotto , 2019). After September 11, 2001, freedom of expression has been one of the most important and cherished achievements for women (and) journalists in Afghanistan. The "Muslim public sphere" seemed to have allowed the arena to level, relocating and deconstructing masculine centers of power ( Eickelman , Salvatore 2002; Pepicelli 2018). Despite discrimination and some hesitation, many women had somehow begun to fight for the "right to choose." Choose, for example, to study, uncover your eyes and give voice to your thoughts. Many young women, after studying at the University, had tried to approach a career in journalism, defending freedom of expression and women's rights also through the sounding board of local-digital media (De Poli, 2007; Pendezza , 2021; Grimaldi, 2021).

The tremendous growth of independent media in Afghanistan over the past decade has provided employment opportunities for large numbers of women journalists and other information workers in the country. However, this growth has faced many difficulties, including the challenging integration into the work environment that journalists have had to deal with.

In Afghanistan's traditional, patriarchal society from 1992 to 2001, being born female meant the absence of social opportunities and rigid barriers to beginning any professional career. In addition to being a difficult country from a political and cultural point of view, Afghanistan is, as mentioned, also among the places where it is quite risky to be a journalist. Since 2009, the AJS *Afghan Journalists Safety Committee* has recorded dozens of incidents of violence each year

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[7]https://www.nytimes.com/2021/01/02/world/asia/afghanistan-targeted-killings.html

against mostly local women journalists, who all too often carry out their work in conditions and contexts of gender discrimination and hostility.

Despite this, in recent years, women have not been inhibited by the context, on the contrary, they have been able to take advantage of the opportunity of "twenty years in the process of modernization" to train and try to overcome the obstacles that separated them of a journalistic career.

The definitive return of the Taliban has thus erased twenty years of important achievements in the emancipation of committed women in the world and in the local journalistic sector.

A recent survey by *Reporters Without Borders (RSF) and the Afghan Association of Independent Journalists (AIJA)* reveals that since the capture of Kabul, more than 40% of the media have been shut down, weakening the market and censoring it ( Euronews , 2021 ) . With the Taliban takeover, TV shows and entertainment shows are being reorganized in line with radical Islamic thought, putting 84% of media workers out of work.

After the abolition of the Ministry for Women, the Ministry for the Promotion of Virtue and Prevention of Vice was reestablished, assisted by a "moral" police which, in reality, not only sanctions all inappropriate conduct and immoral acts, but returns to spreading a representation of women relegated to "wife and mother" making her progressively disappear from the local media public sphere (Buoncompagni 2021; 2022; Cesare 2021; Giordana , 2021).

## METHODOLOGICAL NOTE

The study takes place between August 15 and September 30, 2021.

This period of time, although apparently short, represents the fundamental moment to understand the political and sociocultural changes of the new Afghan crisis. Specifically, the survey aimed to study the spaces and contents related to the narration of Afghan women and journalists within the main international newspapers, considering in the first place two very specific phases: 1) the end of the "US military campaign"; 2) the beginning of the new Taliban government, which includes the restoration of a dark past for human and civil rights narrated by the media.

Although the present investigation is predominantly exploratory in nature, the research questions from which it starts are probably not intended to lead to a discovery, but rather to validate a hypothesis, which rests on a ground of empirical observations.

Specifically, the analysis revolves around two issues: first, understanding how the main Western media publicly narrated the crisis after the establishment of the Taliban government in Afghanistan; second, how the voices of Afghan women and women journalists were reported within the news space.

For this, the research was carried out through two integrated phases: a preliminary study of the sociological and political science literature alternating with journalistic material (specific reports and podcasts on the subject) and a subsequent content analysis in which analyzed the content of

journalistic texts. analyzed, following the structure of the discourse (discursive *structures)* and the "position" of the newspaper with respect to the research topic (positioning*)* [8].

The newspapers were manually selected [9]through a search-analysis of 2,181 relevant press articles (out of 7,000 initially identified) present in the digital archives of the *New York Times, The Guardian, Le Monde* and *Il Corriere della Sera* , newspapers from the countries that he actively participated in the mission in Afghanistan after September 11, 2001 and organized the withdrawal of military and civilians during the reference period, thus having had a "privileged perspective" to publicly recount the crisis [10].

We then proceeded to a first chronic review of the events that occurred in Afghanistan and a subsequent mapping of the journalistic story within the identified period, through the use of three *main keywords: " Afghanistan"; "Afghan women; "Afghan journalists "* [11]then identifying two thematic macro-areas, according to the classification criteria of traditional journalistic news (hard *and soft news).*

## AFGHAN N: THE POINT OF VIEW OF THE WESTERN MEDIA

In the weeks that are taken as a reference, there are many local and international facts and news, of a political and social nature, communicated by the media around the world, through multiple channels and languages. Global media attention appears to have grown exponentially, in parallel with the growing complexity of the Afghan crisis.

Therefore, it is evident the difficulty, from a methodological point of view, of collecting, categorizing and analyzing a significant amount of information communicated directly by the different newspapers.

a fairly common *agenda setting (McCombs, Shaw 1972)* from the early stages of research , whose main postulate is *prominence transfer* , that is, making the news stand out from the rest, by transferring one or more topics from a private agenda to a public one of the highest general interest.

It was possible to summarize this agenda by identifying among the collected data two macro-themes with reference to two specific time periods, which we will go on to illustrate in the following subparagraphs: - international- *military politics (Hard Political News)* - August 15-31, 2021; - *Human Rights Voices and Public Celebrities (Hard Social News)* – September 1-30, 2021.

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[8]Content analysis, in this specific case, becomes a particularly promising heuristic tool to reconstruct the main interpretative frameworks (frames*)* of a specific topic, communication strategies and recurring forms of public narrative in the mediated public sphere (McCombs, Shaw 1972; Tipaldo 2014).

[9]The decision to carry out an onerous manual selection work, and not through software, is due to the different infographics and technical structure of the digital archives/sites of the newspapers. These differences did not allow the collection and selection of material pertinent to the study, making it difficult, at the same time, to read the contents.

[10]The selection of the newspapers has been made by consulting a series of recent rankings that indicate the aforementioned newspapers among those of reference (by history and copies sold) and that refer to the countries of the United States, Great Britain, France, Italy).

[11]The search by keywords was carried out in English, French and Italian, according to the country of origin of the only newspaper considered.

This categorization has also been suggested taking as a model some specific criteria of "newsworthiness" (Brooks 1992; Lepri 2005; Sorrentino 2007). In particular:

- time and actuality of the event: this criterion takes into account the immediacy in time of an event or its novelty;
- (public) relevance of the protagonists: refers to the attention and visibility of the subjects involved in a specific event, their belonging to "social elites" and institutional hierarchies;
- the public interest: that is, the degree of interest in that fact and the consequent level of commitment. This can happen both from a practical and quantitative point of view, as well as from a human and emotional point of view (compassion, solidarity, personalization);
- physical proximity. The involvement of a geographically (and politically) close place [12], in the face of a great and unexpected crisis that is narrated, according to the "cynical" rules of journalism, augurs that it will make more news.

**International Politics - Military**
The first identified macro-category places the political and military issues discussed in the media at the center of journalistic communication, leaving the issue of women (and) journalists in Afghanistan very clearly to one side. More precisely, the tendency of each newspaper is to describe, according to a very nationalist perspective, the mistakes of its local government and the related geopolitical and economic effects, in relation to the rise of the Taliban government and the strategies introduced in twenty years of conflict by of the international community.

In this logic, the true criticalities of the introduced military policies and strategies were highlighted, without for this reason silencing the "strengths" and levels of risk, thus contributing to subtract ground from the two most luxurious rhetorical attitudes in the tradition of the allies: the defeatist on the one hand, and the generically and faithfully exalting, on the other.

As also reported in *table 1, the keyword* research allowed us to identify five dominant subcategories within this narrative line in the virtual pages of newspapers. The first refers to the main *media event* that initiates the entire information flow, still ongoing, regarding the Afghan crisis: the seizure of Kabul by the Taliban on August 15, 2021. An event that occupies an important space in all the newspapers. analyzed. But it is within the Corriere della Sera (48%) and the British newspaper The Guardian (39%) where we registered the greatest attention to the issue.

Another dominant theme concerns the failure of US military policy and the related conflicts that have arisen between the US government and the international community. At this point, it is important to note that journalists often tend to create a narrative that always and, in all cases, starts from the figure of US President Joe Biden and then describes individual conflicting relationships/reactions within their own country of reference [13].

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[12] The concepts of closeness and distance are relative, but still have a strong psychological relevance.

[13] In 2018, it was former President Donald Trump who began the new negotiations with the Taliban that ended on February 29, 2020 with the signing of an agreement that provided for , among other things, the total withdrawal of the 12,000 US troops still present in Afghanistan. territory by May 1, 2021. In return, the Taliban would have had to cut all ties with terrorist groups, including al Qaeda. Plans changed again with the arrival of the new administration headed by Democrat Joe Biden , who on April 14, 2021 postponed the deadline by which the US should have withdrawn from Afghanistan: September 11, the symbolic anniversary of the attack on the World Trade Center. Center. Later, at the beginning of July of the same year, Biden announced that US operations in Afghanistan would end on August 31. Therefore, the new president followed the path traced by his predecessor, although changing the

On this occasion, it is the Anglo-Saxon and French information spaces that register significant figures, with 30% in the pages of Le Monde, 27% in The Guardian and 24% in the New York Times. While the United States evacuated the first 3,200 civilians, the European Union was preparing to receive the first refugees, registering strong discontent in countries such as the Netherlands, Germany and France (Arnaldo, 2021) [14].

It is not by chance, therefore, that Le Monde reports special attention to the issue of migratory flows (21%), a story of intolerant migration even for those countries that should occupy more "hospitable" positions.

However, during the first phase of the emergency in Afghanistan, Corriere della Sera (11%) and The Guardian (13%) gave more space to women's issues, to the figure of so many women, mothers and information professionals who desperately attend and listen. by the international community. It is interesting to underline how this space is rarely occupied/accompanied by interviews/testimonials, direct or indirect, to the subjects concerned.

The issue of women and their violated rights is dealt with almost exclusively from the point of view of the journalist himself who, rather than investigating in depth and critically, seems to ask himself very general open questions, whose question mark often becomes the title of his outgoing piece, rather than a narrative of fact [15].

In this first macrocategory , what can be observed, from a strictly content point of view, is the prevalence of themes that describe two scenarios. On the one hand, the surrender of the US in the face of an irrecoverable situation that leads to a slow erosion of the confidence of the armed forces and allies in what was announced as a peace mission to "save" the Afghan territory and its population. On the other hand, the interest and concern of the individual countries that took part in this mission that try to justify their positions and their mistakes, reorganizing the military and evacuation strategy, alarmingly announcing the ("dangerous") migration already at the gates. A strong limitation of journalistic communication is the little space and relative narrative value given to the "human factor" and gender.

Once the civil-military evacuation is finished, national interests and (future) political strategies seem to be a need to be told to *Western audiences,* at the risk of making cold, superficial and partial analyzes (AGI, 2021).

It is only in the second reference period, from September 1 to 30, 2021, that newspapers tend, although in different ways, to host narratives about the worrying humanitarian emergency and the evident erosion of respect for human rights, through voices, figures, symbols, protagonists and representatives of a society already in decline for weeks.

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calendar, especially in the first days of August 2021, to face the return of the Taliban. This is how we understand the presence of Biden 's name in all the articles and newspapers on international and military policy in Afghanistan.

[14]links. https://www.ilgiorno.it/esteri/afghanistan-migration-europa-talebani-1.6706757

[15]Here are some examples of questions-headlines found several times in the selected newspapers after the filtering operation by using keywords: *"What does the return of the Taliban mean for women?"; "Will women's rights be respected this time?"; "Do women fear a return to the past?"; "Will we ever forget the previous crackdown on women?"*

### Tab.1: International politics - military - (hard political news)

| Subcategory | Daily | medium coverage |
|---|---|---|
| Taking of Kabul | The Corriere della Sera | 48% |
| | the world | 39% |
| | The Guardian | 39% |
| | New York Times | 30% |
| Airport Attack/Chaos | The Corriere della Sera | 10% |
| | the world | 6% |
| | The Guardian | 8% |
| | New York Times | 14% |
| Politics failure and coalition _ American | The Corriere della Sera | 17% |
| | the world | 30% |
| | The Guardian | 27% |
| | New York Times | 24% |
| Migratory flows | The Corriere della Sera | 14% |
| | the world | 21% |
| | The Guardian | 13% |
| | New York Times | 19% |
| Women | The Corriere della Sera | 11% |
| | the world | 4% |
| | The Guardian | 13% |
| | New York Times | 9% |

Source: own elaboration

## Human Rights and Public Celebrity Voices

After an initial narrative centered on the installation of the Taliban government and the evacuation of citizens from Afghanistan, the attention of the press shifts to the world of women and human rights, an issue that has so far emerged in a rather confused and fragmented way. . Also, in this second phase of the *content analysis,* five subcategories were identified, representative of the predominant narratives in the digital archives, in the period from September 1 to 30, 2021 *(Tab.2).*

A first piece of information that it was immediately possible to record refers to the constant presence of the *"international political-military" issue* in the month of September, which highlights the concerns of governments committed to managing migratory flows and safe repatriation. of their compatriots still present in Afghanistan. territory.

Le Monde (50%) and The New York Times (54%) have the highest percentages of *media coverage* , especially in the first two weeks of September. This figure is not accidental, since it is linked to two fundamental facts for France and the United States. The first refers to the strong concern of Emmanuel Macron for the construction of a common refugee reception policy that will be proposed on the occasion of the G20. The second, the twentieth *anniversary of the attacks of September 11, 2001, which this time does not evoke the start of a war that has been chosen to be waged in the Middle East, but rather the failure of the American and NATO troops with respect to that decision.*

At the same time, there is particular attention from the Italian press ( Il Corriere della Sera, 20%) and the British press ( The Guardian, 26%) towards political elections, acts of violence and public

communications by the Taliban government towards women and professionals. Afghans after the withdrawal of US troops on August 31, 2021.

With the inauguration of the new Taliban government, many bans and changes have been imposed that have mainly affected the education and information sector, in order to prevent them from exposing their bodies and influencing political decisions [16].

*In the background of these events, among other contents, the story of civil society prevails, with a privileged view, by the media, on women (and) local journalists. The story of the " women who flee" and the " women who demonstrate in the square " are the first two subcategories identified in the newspapers. The term "exhaust" in this case It contains a double meaning: the numerous attempts to leave the borders of the country itself in conflict and* the "defense" of freedoms and rights in a territory that is once again unstable [17]. This *framing* is picked up by most of the press, both Italian (21%) and French and British (16%), where the woman is represented as a fragile, traumatized individual, almost resigned to a return to the past, who finds in a crossroads: stay or flee the country.

What is interesting and controversial is that in parallel The New York Times (20%) and Corriere della Sera (29%) build an alternative narrative to the one described so far, namely that of a brave Afghan woman who challenges the repressive policies of her the government organizes protest demonstrations in the streets of Kabul, thus gaining the eye of the cameras of all the international media, hoping to interrupt the (political) attempt to restore a dark past [18].

Protests organized by Afghan women have been widely covered by the media and, to date, represent the main phenomenon of "grassroots" opposition to the Taliban regime.

The public and media success of these events, which obviously did not limit the situations of violence (rather they aroused the anger of the members of the new government), is attributable not only to the strong attention of the world of information and the international community, but also to the active participation of female subjects from all social categories with a notable relevance in the local public space.

The voices and testimonies of students, teachers, writers, athletes, judges, third sector operators and especially journalists were received in all the newspapers analyzed, what changes in the description of the facts is the emotional reaction and the role of women: future migrants in shock on the one hand, "fighters" to recover their rights, on the other.

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[16]Some of the following interventions are recalled here: the obligation to wear the burqa, the prohibition of sports, the prohibition of going to school before the age of 10, the division of classes by gender in universities, the absence of women in the newsrooms and soap operas (and state television in general), the creation of the ministry for the promotion of virtue and the prevention of vice.

[17]It is in the latter case, above all, that it becomes central for Afghan women to act within the media spaces of their own country (with the support of local newsrooms and online activist networks) to defend the impartiality of genre of journalism, avoiding bowing to a feminine "spiral". of silence" tacitly induced by the new regime (CPJ, 2021; García, 2021).

[18]Here are some examples of recurring titles that clearly highlight what has just been described. In contrast to the previous macro-category, in this case the titles directly report the voice and point of view of the women protesters: " Herat , women on the street for the right to education"; "Women never more submissive"; "Women reject the new Taliban government"; "Women who protested attacked with rifle butts and tear gas".

Many of them have given interviews or shared useful material to explain the current Afghan crisis, proposing their point of view by exploiting the power and transparency of digital technologies [19]. This last aspect arises from the last subcategory identified, namely, the numerous *forms of altruism and solidarity* in support of the human and feminine cause that have affected political, institutional and cultural realities, considerably covering the international journalistic scene. Corriere della Sera (14%) and The Guardian (11%) describe another "side" of the Afghan crisis, dedicating a few pages to the *good news,* recounting the strength and hope of many Afghan refugees and the constant support provided by the host. Communities The "Afghan Women Exist" event, the *EoF Global March* and *Together we resist* !" launched by *Economy of Francesco* , an international movement of young economists and entrepreneurs, but also the international solidarity campaign launched by the International Federation of Journalists (IFJ), already at the end of August 2021, together with Afghan journalists, to denounce the increasing threats and violence against media operators, forced to close their newsrooms after the Taliban took control of most of the country, are just a few examples.

### Tab.2: Human rights and *public voices* (hard social news)

| Subcategory | Daily | % average coverage |
|---|---|---|
| Forms of altruism and initiatives solidarity | Corriere della Sera | 14% |
| | the world | 9% |
| | The Guardian | 11% |
| | New York Times | 5% |
| Repressive policy of the Taliban | Corriere della Sera | 20% |
| | the world | 14% |
| | The Guardian | 26% |
| | New York Times | 10 |
| Women on the run | Corriere della Sera | 21% |
| | the world | 16% |
| | The Guardian | 16% |
| | New York Times | 11% |
| Women in the square and testimonials | Corriere della Sera | 29% |
| | the world | 11% |
| | The Guardian | 19% |
| | New York Times | 20% |
| International politics | Corriere della Sera | 16% |
| | the world | 15% |

Source of elaboration of the authors

### CONCLUSIONS

As the months go by, *solidarity and assistance* seem to be less and less present in the media public sphere [20].

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[19]It is important to note that the majority of women who have lent their image or voice to the protests are mainly those who managed to leave Afghanistan thanks to air support organized by the United States and allies, and who are currently in a position of "privilege", useful to denounce violations of women's rights Despite the crisis, a minority of activists (eg Rawa women ) have deliberately decided not to leave the country and "go behind the scenes" to educate the rest of the population in freedom and democracy.

[20] In very general terms, it should be noted that after an initial search, repeated within the digital archives, in the following period of October-December 2021, the articles on Afghanistan seem to appear very fragmented in the different newspapers, in terms of consistency with the topics covered and their position within the (digital) magazine itself.

The impression is that the condition of women, in relation to the continuous political interventions proposed by the Taliban government, interests the Western media agenda in intermittent phases, throughout a dossier, a special or sometimes an interview.

As shown and analyzed in the previous paragraphs, the "voices" of the different global media have built a "polyphony" that has alternated attention to the international political and military scene with the support of civil society in Afghanistan.

Despite the repressive measures imposed by the new Taliban government against the press, some women (and) journalists are still looking for new strategies to be protagonists in public and professional life, also trying to do journalism "at a distance" promoting the reconquest of freedom. and of democracy inside and outside the country, trying to overcome the limits that are imposed on them. At the same time, however, they "show" their emotional state, showing in the public media space their fragility and concern for a once again dark future, for the loss -total or partial- of their professionalism, aware of the difficulties they will have to manage, 'from now on, the Taliban presence in Kabul.

Therefore, Western journalism must preserve and continue with its role of responsibility and defense of the ethical value of images, their cultural dimension, and why not, pedagogy, continuing to tell the story of women avoiding any form of stigma in the work environment, family, social relations in search of a narrative balance between the local and the global,
These aspects, far from being obvious, must always be considered in the life cycle of a company, before, during and after the emergence of crises, since public interest in certain events, especially if they are local and geographically distant, later of a time vanishes, adapting to the rhythms, spaces and times that the logic of information today imposes on journalists and their audiences ( Altheide , Snow 1979; Bentivegna , Boccia Artieri 2021; Sorrentino, Splendore 2022).

By favoring newsworthiness, there is the risk of making prevail not what is expected of the public, but what is expected of it by the other media or the entire system. The "say to be believed", an identifying element of journalism, is replaced by "say so as not to be wrong" in the sense of the homologation of the production options and the conformation of the dominant ideas. The global traffic of news, ideas, beliefs, images thus transforms information into "shared events" devoid of content and value, as if any type of information equaled direct knowledge, as if even rumors were true communication (Wolton, 2009).

The Afghanistan case study, as can be seen, is not solely tied to a quantitative or qualitative dimension of the narrative. It is also a structural question of international journalism, it is about being in the place to tell the facts, taking advantage of the possibility of verifying sources, collecting testimonies and limiting as much as possible episodes of disinformation, or more generally, "contamination of the journalistic field". (Sorrentino, 2015).

The concept of "field", taken from Pierre Bourdieu, who founded this scientific tool to deal with the objects of his studies in sociology [21], applied to journalism, helps to understand, in the specific

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[21]The "field" is a concept taken from physics. In the electromagnetic field, a field can exist in the absence of charges; the latter can alter it and the same field can alter the charges. With "field" Bourdieu refers to a social space within which precise dynamics are developed and certain social activities are practiced. The social system, as a whole, is divided into fields as a result of the differentiation processes that are at the base of modernity: each field is a

case, the complexity of "doing journalism", and of *being a (female) journalist,* within a demodernized and at the same time (inevitably) interconnected society (Russ -Mohl, 2011). The field of journalism is part of the social system and includes the relationships between the different actors and their interests, as well as technologies, languages and norms; it also determines ties of dependency and establishes ties (of power) with other fields, particularly the economic-political field, which is increasingly asymmetrical.

The lack of balance between fields, in fact, seriously challenges the process of "shaping" the information" ( Schudson , 1988), that is, respecting the phases of selection, hierarchy and presentation of the news, which depends on the network of relationships that occur in society and that define that abstract place from which journalism extracts its data, that is, the mediated public sphere.A "creative", "dense" space, no longer "dialogical and localized", that is, based on a direct dialogue within a physical place, but populated by a plurality of "spectators", in which media production is constantly reused and reinterpreted by its users, often contradicting the intentions of its issuers (Thompson, 1998).

The paradox of this condition is that while the media infrastructure is strengthened, allowing us to share information and build social capital online, in the new electronic-digital communication environments, new levels of risk and forms of tribalism emerge that "locate" and also take form in offline spaces by building or restoring situations of political and social instability ( Giaccardi , Magatti 2022; Buoncompagni 2022).

A clear example, perhaps, of what philosophers like Weber, Horkheimer and Habermas called "reactions to modernity".

The "new" Afghan society very clearly embodies this hybrid condition and contemporary disharmony, which can be traced in two passages. The first refers to the decline of an international political plan aimed at building a democracy and the rapid restoration of a previous social and economic condition with the rise of the Taliban government, the cancellation of any civil rights and total control of information in the country. ; the second is linked, on the one hand, to the awareness on the part of the population of the end of a "reconstruction of the country" project shared with the West (although sometimes controversial), on the other, to the extreme difficulty of women journalists Afghan and Western media to build a clear, balanced and pluralistic narrative about what happened as it is continually censored, exploited, emphasized or manipulated within a now saturated and disordered information ecosystem.

The predominance of the political-military narrative "field" over the social field of human rights makes it even more difficult to build a "cultural bridge" (information included) between two blocs, the West and the "Greater Middle East", very different from a historical-temporal point of view regarding the modernization process ( Minakov , 2021).

Dialogue and collaboration are fundamental tools to begin to enrich mutual contact between cultures and constructive communication. In this regard, Bauman (2015) believed that there were three ingredients to build an effective dialogue in the hypercommunication era : informality , that is, establishing rules during communication without initially imposing them; *openness* , accepting

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specialized area and relatively autonomous with respect to the other fields that make up the global social apparatus. , and it is a domain within which specific hierarchies, rules, practices and power relations govern.

the possibility that our reasons may be refuted or wrong; *collaboration* , a balanced exchange of information between institutions and citizens that does not contemplate prevarications, losers or winners.

A social and political balance that has the flavor of utopia if we take into account the alarming data reported by the local Afghan radio station ToloNews , namely that in 2019 there were still more than six hundred active media outlets in Afghanistan, while after the takeover of Kabul there were only 135 Operational.

Paraphrasing a well-known quote by Marshall McLuhan in a sense contrary to its original meaning, at this historical moment it is above all essential (not) to "turn off the media" about the new crisis in Afghanistan. Guaranteeing equality, the plurality of information, not suffocating the "transition" towards that modernity that still appears "touched" is a concrete duty and not a speculative objective.

Talking about the facts and letting them discuss them thoroughly also means guaranteeing an exchange of/between gender.

The issue of discrimination against women, in fact, represents a specific motivation, which deeply permeates all social spheres and although Islamic radicalism does not reject either traditional or digital publishing, it still does not seem to agree to give women the exclusive possibility of narrating. and disseminate facts and news.

It is precisely at this moment that women (and) journalists need support and support to continue writing their own story as human beings, professionals and narrators of reality on the paper of a still blank newspaper that hopes to record and disseminate the gaze on they. the uncertain Afghan reality. At stake is not only respect for the Other and the quality of the already saturated information, but also the credibility (and responsibility) of all the actors who interact and who create, distribute and consume media products within a "Mediapolis" (Silverstone 2009) perhaps also in the demodernization process, where pluralism and freedom of information are continually questioned.

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# Festival Tourism in Nepal: A Study of White Horse Jatra of Bhaktapur

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**Abstract:**

This paper analyzes and highlights the festival tourism in Nepal with the special reference to white horse jatra of Bhaktapur. Bhaktapur is world renowned cultural tourism destinations of Nepal where one can observe, have a wonderful experience and encounter with tangible and intangible cultural tourism products. Historical, archeological, religious and secular monuments, treasures of arts and crafts and varied indigenous cultural activities as known as the mirrors of Bhaktapur that reflect overall folk life and culture. Due to these wonderful and heart breathing heritage every year plenty of tourists have been inspiring to pay their visit. Therefore, all these indigenous tangible and intangible cultural heritage such as historical, archeological, religious and secular monuments, traditional tools, utensils, technology and craftsmanship, folktales, music and dance, way of life, religious beliefs, costumes and customary laws, festivals and jatras, dress/ornaments, food and drink, dreams, pleasure and sorrows are known as the significance tourism products. Through the festival tourism perspective colourful festivals and jatras are also recognized as the renowned sources for attraction. Bhaktapur is already established its fame as a destination of cultural capital where annually celebrate different colourful festivals and Jatras on the special auspicious occasion. Among them, white horse Jatra is a renowned and an important one. White horse is a holy mount of goddess Taleju, which must be white in colour and should be pure too. It must not have been ridden and must not lose any part of the body. This is taken out in the street during the tenth day i.e., in Asmin shukla Dasami for the procession. It is an indigenous cultural identity and practice as a popular cultural tourism product of Bhaktapur. But, this Jatra is still unexposed; hence it is a hidden or veiled festival. It is necessary recognizing the prominence of this jatra as a prominent tourism product. There is lack of proper studies regarding these issues that is identified as its research gaps. Thus, to address the research problems and gaps this paper has been prepared. It is based on qualitative approach, descriptive, analytical and exploratory research designs and primary and secondary data as well.

*Keywords: Festival tourism, white horse jatra, demonstration process, tourism product, problems and solution measures*

## INTRODUCTION

*Bhaktapur* is one of the oldest cities of Nepal. It was founded by King Ananda Deva in 889 CE, and was the capital of the *Malla* Kingdom during 12th to 15th century CE. King Yakshya Malla heavily fortified this capital city (Dulal, 2019, p. 91). It has been identified with different names throughout the ages. *Khopring, Khakampring, Makhopring, Khrupung, Bhaktagram, Bhaktpur, Bhaktpure, Bhaktapuri, Bhaktpuripattan, Bhaktapattan, Khwopa, Bhadagaon* are its locally known names through which *Bhaktapur* has been identified since the ancient period till today (Dhaubanjar, 2068, pp. 197-200). Out of the ten World Heritage Sites of Nepal, *Bhaktapur Durbar Square* is known as an important one which was enlisted in the list of UNESCO World Heritage

Sites in 1979 (Dulal, 2019, p. 103). About the culture, traditions and touristic point of view Kunwar & Chand (2016, pp. 16-17) state that:

*Bhaktapur* is said to be the "living heritage" with a strong 'sense of sacrality', a strong 'sense of community', a strong 'sense of historicity' and a strong 'sense of serenity' where the residents understand the symbolic importance and also the importance of preservation of their heritage. It is known from different names like, 'Living Cultural Heritage', 'Walking Museum' and an 'Open Museum', 'City of Devotees', 'City of Culture', 'Centre of *Newar* Culture', 'Durbar Square', 'Nepal's Cultural Gem' and 'Nepal's Cultural Capital' in the world.

Every year *Bhaktapur* hosts large number of tourists in its core. During the fiscal year 2072/073 BS and 2073/074 BS *Bhaktapur* received 95056 and 181350 total tourists from SAARC and non-SAARC countries respectively. *Bhaktapur* has been preserving several beautiful cultural tourism products of different test and experience which helps to attract the tourists with different purposes such as to observe art and architectural heritage, World Heritage Site, local culture and traditions, sightseeing, recreation and research and study of the heritages (Dulal, 2019, p. 291).

All the prevailing festivals are observed to celebrate annually some events in the scriptures, to pacify the gods, to thank them for the harvest, to honor their birth dates or to celebrate some miraculous performance attribute to them (Anderson, 1988, p. 27). As per the same doctrine, people of *Bhaktapur* celebrate *Bisket Jatra, Bhoto Jatra, Indrajatra*, Nepal *Sambat,* Buddha *Jayanti, Dashain, Tihar, Yomahri Punhi, Tamu Lhochhar, Sahi-manaa Punhi, Gaijatra, Krishna Janmasthami, Teej, Janai Purnima, Naag Panchami, Gathemangal, Ram Nawami, Chaite Dashain, Holi, Shivaratri, Shree Panchami, Pishach Chaturdashi, Byaja Chaturdashi* etc. each and every year (Kunwar &Chand, 2016, p. 18).

*Durga Pooja* festival known as *Dashami*, is a Hindu festival in Nepal and India in which several animals are sacrificed every day to goddess *Durga* in different *Shaktipeeths*. Similarly, in *Bhaktapur,* on the tenth day or *dashami* of Dashain festival, white horse jatra has been performed. It is not only an event but also an important intangible cultural heritage of *Bhaktapur*. Therefore, through the tourist and tourism perspectives, the white horse procession is to be taken as one of the important festival tourism products of the destination. But it has still not been properly successful in commoditization of its several festive events including white horse *Jatra* in tourism markets as a significant tourism product. Hence, to address the specific issues and research gaps which this paper has been prepared.

## STATEMENT OF PROBLEM

There are several studies concerning festivals and *Jatras* but specific studies on white horse *Jatra* as a new tourism product of *Bhaktapur,* has still not been conducted so far. Thus, lack of proper studies and researches, several aspects of tourism product of this festival still remain unexplored. Obviously, the problems concerning this subject always inspire the scholars to find out the facts. Hence, the following research question such as why white horse *Jatra* is known as the new cultural tourism product of *Bhaktapur*? and what are the major causes of hindering for adequate utilization of white horse jatra as a new tourism product of the destination? these issues inspired to researchers to prepare this paper.

## OBJECTIVES OF THE STUDY

This paper deals with the festival tourism and its product with special reference to the white horse *Jatra* of Bhaktapur. In this process through the paper researcher has provided introduction of Bhaktapur as the cultural tourism destination and the concept of festival tourism in brief as the general objectives, whereas, to examine white horse *Jatra* as a new cultural tourism product of *Bhaktapur* and to identify the major causes of hindering for adequate utilization of such jatra as a new tourism product has been determined as the specific objectives of the paper.
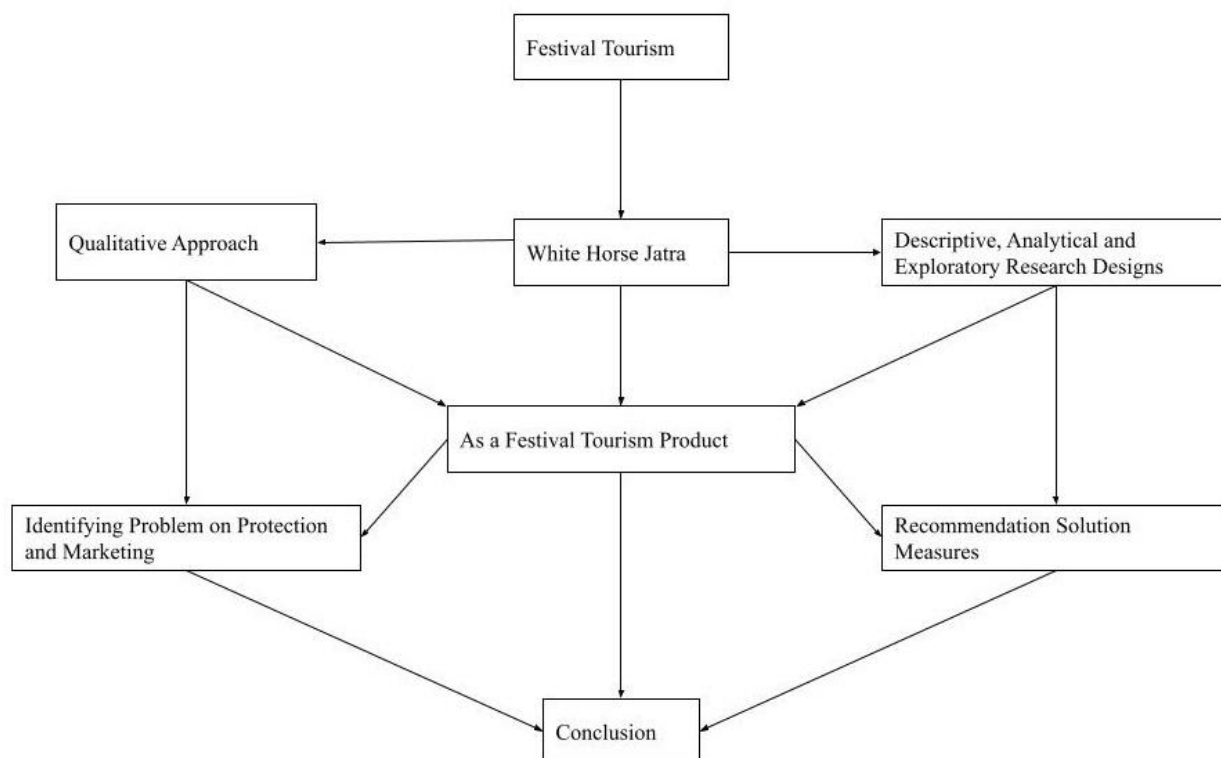
## REVIEW OF LITERATURE

Reviewing the literature is only one approach of constructing solid theoretical foundation, thus in social science research it adopts as one of the major components which helps to determine what theories might be used to explore the questions in a scientific study. Therefore, in this research Anderson's (1988) the festivals of Nepal, Levy's (1990) Mesocosm, Hinduism and Organization of the Traditional Newar City in Nepal, Shrestha's (2016) Bhaktapur ka Aitihasika Jatrauttsabharu (The Historical Festive Events of Bhaktapur), (2077) Kathmandu Upatyakako Samskritik Parampara (Cultural Tradition of Kathmandu Valley), Kunwar & Chand's (2016) Natural disaster and heritage tourism: A study on the impacts of earthquake in Bhaktapur Nepal, Dulal's (2019) doctoral study on cultural tourism of Bhaktapur, (2021) Kha Me jatra of Bhaktapur: an intangible cultural heritage of Nepal, (2022, pp. 1-22) Prospects of Promoting Festival Tourism: A Case Study of Khame Jatra in Bhaktapur have been  reviewed in this paper.

## METHODOLOGY

The qualitative data regarding white horse *jatra* has been used more than the quantitative one, therefore it is based on qualitative approach. It has explored and described white horse *jatra* as an important festive tourism product; hence it is also based on exploratory, analytical and descriptive research designs as well. The methods and procedures have been followed to answer the research questions and explore its objectives and to generate valid data and information. Researcher has used both primary and secondary data in this study. Field work is the main source for primary data. By using observational and interview methods primary data have been explored. For exploring primary data, structured interviews were taken with the key informants. Similarly, in this study relevant chapter of the journals, books and sources of electronic versions have been reviewed to generate require secondary information.

## CONCEPTUAL FRAMEWORK

The main aims of this paper help to explore the opportunities and overhanging threats of white horse jatra enhancing as an important festival tourism product of *Bhaktapur*.  During the study researcher has applied theoretical and empirical approaches as per their requirements. For addressing the above mentioned research gaps and problems as well as fulfilling the determine objectives the following conceptual framework has been applied:

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                          ┌─────────────────┐
                          │ Festival Tourism │
                          └────────┬────────┘
                                   │
                                   ▼
┌──────────────────┐      ┌─────────────────┐      ┌──────────────────────────┐
│ Qualitative      │◄─────│ White Horse Jatra│─────►│ Descriptive, Analytical  │
│ Approach         │      └─────────────────┘      │ and Exploratory Research │
└────────┬─────────┘               │               │ Designs                  │
         │                         ▼               └────────────┬─────────────┘
         │              ┌─────────────────────────┐             │
         │              │ As a Festival Tourism    │             │
         │              │ Product                  │             │
         │              └───────────┬─────────────┘             │
         ▼                          │                           ▼
┌──────────────────────┐           │           ┌──────────────────────────┐
│ Identifying Problem  │           │           │ Recommendation Solution  │
│ on Protection and    │           │           │ Measures                 │
│ Marketing            │           │           └────────────┬─────────────┘
└──────────┬───────────┘           ▼                        │
           │              ┌─────────────────┐               │
           └─────────────►│   Conclusion    │◄──────────────┘
                          └─────────────────┘
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In this paper primary and secondary sources and information have been explored and analyzed for generating knowledge regarding the issues such as festival tourism, white horse *jatra*, demonstration process, rites and rituals, problems on protection and marketing of the same *jatra*. During the study researcher has applied qualitative approach and descriptive, analytical and exploratory research designs as well.

## FINDINGS AND DISCUSSION

As already been mentioned above, this paper is based on field study. During the field survey, researcher has applied observation and an interview method for gathering primary data viz. What is symbolized by the white horse? What is white horse jatra? When and how is it celebrated? Why the people of *Bhaktapur* celebrate it? Why it is considered as a new cultural tourism product of *Bhaktapur*? What are the major causes of hindering for adequate utilization of white horse jatra as a new tourism product? How can address the problems? What are its solution measures? These are the major questions which have been asked to the local people during the field work. Similarly, during the field survey, the process, rites and rituals and participation of local and tourists have been observed. Finally, with calculating and comparing primary data and secondary information explored from the field and generated by the field study and literature review this paper has been prepared with the following findings and discussion.

## Concept of Festival Tourism

Literary sources inform that, in the Eastern culture and civilization, the tradition of celebrating festivals and *Jatras* began from the Vedic period where one can find an episode that the emperors offer sacrifice of the horse at the festival of "*Ashomegha Yagna*" (Majapuria, 1981, p. 2). The words "*Maha*" and "*Jata*" were used as the synonyms of festival and "*Jatra*" respectively in the Vedic Period. According to *Haribanshapuran* Lord *Krishna* had lifted *Gobardhan* hill, the particular event is known as the "*Girimaha*" festival. A Jain literature '*Gayadhammakaha*' mentions different *Mahas* and *Jatas* such as *Indramaha, Skandamaha, Rudaijata, Sivajata, Nagajata* (Agarawal, 1964,

pp. 4-5). The tradition of celebrating festivals and *Jatras* can also be observed in India. The *Viswamitra* and *Indrajatra* are very popular festivals of New Delhi (Sharma, 1978, p. 27). Regarding the *Jatra*, Levy (1992, p. 420) mentions that:

While many cylindrical events are associated with movement of people to one or another temple or pilgrimage site in a more or less haphazard manner some cylindrical events are characterized systematic and formalized movements through some unit of space. Sometime a deity is moved through space, sometimes and more rarely devotees a deity is temple or shrine or to a series of them, in some prescribed order. Both the carrying of the deity and the more formalized movements of worshipers through the city is called as it is elsewhere in South Asia, a *Jatra* (from the *SanskritYatra*, a journey, festive train, procession, pilgrimage).

The term festival has been used for hundreds of years that can be used to a multitude of events. The Policy Studies Institute (PSI, 1992, p. 1; in Bowdin, Glen, Allen, O' Toole, Harris & Macdonnel, 2011, p. 19) note that a festival is traditionally a time of celebration, relaxation and recuperation which is often followed by a period of hard physical labour, sowing or harvesting of crops. The essential feature of festival is the celebration of reaffirmation community or culture. The artistic content of such event varies and many have a religious or ritualistic aspect, but music, dance and drama are the important features of any celebration.

Festival tourism is an important element in 'event tourism', so much so that the term 'festivalization' has been coined to suggest an over-commodification of festivals exploited by tourism and place marketers (Quinn, Richards, 2006; in Getz, 2012, p. 38). Indeed, a marked trend towards treating festivals as commodities has emerged. In this approach, drawing heavily upon consumer behaviour and other marketing concepts, motivations for attending festivals have been studied at length, and more recently the links between quality, satisfaction, and behaviour or future intentions have been modeled (Getz, 2012, p. 38).

*Jatra* is a kind of event performed, when the idol is decorated and carried about gala religious procession for a variety of reasons-to honor him, give him a pleasurable outing, present him to other gods and goddesses, take him for his annual bathing ceremony or simply to allow him, the opportunity of watching some festival or ceremony with the celebrating populace (Anderson, 1988, p. 26).

However, festival and *Jatras* are religious and cultural ceremonies which are celebrated for recalling of special events, keep patience to the gods and goddesses, protection of man and animals, and for the betterment of agro-farming. As cultural events, festivals are significant because they attract tourists. Festivals are important tourist assets of a given area; they are also tourist products sustaining the tourists' needs. Tourist movement, in which the motivation to travel is the willingness to attend festivals is referred to as festival tourism. In the context of event tourism research Page & Connel (2014, p. 38) state that:

Event tourism as a separate discourse takes an instrumentalist approach in which the dominant themes are the production and marketing of festivals for tourism and other forms of development with a heavy methodological emphasis on marketing and economic impact assessment. The roles of events in tourism include attracting tourist (to specific places, and to overcome seasonality), contributing to place marketing (including image formation and destination branding), amazing attractions and places, and acting as catalysts for other forms of development. Dominating this

discourse has been the assessment of economic impacts of events and event tourism, planning and marketing event tourism at the destination level, and studies of event-tourism motivation and various segmentation approaches. The study of negative impacts of events and event tourism is a more recent line of research.

Most research in the Western world that focuses on festivals explains them as cultural events reinvented by communities to fulfill their desire and recreational needs, for construction of their identities, and for socioeconomic development (Derrett, 2003; in Shinde, 2010). The nature of festivals in two different contexts also leads to a difference in their academic studies: homothetic approach is common in the west, while idiosyncratic approaches the studies of non-Western festivals; that is researchers in the West often are interested in spotting features that are widely observable across a range of festivals while in the East festivals are studies for their intrinsic importance (Walmsely, 2008; in Shinde, 2010).

As a multiethnic, multilingual, multi-religious country with diverse caste, religion and races, the tradition of celebrating festivals and *Jatras* seem very old and is deeply rooted in the Nepalese society. Most of the festivals are religious and related with the procession of the gods and goddesses venerated in Kathmandu Valley. Even in the past, festivals were strictly observed by the people (Pandey, 2008, p. 231). Inscriptional records suggest that these practices existed as the *Kailash* and *Varaha Jatras* during the *Lichchhavi* period (Vajracharya, 2030, pp. 275-278). With diversifying nature, several colorful festivals and *Jatras* in different territories can be found.

Therefore, it is said that Nepal is the only unique country in the world with more festivals and feasts than the working days. Though an exaggeration, Nepalese observe numerous festivals of different natures and categories. Some festivals are celebrated on a national scale, some regionally and some only by certain communities in certain areas and localities (Amatya, 2011, p. 39). Abided by the lunar calendar, different festivals are celebrated all the year round. The celebration of these festivals may be nation-wide, regional or just confined to the village or city (Satyal, 2001, pp. 22-23). Grand festivals are occasionally observed which lasts four months, commencing in *Baisakh*, and ending in *Shrawan*. It consists in viding the shrines of the Gods in Nepal, which are said to be 2733 (Kirkpatrick, 2013, p. 196).

*Bhaktapur* is famous for its wonderful fairs and festivals which can be observed throughout the year. It was the cultural capital of Nepal from the thirteenth to sixteen century CE, for more than three hundred years (Amatya, 2011, p. 40). Nowadays, *Bhaktapur* is famous for the celebration of colourful festivals in and around the Durbar Square. Many festivals are celebrated throughout the year to mark the seasons, to pay tribute to gods, and in remembrance to the historical and legendary events (Dulal, 2021, p. 95). Among them, through the cultural, religious, tourist and tourism perspectives, white horse *Jatra* is considered important one.

**Symbol and Significance of White Horse**
Humans began to domesticate horses about 6,000 years ago in the grasslands of what is now Ukraine. Over time, these domesticated horses bred with wild horses. Eventually, they spread throughout Europe and Asia, and then the rest of the world. So, the horse is an important figure in the mythology and folklore of many cultures (Stanton, 2021). The horse is a majestic animal that embodies the spiritual power of independence, freedom, nobleness, endurance, confidence, triumph, heroism and competition. A Horse spirit animal can symbolize freedom, power, nobility,

beauty, courage, sexuality, fertility, endurance, competitiveness, triumph, extermination, impulsiveness, desire, motivation and instinctive impulses (Tutora, 2021).

The horse figures in various cultures, history, mythology and folklore where it's known to have helped humans travel along tiresome and difficult paths. For five thousand years, the horse has been an ever-present ally in war and peace. Civilizations have risen and fallen on their backs and evidences of it can be seen everywhere (https://www.thefortunateone.com, (Retrieved 4 Oct, 2022). Horses are beloved by people around the world, so they have been important figures in the mythology and folklore of many cultures, as well as in people's personal lives. In fact, it's impossible to quantify the amount of art, music, literature, and other forms of expression that have been inspired by these magnificent creatures (Stanton, 2021). In this regard Clifford (2021) writes that:

The main symbols that depict the horse are courage and freedom. This majestic animal is a being of power, independence, freedom, nobleness, endurance, confidence, triumph, heroism, and competition. The horse is an essential part of history, mythology, and folklore as it was man's most loyal companion in battle. People revered them almost and even as actual deities. On many occasions, horses would enjoy more respect and better life than a human being because of their noble nature, the wealth and power that they brought to their owner, and the loyalty this animal is capable of. One of the most present figures in various cultures is horse symbolism. From a straightforward omen to an actual emblem of war, the horse symbol is present in most parts of the world. Understanding this phenomenon is crucial since we will encounter the horse spirit in many moments of our lives, and we must catch its message.

Horse dreams are one of the most common dreams. If horse emerged in a dream, it could convey different messages depending on the color or the behavior of the horse. White horse usually appears in dreams to deliver a spiritual message while black horse comes to urge you to move in a positive direction in life. It could indicate marriage happening soon. Either you or someone in your family might be getting hitched sooner. If you were riding a white horse in your dream it could signify great friendships and support coming on your way (https://www.thefortunateone.com (Retrieved 4 Oct, 2022).

A black horse can appear in your dreams to warn you about a relationship. It's worth reconsidering the relationships in your life and stop wasting energy on people who do not deserve your trust or attention. When you see horses pulling a carriage, your dream signifies hurdles. You have to move forward in life overcoming challenges. If you see one or multiple horses running in the dream it could indicate your real-life situation. In the dream if you see the horse in a barn, it signifies a new start. You will get rid of the old and begin a new life. When you see a flying Horse in the dream it suggests someone else is going to overtake you in life. In dream interpretation Horse is a symbol of sexual drive. If you dream about riding a tame Horse it indicates your strong erotic desires. But if the Horse in your dream is uncontrollable it indicates your exceeding sexual desires that need to be controlled (https://www.thefortunateone.com (Retrieved 4 Oct, 2022).

Native American: freedom or a token of war, Chinese Zodiac: a powerful spirit, unrivalled, full of nobleness and faithfulness, Japanese culture: a spirit animal, a divine being and the carrier of Gods when they entered the world, Christianity's symbolism: courage, speed, nobleness, generosity and resurrection. A white horse is a sign of death, a black horse as a symbol is seen as of evil and destructive nature, Celtic culture: envisioned as their first, but not only, deity and was

a symbol of the Sun, Celtic zodiac: identifies people that love attention, being admired, and have a noble stature, African culture: confidence, nobleness, fortitude, heroism, battle and victory (https://www.thefortunateone.com, Retrieved 4 Oct, 2022).

On the one hand, horse symbolism asks you to own your power, on the other, it urges you to believe in your intuition and follow the path as suggested to you. The color of the horse spirit animal is important because the message would differ in terms of their body color. The black horse is a sign of death and rebirth. It could indicate the closing of one door and opening of another for you. This horse urges you to have faith. Trust your gut feeling and take action. You don't have to see the whole picture, just take a leap of faith and proceed in your life journey. The brown horse is symbolic of trusting the higher power or the universe. This spirit animal reminds you that the universe always provides us everything we need. You must let go of attachments and you will definitely receive what you need. The red horse is a symbol of anger. If you see a red steed, it indicates that you are warned of your anger and vengefulness. Control your emotions or you will be in trouble. The black and white horse animal totem appears in your life to urge you to have balance in life. Do some self-reflection and find out in which areas of your life you are off balance. You must take appropriate action to improve your life. The grey-colored equine appears in your life to urge you to dive within. Look for the silver lining and keep pushing. Grey horses appear in your life if things are not going in your favor, it would soon enough. The golden horse is a symbol of spiritual awakening. It asks you to trust in yourself. You will receive divine help. Just keep going on (Tutora, 2021).

The white horse is another horse arched types that holds cultural and symbolic significance. It has been an important symbol in mythology and religion for centuries. It is known to symbolize purity, heroism, enlightenment, triumph of good over evil and serves as a holy animal. It is commonly considered to be the purest animal and the only one worthy to carry a hero into battle (Stanton, 2021).

From earliest times, white horses have been mythologized as possessing exceptional properties, transcending the normal world by having wings (e.g., Pegasus from Greek mythology), or having horns (the unicorn). As part of its legendary dimension, the white horse in myth may be depicted with seven heads (Uchaishravas) or eight feet (Sleipnir), sometimes in groups or singly. There are also white horses which are divinatory, who prophesy or warn of danger. As a rare or distinguished symbol, a white horse typically bears the hero- or God-figure in ceremonial roles or in triumph over negative forces. Herodotus reported that white horses were held as sacred animals in the Achaemenid court of Xerxes the Great (ruled 486–465 BC), while in other traditions the reverse happens when it was sacrificed to the gods (Jewelry, 2021).

The white stallion is symbolic of knowledge and spirituality. If you see a white horse, it could indicate that you will encounter a spiritual lesson soon enough or maybe you will meet a spiritual teacher who would have a great impact in your life. The ancient Bach Ma temple in Vietnam honors a white horse. According to a legend, a Vietnamese king got to see the location to build a citadel in his dream. He dreamed of a white horse that instructed the location to construct the citadel (Tutora, 2021).

White horses have a special significance in the mythologies of cultures around the world. They are often associated with the sun chariot (Jack, 2005, pp. 241). More or less in the several countries and their civilizations, cultures and religions in the world such as in Greek, Slavic, Norse, Hungarian, Iranian, Zoroastrianism, Hindu, Buddhist, Abrahamic, Jewish, Christian, Islamic, Far East, Korean, Philippines, Vietnamese, Native American white horse was kept symbolic meaning and significance from the very earlier than up to now as well (Jewelry, 2021).

In Hinduism, white horses appear many times in Hindu mythology and stand for the sun *(*Kak, 2002). The Vedic horse sacrifice of *Ashvamedha* was a fertility and kingship ritual involving the sacrifice of a sacred grey or white stallion. In the Puranas, while the gods and demons were churning the milky ocean Uchaishravas, a snow-white horse with seven heads was emerged. Turaga was another divine white horse that emerged from the ocean and taken by the sun god Surya (Dalal, 2010).

Hayagriva the incarnation of Lord Vishnu is worshipped as the God of knowledge and wisdom, with a human body and a horse's head, brilliant white in colour, with white garments and seated on a white lotus. Kalki, the tenth avatar of Vishnu and final world savior, is predicted to appear riding on a white horse, or in the form of a white horse (Jewelry, 2021). In Buddhism, Kanthaka is a white horse that is described as being the loyal servant of Gautama Buddha which is part of every major event before the renunciation that is said to have caused the white horse to die from a broken heart (Malasekera, 1996)*.*

**White Horse Jatra**
Especially, there are two festivals celebrate associated with horse in Kathmandu Valley one is Ghodejatra and other is white horse Jatra. First one is a grand horse parade or horse festival to native of Kathmandu, Nepal which celebrates annually on the New Moon of *Chaitra Shukla Pakshya* (Shrestha, 2077, pp. 217-218), around mid-march or early April. The second one is special festival among the people of Bhaktapur which celebrates during the tenth day of Dashain festival. *Dashain* is the longest festival of the year; it takes about 15 days. Especially it is celebrated as the *Mahani* festival in the *Newar* community. Before the origin and practices of *Dashain, Newar* people have celebrate the *Mahani* as the great festival in their community. *Dashain* festival was popular among the *Newar* community in the late Middle Ages (Regmi, 1966, p. 678). There are special rites and rituals perform in *Bhaktapur* during the *Dashain* festival. *Ghatasthapana* is a first day in which holy water pot is placed as the main religious performance. The priests like *Rajopadyaya* (Brahmin priest), *Moolacharya* (main *Acharya* i.e., tantric priest) and Joshi (astrologer) have paid the special contribution for performing *pooja* to the goddesses (Dulal, 2019, p. 257).

On the seventh day, i.e., *saptami* the symbol i.e., *Khadga* (sword) of Goddess *Taleju* is taken from its secret shrine to the *Kumarichok* by way of a procession, which consists of the females booming with swords and scimitars in their hands, as the security personnel's, some with other symbols related to the Goddess and lastly the main priests (*Acharya*) carrying the symbol of Goddess *Taleju* (Vaidya & Shrestha, 2002, p. 110). The eighth day is celebrated as the day of *Mahaastami* or *Kalaratri*. In this night in the memory of *Mahisasur* (buffalo Demon) 25 buffaloes have been sacrificed. In the ninth day i.e., *Nawami* is also special day in which tantric *pooja* is performed for the welcoming of *Ekanta Kumari* and *Gana Kumari* as well. On this day, the *Moolacharya* i.e. main tantric priest goes to the *Kumarighar* for performing rituals to the goddess. Finishing special *pooja,*

he comes back to the *Taleju* temple and *Ekanta Kumari* is also brought into the *Kumarichowk* from outside the palace in the regal way (Dulal, 2019, p. 258).

During the tenth day i.e. *Dasami*, the *Khadga* (symbol of goddess) is taken around the city which is called *Payojatra*. In local language '*Pa'* means sword and '*Ya'* stands for the procession. During the procession, participants carries the sword a symbol of goddess *Taleju* in their hands, thus it is also called *Paya Jatra* (Shrestha, 2073, p. 35; in Dulal, 2019, p. 261). *Paya Jatra* takes in procession from the Royal Palace during the *Asmin shukla Dasami*. Therefore, this festival is said to be a part of *Dashain*.

On this occasion, there is a tradition taking a white horse along with in the procession because of the mount of the goddess. White horse is referred to as the vehicle of goddess *Taleju*. *Tuyumha* and *sala* are two *Newari* words which mean white horse. During the medieval period, a white horse was reared in the palace of *Bhaktapur* as the mount of goddess *Taleju* and a procession was demonstrated with horse on the tenth day of *Dashain* festival. This tradition is still in existence. There is a post of civil servant who rears the horse in the palace. And remaining other provisions has to be managed from the income of *Taleju guthi* (Dulal, 2019, p. 262).

*Khadga jatra* i.e., performing of sword festival some time it is locally called *Taleju Paya*. This festival has been seen in practices especially in *Newar* community which can also observe in Tibet as well, where it known as *Ha Laba Lhosar*. In this festival the chief of the local community leader is called '*Ajudhya*' ride on a horse, remaining other participants with swords, Kasai with their musical instruments *Nayakhi* and a group of *Dafa Bhajan* have taken participation (Shrestha, 2077, p. 182). But there observe some differentiate between the *Paya* festival of Tibet and white horse *jatra* in *Bhaktapur* specially on using horse. In Tibet horse is used for riding to the community leader *Ajudhya* while in *Bhaktapur* white horse is being used for the symbol of holy mount of goddess *Taleju*.

**Demonstrations Process, Rites and Rituals**
The Seto Ghoda Jatra (White Horse Festival) that was observed on the night of the tenth day of Bada Dashain in Bhaktapur city. As per the tradition, the festival commences as the main four priests of the Taleju Bhawani temple as well as other priests perform puja according to the tantric tradition at the Taleju Bhawani temple. Thereafter, a white sheep is offered to the white horse, considered the conveyance of goddess Taleju Bhawani, as a sacrifice. The decked-out white horse is towed around the city. Before the festival concludes, the horse is also gotten to break into gallop for thrice to display dance to the Pashupatinath in the Bhaktapur Durbar Square (https://kathmandupost.com).

Before the white horse *jatra* started, at early morning of tenth day, in the *Brahmayani peeth*, for the first *Aachaju* (priest) provides maces and clothes of goddesses *Navadurgaganas* and the other representatives who perform dances as the forms of such deities. After wearing clothes all the *Navadurgaganas* move from *Brahmayani* temple toward the Durbar Square. They enter from the eastern gateway and gradually reaching into the *Tachapala, Inacho, Golmadi, Sukudhoka, Tibukchhne, Kwanchhe, Taumadi, Ipanchhe* and finally into the square of goddess *Taleju*. While they reached into *Taleju* square, *Aachaju* (priest) handovers a sacrifice bowl to an individual who belongs to Kasai a lower caste within a *Newar* community, where the head of *Kha Me* is kept, sword of king's *Nanya Dev* to the *Rajopadhyay* (priest of Hindu *Newar*) and remaining swords to the others.

The procession is systematically managed and step forward within nine rows on chronological order in accordance with the cultural responsibility and social hierarchy. During the demonstration some musicians have taken part in the front with their musical instruments such as *nayankhi, khin,* and *kanya*. A people belong to Kasai community followed them with the head of *Kha Me* on a sacrifice bowl. Locally *Kha'* and '*Me'* means '*Kha'* pure and '*Me'* stands for male buffalo which does not have any wounds and also has no physical defects that has been sacrificed to the goddess *Brahmayani* during the ninth day of Dashain festival (Dulal, 2021, p. 97).

Whereas, a people with a bowl of double drum and another with *baupa* a pot which keeps sacrifice materials for demons in the second and third rows respectively. Then after a person wearing combats costumes and shield carrying trident and thunderbolt on his hands in the fourth row and following him a person with specific sword of King *Nanya Dev* in the fifth. Similarly, officials of goddess *Taleju* with burning flames and remaining swords and a *Rajopadhyay* (priest of Hindu *Newar*) with an image of goddess *Taleju* followed in the sixth and seventh rows respectively. In the eighth row there is white horse a holy mount of goddess *Taleju* and on the last or ninth row there observe *Navadurgaganas* participating of the procession. Regarding the system, process rites and rituals Levy (1992, p. 553) pointed out that:

The *Taleju Jatra* takes in front of the temple. First in order are two *Jyapus*, who will walk abreast carrying representations of *Bhairav*. Next comes a *Pa (n)cthariya* who carries a sword. He is followed by the two other high status sword bearers, the second a member of the *chathar Ta:cabhari thar*, and third a Brahman. Each of the three sword bearers represents an esoteric warrior form of Devi. At the center of the procession is the *Taleju* image carried by the king, and followed by a white horse, *Tajeju* vehicle.

The procession of the white horse is worshiped as a vehicle of religious and cultural importance, which is traditionally held every year at midnight on *Baradshah* and *Ekadashi*. According to the Tantric method of Taleju Bhavani, the procession is worshiped by the original heroes of Taleju, Achaju, Joshi, Rajopadhyay. After bringing the horse out from the main square of *Khauma, Itache, Bharwacho, Vanshgopal, Bhujikokha, Narayan Chowk* as well as the upper palace area of *Bhaktapur* town, *Khichen, Chochen, Bholachen, Thalachen, Taleju, Golmarhi, Sukuldhoka* and *Tomadhi* is performed. During the procession, *Pashupatinath* present at Durbar Chowk is run three times to show the horse (https://himalsanchar.com).

White horse *jatra* begins from Durbar Square and finally come to an end after reaching *Taleju* square. Meanwhile, specially, the procession reached and covered different sites such as *thane, Kwane, taumadi toles* (Shrestha, 2077, p. 290). Finally, after reaching *Dattatreya* square the procession returned to back into the Durbar Square without heading towards the *Chyamasing* square and *Brahmayani* temple. White horse is also a vehicle of goddess *Brahmayani*. Local people believe that, goddess *Brahmayani* keeps the horse with her as vehicle if she sees it. Therefore, during the *Jatra*, the procession is not progressed toward the *Chyamasing* and the *Brahmayani Peeth* (Dulal, 2019, p. 262). Altogether during the procession thousands of local people and domestic and tourists from aboard take part except senior citizens, children and unwell and unhealthy people.

As per the information provided by the local people, the horse is kept inside the palace within a small room. Once a year it is brought out from the palace and is circumambulated through the core with an image of *Taleju* at the front. Unfortunately, three years ago, the white horse which

was being kept in the palace for thirty years died. After completing the procession while returning into the stable he collided with the main gate of the *Taleju*. This made him injured and a few days later he left the world. Finally, the funeral procession and all the death rituals of the dead horse were performed in accordance with the Vedic tradition (Dulal, 2019, pp. 261-262).

There is no particular custom regarding the places to bring the white horse. The pigment of the horse must be white and should be pure too. It must not have been ridden and must not have any part of the body lost. These are the major characters the horse must possess. So, it is very difficult task to search the appropriate one. After passing of the old horse three years ago it took about one and half year to search and manage another. As mentioned by the local people the new horse which is kept in palace and available in *Jatra* has been donated by *Krishna Gopal Pyath* (Dulal, 2019, p. 262).

After completing white horse or *Payojatra*, the *Khadga* is brought to the golden gate, the *Navadurgagana* i.e. nine goddesses attain the *mantrasiddhi* by touching it. When the goddesses *Navadurga* are brought into the palace complex the dance of *Navadurgagana* is also performed. This festival honors the goddess *Devi Durga*, who is said to have slain the demon *Durga*, son of *Ruru* (Dulal, 2019, p. 258).

### As the Tourism Product

The concept of tourism product is complex as it involves element of service, hospitality, free choice, consumer involvement, and consumption of experiences that must be actualized in some way (Hsu et al. 2008; in du Cros & McKercher, 2015, p. 153). The tourist product is a composite product consisting of several components (Burkart & Medlik, 1981, p. 195). It is also labeled as a "package" (Jeffries, 1971, p. 4), an "amalgam" (Medlik & Middleton, 1973, p. 132) or a "bundle" (Middleton, 1988, p. 79) of tangible and intangible components. These components complement each other, i.e. they are functionally interdependent as each one provides only a part of the total sum of benefits sought by tourists (Mrnjavac, 1992, p. 122). In this respect Koutoulas (2004, pp. 9-10) mentions that:

The tourist product is the total bundle of functionally interdependent tangible and intangible elements that are found in different geographical location and in different time periods (before, during and after the trip). These elements are considered as the recipes that enable the tourist on the one hand to engage in a specific activity at one or at several consecutive destinations and on the other hand to facilitate the transition to the destination(s) and the social reproduction during the trip.

Products can be natural, build, fixed of mobile, ongoing of temporary. At its core, though, a product has been defined as anything that can be offered to a market for attention, acquisition, use or consumption that might satisfy and need (Kotler & Turner, 1989, p. 435; in du Cros & McKercher, 2015, p. 153). Failte Ireland (2012) talks about the need to create memorable moments to make customers feel valued, by providing the right product, right quality, right quantity, right time, and right place(du Cros & McKercher, 2015, p. 153).

Tourism product should not be seen from the point of view of the individual producer, but from the view of the consumer, thus equating the tourist product with his/her total travel experience. The tourist product should be perceived as including all the elements that are part of a trip

(Koutoulas, 2004, p. 6). These types of elements can be found at the destinations of the trip, the transit routes and the places of residence (Leiper, 1990, p. 81).

Festivals can provide the heart of a community (Wheatley & Kellner- Rogers, 1998, p. 14; in Derrett, 2003) as their celebratory nature provides residents with conditions of freedom and connectedness rather than a fixation on the forms and structure of the community. Festivals reflect the dynamic value systems of individuals united by the same customs, images, collective memory, habits and experiences which can be replicated and each generation can pass on something of its content to the next (Derrett, 2003, p. 51). Because of the close association with culture, festival tourism is the subset of cultural tourism. In this respect Smith (2003, p. 140) mention that:

Festivals celebrated in a particular location from small villages to large towns aims to bring people together to celebrate their local area. These festivals are subdivided into different groups viz. those run by voluntary groups and those run by local authorities. Today, although many festivals aim to cater primary for the local community, they succeed nevertheless in attracting tourists, and around 56% of all festivals are created with a tourist audience in mind. Festivals have a higher concentration of visitors in areas of the country that are already established as tourist destinations, and the majority of festival organizers therefore design the program content with the attraction of tourists in mind.

Attraction is considered as one of the important components and motivating factors which attracts the attention of tourist and plays the leading role for the promotion of tourism activities in the destination. In the field of tourist and tourism, attraction is the pulling factor, which continuously inspires tourists in the destinations either that is accommodation or tourism products (Dulal, 2022, pp. 9-10). Kunwar (2017, p 30) has categorized attraction into two major folds which are on the inventory as a core attraction and a supporting one.

White horse *Jatra* as a primary tourism attraction and as a festival tourism product, the core attraction is the local 'culture', dependent on the particular *Bhaktapure Newari* culture and background, potential enough to promote the tourism development and driving the economic development of the region by attracting more and more number of tourists. During the procession except senior citizens, children and unwell and unhealthy people who could not participant, generally remaining others take part in the procession. It is the concluding event of *Dashain* festival, so on the occasion the streets, pavilions and roofs of the houses and public building of Durbar Square, *Taumadi* Square, *Dattatreya* Square are fully covered by the local people, people of the neighboring districts and tourists also are known to observe (Dulal, 2019, p. 260).

With a package of tangible and intangible components, white horse *Jatra* is mainly an intangible cultural heritage and a new festival tourism product. It holds an authenticity of an immense socio-cultural and religious significance amongst the Newar community of *Bhaktapur*. White horse *Jatra* is still not properly explore and utilize it as a cultural tourism heritages, a hidden or veiled festival is considered a product of great importance. This *Jatra* is an essential festival where thousands of people including tourists gather at the streets of *Bhaktapur* to watch the activities and ceremonies. It is a typical *Jatra* which is not observed in any part of Nepal except *Bhaktapur,* thus, it is considered an indigenous identity. It is enriched in mysterious, colourful and amusing

procession and rituals, mythological, religious and historical backgrounds of the ceremonies, and the wealth of delightful legends and folktales surrounding it.

Obviously, white horse *jatra* can be utilized and consumed by selling its wonderful thematic values and aesthetic emotions in tourism market. If it can do, as a festival tourism product, white horse *Jatra* has played a vital role in extending the fame of local culture and tradition. It has helped in the propagation of *Bhaktapur's and its ancient cultural heritage at the international level. Still, it has helped engender a unique experience for tourists and the whole tourism industry hence* contributing positively to *nation's vanity, belief and traditional identity.* It is the range of experiences tourist get while travelling to *Bhaktapur* that satisfy their thirst of cultural attractions. In broad-spectrum, this *Jatra* is not always associated with socio-cultural and religious aspects but an economic aspect of profit if utilized properly as tourism product. Further, it has to be analyzed in the local situational context. If *Bhaktapur* systematically marketed to the white horse *Jatra* as a new festival tourism product, no doubt it can help to develop and enhance the present situation of cultural tourism in *Bhaktapur*.

**Problems on Protection and Marketing**
Obviously, it is said that tourism has been playing double standard role in the society and culture. On the one side, it is playing positive role somehow to preserve the socio-cultural and environmental values and to boost the economic status and life style of the people and the entire country. On the other, if it is not properly managed, it brings reverse impact on the society and culture.

The native people of *Bhaktapur* believe that the guest always rich, educated and superior than the host. Due to this inferiority complex, gradually, host people started to change their behavior, perception, lifestyle, dress and ornaments, language, and other cultural values likewise the guest. This attitude tends to weaken the hosts in front of the stronger guest (Kunwar, 2002, p. 105). This is the situation we can observe in and around the *Bhaktapur* Durbar square.

Here in *Bhaktapur* when tourism was introduced, meanwhile, it brought both positive and negative impact on economy, environment and culture as well. Unfortunately, because of this unsuitable situation the native people of *Bhaktapur* slowly adopting the tourist culture in their life style. This might be the strong cause for cultural degradation of *Bhaktapur,* which is considered as a weakness or weak point of the tourism of *Bhaktapur*. Earlier study reveals cultural degradation as the main weakness of *Bhaktapur* for the promotion of cultural tourism destination (Dulal, 2019, pp. 359-360).

Publicity or advertisement is one of the important means of communication which helps to identify the destination in the world tourism markets. Publications of different books, journals, brochures, and other materials and electronic verse are known as the key factors of publications. As like others, *Bhaktapur* needs to globalization of her tourism products in the international markets which helps to identify *Bhaktapur* as the cultural tourism destination in the world. Earlier study reveals that lack of proper publicity as the main weakness of *Bhaktapur* for the promotion of cultural tourism destination (Dulal, 2019, pp. 359-362).

Today, *Bhaktapur* is going to rapid commercialization of its culture and cultural heritages as the salable commodities for the promotion of cultural tourism in the destination. This commercialization process can be harmful in many ways. The selection of art, architecture,

cultural heritage, folk music, monuments and others can have two ways effect can be conserved. Only their fame can be spread, but remained things will be vanished. This type of unplanned and shortsighted policy sometimes makes all the lifestyle hidden in the shadow of the domination. Obviously, this situation generates huge threats and challenges to the stakeholders those who keep interest for the promotion of tourism in *Bhaktapur.* This study explores the following issues as the overhanging threats regarding on the cultural tourism in *Bhaktapur.*

Regarding the threats after development to the *Bhaktapur* as the cultural tourism destination researchers have tried to collect the information through the local people during the field survey. Disaster management, challenges over the protection on heritage, threats over traditional technology and craftsmanship, keeping peace, healthy and tourist-friendly environment, maintaining affordable tourist accommodation, controlling the negative impact of tourism, equitable distribution of income, total respondents are the major threats which might be faced *Bhaktapur* while developing it as a tourism destination.

## Solution Measures

As per the situation mentioned earlier, for the adequate enhancement of white horse jatra as a tourism product of the destination, the problems which has already discussed should be considered very seriously. Therefore, the government, concerned authorities, municipality, local people, concerned community and stakeholders should make earnest efforts for maintain, protection and marketing of this *Jatra* as a new festival tourism product. The people of *Bhaktapur* have been enjoying from the tourism, it is because of its unique cultural lifestyle and its living heritage. However, it is deduced that if *Bhaktapur* can properly manage white horse *Jatra* as a new and an important intangible authentic festival tourism product, event-based cultural tourism will be further boosted in this destination.

White horse *Jatra* has a package of tangible and intangible components and heritages, its connotation as a prodigious tourism product, but, which has been less realized, highlighted and utilized as a cultural tourism product. As an indigenous practice and the product of the *Newari* community, the local community is a direct consumer of its benefit. Hence, first and foremost responsibility of preserving, practicing and commodification of this festival in tourism market also goes to the same community that can help branding and marketing to the event and destination as well. Finally, continuous research, systematic planning, internationalization, marketization and utilization of local unique culture are the major focus areas for adequate development of tourism products and destinations, hence, by dong it as a breakthrough, this *Jatra* will further expand and thrive as a powerful tourism product of this 21$^{st}$ century.

## CONCLUSION

Along with the recognition and enlisting in UNESCO list, *Bhaktapur* was also included in the monument preservation list and more frequently, monuments preservation schemes and projects here are launched. The Durbar Square of *Bhaktapur* remains in a relatively better shape and is better maintained, if it had not been for the people visiting from the outside world this wouldn't have been possible. Among the five domains of intangible heritage, *Jatras* and festivals are categorized under the social practices, rituals and festive events. Nepal is an exceptional country for the researchers to study colorful and meaningful festivals and *Jatras*. As whole, Nepal celebrates several festivals and *Jatras* within a year as the national, regional, local and community level.

This paper deals with white horse *Jatra,* which is celebrated during the tenth day of *Dashain* festival especially in the *Newar* community of *Bhaktapur*. It is one of the important intangible cultural heritages and an indigenous feature and identity of *Bhaktapur*.

## ACKNOWLEDGEMENT

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# The Care and Feeding of Volunteers: Philanthropic Stewardship Activities and Protocols in Community Colleges

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**Abstract:**
Community colleges increasingly make use of and even rely on philanthropic gifts to support their operations. This reliance has evolved from primarily business and industry giving to giving by individuals, major gift donors. This shift has led fundraising professionals working in community colleges to explore how certain cultivation efforts are employed to care for these current and future benefactors. The current study was designed to identify and come to consensus on the practices community college fundraisers perceive as the most effective for donor stewardship and cultivation. Using a national panel of 16 experts, a three-round Delphi survey was employed. The first round of the survey resulted in the identification of 46 activities, which when edited for duplication, resulted in 23 stewardship related strategies to be rated. As a group, the final mean rating of the items was 4.27 (on a 5-point Likert-type scale; 5=Strongly Agree), including four strategies that had complete agreement of effectiveness by the experts. Strategies identified ranged from sending thank you letters and issuing news releases to naming ceremonies, private dinners, benefactor recognition events, and meetings with faculty. These findings subsequently both provide a road-map for community college fundraisers, offering suggestions about how to steward their donors, and also provides a departure point for future research and theory building.

*Keywords: community college fundraising, community college development, community college advancement, community college philanthropy, community college donors, fundraising*

## INTRODUCTION

Higher education funding continues to experience the challenges of political priorities. Competing with federal matching programs along with state-wide priorities, all of public higher education institutions have had to increasingly find alternative and new sources of revenue to fund their activities (Katsinas, Bray, & Kanter, 2022; Patterson, Justice, & Scott, 2012). This search for funding is particularly true for public community colleges which have mostly evolved to rely upon state instead of local funding (Cohen, Brawer, & Kisker, 2014; Falkner, 2017).

An important activity for community colleges in this search for additional revenue sources is the engagement with benefactors in the fundraising process (Barnes & Lion, 2018). Largely driven by presidential leadership, fundraising has become an increasingly common activity for many community colleges. And, as community colleges have come to enroll almost half of all undergraduate college students, they receive less than 2% of all philanthropic gifts to education (EAB, 2021). This disparity suggests that community colleges have not capitalized on their prominent role within all of higher education.

Community colleges have been actively engaged in some forms of fundraising since their inception, often relying on business and industry collaboration to fund instructional activities, specifically those that have led to employer training (Cohen, Brawer, & Kisker, 2014; Kopecek & Kubik, 1997). A local business, for example, might have contributed a particular piece or type of manufacturing equipment that would have been used for training purposes, and those students would have the skills necessary for immediate employment and work. These types of gifts, however, do not expand the capacity of the institution to fund student scholarships, faculty development, campus improvements, etc. An important result, therefore, is that community colleges have begun the process of engaging in major gift fundraising from not only these local business and industry leaders, but also college alumni and friends of the institution (Gyllin, 2013).

Major gift fundraising is fundamentally different from corporate giving. Major gift fundraising is typically based on individual donors making a deliberate choice and decision to gift of their resources to a corresponding value that the individual holds (Hodge, 2011). This requires a high level of trust in an organization to receive and responsibly steward the gift, in addition to a high level of belief in the ability of the organization's leadership to operate the institution in an appropriate manner (Harrison, 2018).

Institution's manifest their commitment to benefactors through a series of behaviors and activities, a process often termed "stewardship." This process of caring for benefactors involves a demonstration of gratitude for a gift and can evolve into elaborate processes of showing appreciation (Harrison, 2018; Whillans, 2016). These activities are common in 4-year universities and range from gala dinners to sky box receptions for athletic events. Community colleges typically have a more limited range of resources for this type of benefactor recognition and stewardship, and therefore it is critical to understand what community colleges are implementing that are effective practices. Subsequently, the purpose for conducting the study was to identify the practices community college professional fundraisers perceive as the most effective for donor stewardship and cultivation.

## BACKGROUND OF THE STUDY
### Theories of Fundraising
There are multiple conceptualizations of fundraising in higher education, some of which are proposed as theories but have not been tested or proven to the point of generalization. These conceptualizations, however, do provide a good blueprint of understanding of how fundraising is and has been implemented on a broad basis. One of the first of these conceptualizations was Cook and Lasher's (1996) qualitative, national study of multiple case institution presidents. Using interview data with 10 college presidents in Texas, they identified the key attributes of fundraising as: team-focused, presidential driven, based on major gift leadership, reliant on the academic quality of the institution, institution and context specific. These elements subsequently inform the idea of a grounded theory for fundraising.

Andreoni (1998) offered a different conceptualization proposed as a theory by examining fundraising in a charitable context and not specifically in higher education. His mathematical model proposes that there is the idea of 'seed' money, that is, an initial gift provided by an individual or in the case of other charitable organizations, some form of grant, that demonstrates organizational value leading to additional charitable giving. The key in Andreoni's model, therefore, is that the fundraiser must obtain the critical initial gifts in order to reach a point of

additional gift support. Referred to as "charitable entrepreneurs" (p. 1211), these individuals work in a market-economy that sees incremental growth in giving to a specific level before diminishing.

McAllister (2013) explored fundraising in the community college specifically, taking the perspective that the process is theoretically grounded in public relations. By public relations she explored and related fundraising to public exposure and online media practices, specifically using the expression of fundraising through websites as a lens to gauge effectiveness and possibly efficiency. Drawing on the population of community colleges in New Jersey, she concluded that community college fundraising has not maximized the potential of the internet, websites, and fundraising, suggesting that there is a lost opportunity, and lost resources, for these institutions.

Harrison (2018), similar to McAllister, situated higher education fundraising within the broader theoretical framework of public relations. Drawing on data from one research university, she challenged the idea that there are four important donor stewardship approaches, including "reciprocity, responsibility, reporting and relationship nurturing" (p. 544). Her model collapsed multiple other variables into a broader category that she termed "respect" and found that it, combined with reciprocity and responsibility were the most likely to predict a giving relationship. She stressed that donor behaviors are critical to understand and that modeling institutional relationship building variables will be critical to understanding who ultimately these donors are and their expectations. She concluded that public relations theory is appropriate for understanding these relationships as it is based on relational aspects of organizations and individuals, such as the higher education institution and benefactor.

More recently Shaker and Nelson (2021) offered another grounded theory of fundraising in higher education drawing on interview data with fundraisers. Their theoretical model included a series of "tiers" (p. 9) of activities and relationships, including (1) establishing a "basic connection," (2) forming a "personalized association," (3) solidifying a "confident relationship," (4) diversifying a "purposeful partnership," and (5) actualizing a "consequential bond" (pp. 9-17).

### Fundraising in the Community College

Historically, community college funding has been tied to the local taxation of the school districts that served as their predecessors (Miller & Holt, 2005). From that early financial model, colleges now rely on a combination of local and state funding for their operations, and increasingly, they look to private philanthropic support to augment and support their operations. Early fundraising for community colleges was primarily tied to business and industry, as local employers support specific job training programs to prepare and enhance their immediate labor force. Philanthropy of this nature expanded to more individual giving, and has been supported through groups such as the National Council for Resource Development.

Fundraising practices have evolved in their sophistication at many community colleges with some growing into highly sophisticated development offices with strong alumni, foundation, and corporate giving programs (Smith & Miller, 2023). Despite those which have evolved in such a way, many are still struggling with their infrastructure, attempting to better track their alumni accomplishments and contact information in addition to developing effective cultivation practices (Gyllin, 2013). Additionally, community colleges have been slow to adopt capital campaign fundraising practices (Smith et al, 2018), yet have made attempts to use crowdfunding (Gearhart et al, 2019) and websites (Bucci & Waters, 2014) to grow their donor bases.

Perhaps the primary difference in community college fundraising as compared to the rest of higher education fundraising has to do with the role, engagement, and cultivation of alumni as donors (Falkner, 2017). In the four-year sector of higher education, new students enroll and progress through a long period of time, typically four, five, or even six years of study and residency resulting in a particular, often fond, memory of their alma mater. Through cultivation and age, alumni recall these periods in their lives in such a way that they want to give back in some capacity to the institution that provided a transformational moment in their lives. The community college context is fundamentally different, with many students studying part-time in short-cycle programs such as occupational certificate programs, and even the longest degree programs have historically been two-year associate degrees (Falkner, 2017; Miller, 2013)

An important challenge, then, is how the community college fundraising process creates a pool of potential benefactors and how they are stewarded and cultivated to the point of making philanthropic contributions. Several of the studies on fundraising theory alluded to the process of engagement, noting the importance of the relationship between the potential benefactor and the giving process (Harrison, 2018; McAllister, 2013). This relationship has been described in detail in practitioner-oriented literature, stressing the importance of creating a relationship, continuing the relationship, and sustaining the relationship. At each stage of the process of gift solicitation through stewardship, the emphasis has been placed on recognizing the importance of the benefactor in enhancing the institution and its work. Subsequently, the current study is important because it looks to identify what strategies community college philanthropic leaders use in stewarding their benefactors. This identification will be critical to the future of the fundraising process for community colleges, ultimately impacting their success or failure in raising funds and diversifying their revenue.

## RESEARCH METHODS

As a descriptive, exploratory study, the intention was to identify and find consensus on the strategies that community college fundraising professionals use to cultivate and demonstrate gratitude for major gifts. This intention is important because it both allows for the identification of strategies that work, but also begins to create a catalog of fundraising strategies that community college leaders can make use of.

Using a snowballing sampling technique, 15 community college fundraising professionals were identified to participate in the study. The sampling began with the identification of 5 full-time professional fundraisers with 10 or more years working in community colleges. These individuals had participated in a previous research project and were considered to have the experience and success to be considered experts on community college fundraising. These five individuals who were from geographically diverse areas in the United States were each asked to identify 3-5 other professional community college fundraisers whom they knew and considered to be 'experts' at using different strategies to cultivate and steward major gifts for their community colleges. A total of 29 individuals were identified through this procedure (some 'nominated' more than 5), resulting in a total possible pool of 34 participants. Each potential participant was emailed explaining the Delphi survey process and requesting their participation throughout a three-round process that was anticipated to take approximately 6 weeks to conduct. Of the 34 who were emailed, 17 agreed to participate in the study.

The Delphi survey technique was employed as the procedure for data collection. The Delphi procedure is particularly appropriate for use in situations where experts can be engaged in the

data generation process but are geographically separated and are difficult to bring together (Miles, 1997; Van del Ven & Delbecq, 1974). The strategy allows for the identification of items that might not otherwise be available, and then the creation of consensus about some aspect of those items. In this study, the Delphi question focused on the identification of stewardship and cultivation practices and perceptions about what is effective.

The process began with participants being asked to respond to the written question "What strategies do you perceive to be the most effective for community college major donor stewardship and cultivation? List up to 5 possible strategies, techniques, events, etc. that you are familiar with. You may list more than 5 if you wish." This generative process produced a listing of possible strategies that participants then rated their perceptions of the effectiveness of each on a 1-to-5 Likert-type scale, where 1=Strong Disagreement with the perceived effectiveness of the strategies progressing to 5=Strong Agreement. Following the second round of the survey process, measures of central tendency were provided to each study participant who was then given the opportunity to consider group data and re-rate each strategy.

Data were collected in the middle of the 2023 Spring academic term.

## FINDINGS

Of the 17 individuals identified to participate in the study, 16 of the 17 completed all three rounds of the Delphi study and only their data were used in the analysis. Of the 16 individuals who completed all three rounds of the Delphi survey, 9 were from stand-alone campuses and 7 were from systems or centralized community college bodies. All had a president or similar campus senior executive officer, and these colleges were located across the US, with four colleges in the Pacific Northwest, three from the West Coast, three from the South Eastern US, five from the Mid-West, and two from the Mid-Atlantic/Northeast (see Table 1). Responding fundraisers had a range in their length of professional experience, including the majority who had 10 or more years of experience (n=9; 56%), six who had 5-9 years of experience (37%), and one who had under 5 years of experience (6%).

### Table 1: Profile of Study Participants N=16

| Participant Characteristics | |
| --- | --- |
| College Location | |
| Mid-Atlantic | 1 |
| Mid-West | 5 |
| Northeast | 1 |
| Northwest | 4 |
| West Coast | 3 |
| | |
| Campus Governance | |
| Stand-alone college | 9 |
| Part of a system | 5 |
| Centralized state structure | 2 |
| | |
| Length of Experience | |
| Over 10 years in fundraising | 9 |
| 5-9 years | 6 |
| 0-4 years | 1 |

The 16 participants who completed the first round of the Delphi survey developed a listing of 46 activities or strategies that they defined as major gift cultivation and stewardship and indicated their perception that these were effective strategies. After reducing the list for duplication, 23 strategies were then used in the second and third round of the study in which participants were asked to rate their agreement with the strategies (see Table 2).

**Table 2. Mean Scores of Major Gift Cultivation and Stewardship Strategies**

|  | Round 2 $\overline{x}$ | Round 3 $\overline{x}$ | No. Changes |
|---|---|---|---|
| Recipient to benefactor thank you letters | 5.00 | 5.00 | 0 |
| President staff thank you letters | 5.00 | 5.00 | 0 |
| News release | 5.00 | 5.00 | 0 |
| Social media recognition | 5.00 | 5.00 | 0 |
|  |  |  |  |
| Naming ceremonies | 4.81 | 4.87 | 1 |
| Private dinners | 4.80 | 4.80 | 0 |
| Donor receptions | 4.75 | 4.75 | 0 |
| Thank you gift token | 4.49 | 4.75 | 6 |
| Recognition posted on website | 3.99 | 4.57 | 8 |
| Thank you gift token with ceremony | 4.51 | 4.51 | 0 |
| Private receptions (at home) | 4.50 | 4.50 | 0 |
|  |  |  |  |
| Name listed in honor roll of donors | 4.25 | 4.22 | 1 |
| Private dinners (at home) | 4.23 | 4.45 | 2 |
| Ground breaking participation | 4.40 | 4.40 | 0 |
| Benefactor-recipient events/meals | 4.15 | 4.35 | 6 |
| Name listed in other publications | 4.00 | 4.25 | 5 |
| Benefactor-recipient meetings | 4.00 | 4.23 | 4 |
|  |  |  |  |
| Meetings with faculty | 3.74 | 3.90 | 4 |
| Name on recognition wall | 3.38 | 3.23 | 2 |
| Event watching – off campus | 3.30 | 3.75 | 8 |
| Online ceremonies | 2.73 | 2.55 | 4 |
| 'President for a day' activity | 2.25 | 2.25 | 0 |
| OVERALL | 4.16 | 4.27 | 58 (2.52) |

For the first round of rating the identified strategies, the group had a $\overline{x}$ =4.16 agreement level for the 23 items. Provided group data from these strategy ratings, 58 changes were made to the agreement levels for an average of 2.52 changes per strategy. The round three statements had a slightly higher level of agreement that they were effective cultivation and stewardship strategies with a $\overline{x}$ =4.27. In the third round of rating the strategies, the fundraising professionals rated 10 strategies higher than they had in the second round and three strategies lower than in the second round.

The community college fundraisers agreed most strongly with four strategies for benefactor cultivation and stewardship, including providing thank you letters, a thank you from the college's president, issuing a news release, and posting recognition on social media (all $\overline{x}$ =5.0). These four strategies could be considered 'common practices,' and none of them received any rating change

from the participants from the second to third round, meaning that there was consistent strong agreement with their use.

Seven strategies had strong levels of agreement about their effectiveness with mean ratings between 4.50 and 4.99. These included such strategies as using naming ceremonies ($\bar{x}$ =4.87), private dinners ($\bar{x}$ =4.80), donor receptions ($\bar{x}$ =4.75), and thank you gifts or tokens ($\bar{x}$ =4.49). Conversely, there were six identified strategies that had lower levels of agreement (below 3.5 which would be interpreted as Neither Agree or Disagree to Disagree), including posting names on a recognition wall ($\bar{x}$=3.23), using online recognition ceremonies ($\bar{x}$=2.55), and using a president-for-the-day experience ($\bar{x}$=2.25)

## DISCUSSION AND CONCLUSION

The professionals who provided data for the study identified a broad range of activities that could be generally classified into standard and customized practices. The several strategies for cultivation that had a strong level of agreement (thank you letters, etc.) could and should be developed into a catalog of standard practices for any organization participating in fundraising. Sending a thank you letter, for example, was suggested to be a minimal level of demonstrating gratitude for a financial commitment. Similarly, these standard practices should be explored individually to identify if they make a difference with the benefactor or the overall program of giving. Identifying the impact of social media posts about a gift, for example, might help determine what set of practices are undertaken for different giving levels.

The second category of stewardship and cultivation activities could be classified as 'customized,' meaning that they might be very appropriate in some college settings and not in others. In highly rural areas, for example, a private reception at the president's home might be better received than some other form or recognition. Similarly, some institutions and types of gifts might have a stronger and more visible participating faculty, and a benefactor in those environments might have a greater sense of appreciation of meeting with a faculty member whose program or students are impacted by a gift.

These findings also provide some insights and guidance in the exploration of theories of either the fundraising process or effectiveness. The identification of ceremonies, social media recognition, and new releases, for example, lend credence to the conceptualization that benefactors find meaning and relevance in this type of recognition. Giving may, therefore, have a great deal to do with what was described as legacy extending or brand building for benefactors.

Similarly, demonstrating gratitude to benefactors or cultivating potential donors in more private spaces, such as a private dinner or reception in a home might suggest a more individualized or personalized approach to stewardship. In this vein, such activities might focus less on the visibility of the individual's giving or potential giving and more on the altruistic impact of a gift.

Expanding the current study would also be helpful in a variety of ways. First, developing a more exhaustive menu of stewardship and cultivation activities could help community college leaders as they expand their fundraising efforts. Being able to draw on a list of activities, complete with best practice protocols and information could be helpful and also provide many of these colleges' greater agency in their determination of how fundraising is practiced on their campus.

Second, future research on the uses of donor cultivation activities should include modeling that extends from the identification of practices to correlational research and the creation of predictive models for different types, and perhaps levels, of benefactors. Exploring questions around the use of public and private stewardship activities, for example, stratified by giving level or frequency, might yield important and useful information for enhancing fundraising activities.

And third, expanding the study to explore how benefactors and prospective donors respond to and experience different types of stewardship activities will be helpful in aligning practices with needs. Qualitative studies that begin to profile community college benefactors would greatly enhance the existing research base on fundraising in these institutions, and would also provide important and useful information to development professionals who are expanding their work in this sector of higher education.

The primary conclusion to be drawn from the study results is that community colleges do actively use fundraising industry standard stewardship practices. This results in the need to identify how well they work, how well they work in different types of community colleges, and how they align with the myriad fundraising theories that have been proposed.

## IMPLICATIONS FOR PRACTICE

These study findings have a direct implication on the practice of fundraising in community colleges. First and foremost, they begin to catalog what these development programs can use to cultivate and steward their benefactors. Community college fundraising operations that are relatively new or are only a part of an individual's assignment will find this identification useful for future planning and the creation of a comprehensive stewardship program.

Second, findings begin a critical conversation about the growing professionalism of community college fundraising. As noted in the literature, there is currently a broad array of the types of fundraising structures in use in community colleges, with some institutions maintaining large professional staffs and others making use of part-time help or contracted agencies to manage their work. Studies such as this demonstrate that community colleges are serious about expanding their traditional fundraising work and are willing to share best practices and insights about how to work with their donor bases.

Third, findings identify practices that can be directly used by fundraisers. Although there is no indication as to what works in different settings, the fundraisers participating in the study provided strong perceptions about what they saw as effective. Practitioners can immediately adopt several of these strategies and perhaps begin to explore the use of others.

Overall, the study findings provide important information about what fundraising in the community college looks like and begins to hint at what it might look like in the future. The identification of practices in the study is an important first step in exploring in greater detail how major gift fundraising specifically occurs and how it might be implemented with greater effectiveness as community colleges increase their emphasis on philanthropic giving to support their work.

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