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## ECONOMY

**ATTRIBUTIVE PROPAEDEUTICS OF ACCOUNTING REPORTING AS A MEANS OF COMMUNICATING THE SYSTEM OF INDICATORS IN DESCRIPTIVE MODELS OF ECONOMIC ANALYTICS**

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**ABSTRACT**

The article deals with accounting reporting as a means of communicating the system of indicators in descriptive models of economic analytics. Formalized algorithmic procedures for calculating key invariant indices suitable for use of standard packets of analytical orientation applications are constructed. The descriptive model and the formation of its information support are considered. In forming the system of indicators for conducting an economic analysis of the financial condition of the enterprise, in order to reduce the number of calculations and improve the efficiency when conducting an express analysis of the financial condition of the enterprise, a heuristic method of permissible multicollinearity with acceptable (tested by practice) characteristics is proposed.

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**Introduction.** The application of a descriptive approach in modeling economic processes is due to the empirical manifestation of different interactions in the economy, the establishment of statistical laws of economic behavior of certain subjects, the study of probabilistic ways of the development of any processes with the definition of the source information or the unchanging nature of it. Unlike other models, such as regulatory ones, such models, using a posteriori sources of information, usually answer the question "How has this happened?", "How will it evolve further?".

One of the first attempts in world practice, the analyticity of such models was first used in the publications of its famous "Economic Table" ("laugh", or later on time, "arithmetic formula"), the basis of genius which can certainly be considered rules of mathematical action in solving some algebraic equations and geometric proportions and their additions, the Italian mathematician "founder of accounting" Luca Bartolomeo de Pacioli, which served as the basis for building and developing an information base for many descriptive models of economic analysis policy.

These models include the production of balance sheets, the presentation of financial statements in various analytical aspects, the analysis of financial statements, the system of analytical ratios, analytical reports to the reporting, etc., which allow to structure and identify the relationship between the main indicators of the enterprise in the implementation of a comprehensive economic analysis of the company's activities and situations requiring the use of methods of system analysis and modern simulation.



The system of the results of the implementation of descriptive models associated with any financial and economic activity of the enterprise, as well as the efficiency of management significantly depends on the selectivity and reliability of information provision. In such models, for the further conduct of in-depth analysis procedures, the most adequate information base is accounting reporting, which can quickly describe the economic potential of the enterprise. The priority role of accounting reporting as the main means of communication lies in the fact that it is the organizing start and the best of the existing financial models of this enterprise, which is considered in the context of the environment, includes labor and capital markets and allows the construction of a system of indicators that does not contradict and has a logical explanation. In addition, all objects of accounting are expressed in cost estimation, and financial resources are a priority kind of resources because of their importance from the point of view of operational and strategic management of the company's activity, and also due to its unique opportunity with a minimum time lag transformed into any other kind, as well as continuous and continuous.

#### **Analysis of actual research.**

Different theoretical, methodological and organizational aspects of the problems of systematization and processing of economic information have been reflected in the writings of Ukrainian scholars, Ye. V. Mnykh, O. V. Oliinyk, V. H. Shvets, Yu. S. Tsal-Tsalko et al., Russian scientists S. B. Barnholts, V. V. Kovalov, B. H. Ploshko, A. D. Sheremet et al.

Despite the undeniable significance, the value and effectiveness of the scientific apparatus, through which the system of indicators in the economic analysis is implemented and improved, not all of its aspects in the field of assessing the financial status of enterprises are sufficiently theoretically worked out and meet the requirements for the activation of modern management activity.

The precision and representativeness of the results of the implementation of descriptive models of financial and economic activity of enterprises are attributive assessments for conducting an effective comprehensive financial and economic analysis of the enterprise, which in turn is a link between financial management and accounting on the one hand and the consumer of information and the factor of the formation of targeted information support management process from another. In this regard, the quality of financial management, and the effectiveness of management largely depend on the complexity, volume, depth and quality of the source information base of models in which space they are implemented.

The simulation procedure requires fairly strict requirements for information systems. But real opportunities for obtaining and preparing information limit the choice of practical application of models. It takes into account not only the fundamental possibility of preparing information, but also the value of information, that is, the cost of preparing an appropriate information base, which should not exceed the effect of its use, but not lead to its annihilation.

The reform of the national accounting system, the use of accounting and statistical standards (SNA), accounting reform through harmonization and standardization required the change in the informational model of the economic system, which in turn led to the modern development of information provision in the construction of a leading element of the analysis of the financial state of the enterprise - the system of analytical coefficients and implementation of descriptive analytical models of economic analysis in general. In this regard, certain analytical thinking requires Eurostat's typical characteristics of the criteria for the quality of information such as expediency, accuracy of data, relevance, accessibility and quality, comparability and interconnection of individual data with information from other sources [1, 6,8]. Focusing on the requirements of IFRS should be such qualitative reporting characteristics as clarity, relevancy, reliability, predictability, stability, efficiency, efficiency, etc.

An objective judgment of the financial position of an enterprise can be made only on the basis of some indicators. It is no accident that according to the IFRS, the annual report of any large company begins with the section "Highlights," - "the main moment", "attaches the main value", which provides key financial indicators that comprehensively characterize the financial status and performance of this the company.

The selection of indicators, as a rule, is carried out purposefully, although some of them can be universal. Since, according to one indicator, no matter how congruent it was, it is usually not possible to get a complete picture of the activity of the enterprise, therefore, an absorbed and well-ordered set of indicators is used to assess the financial situation. Therefore, when solving multidimensional economic complex problems of evaluating the activities of economic entities inevitably there is a problem of selection of indicators.

If we take into account factors such as the purpose of the analysis, available information support, time limitation, the availability or absence of appropriate technical means, etc., this problem becomes more complicated. However, even if the target is general, the complexity of the assessment can only be achieved if it is possible to form a system of indicators.

**The objectives of the article.** Of course, the development of a system of indicators is always relational and creative, therefore, with the aim not to emphasize the controversial system of concepts and

categories of the system of indicators, not to carry out a comprehensive revision and specification of definitions, but in order to further clearly and consistently formulate the actual the understanding of the categorical apparatus, the scientific and practical tools of the analyst, proposes its own selective approach to the formation of a system of indicators of the analysis of the financial state of the enterprise.

**The purpose of the article is** to develop and modify existing methods of constructing a system of indicators of economic analysis of the financial state of the enterprise as a stage of economic analysis for the creation of a methodological apparatus that would serve as a basis or starting point for further concrete calculations, analysis, justification and selection of optimal strategic management decisions, as well as possible options for development.

**The main material of the study.**

The term "indicator system" is widely used in economic research. It is the complexity of the analysis that involves the use of certain sets of aggregates of indicators. According to certain criteria, it is necessary to select the indicators and form a system, analyze it. Of course, any set of indicators can not be considered a system. Compared to individual indicators or some of their set, the system is qualitatively new in education and is always more significant than the sum of its individual parts, since, in addition to representing the individual aspects of the phenomenon (process, object) that is being investigated, it carries certain information that, which appears as a result of the interaction of these individual parties, that is, information on the development of the phenomenon as a whole.

The construction of an expanded system of indicators is based on a clear understanding of two points: what system and what basic requirements it should satisfy. Definition of the concept of "system of indicators" is presented in sufficient detail in the scientific and educational literature [1, 6, 8, 8].

In the future, under the system of indicators, we will understand such an ordered set of them, in which each indicator gives a quantitative and qualitative characteristic to a certain side of the state and development of the subject or phenomenon in correlation with other indicators, but does not duplicate them, which inherent properties of consolidation and divisibility. For pragmatic segmentation and use, the metrics system must meet certain requirements.

When forming a system of economic indicators, in our opinion, certain principles should be guided, the implementation of which in practice is often restrained by certain circumstances. The most important of those with a methodological and pragmatic significance are:

- a) the maximum degree of axiomatization;
- b) interconnection and maximum connections horizontally and vertically;
- c) a reasonable ratio of absolute and relative indicators;
- d) dendrographic nature; d) the principle of availability of inspection;
- e) adaptability and compatibility for other tasks;
- f) Verification;
- g) the principle of informality.

Without stopping in detail on the principles of constructing a system of indicators, note the main:

– *the principle of the dendrogram structure of the system of indicators* - ensuring the logical collapse of partial indicators in generalization. This logic is not something fundamentally new and is used extensively in various types of analysis and is widely used in methods of consequent and perspective simulation, in particular, in the methods of prolongation of factor systems;

– *the principle of availability* - presupposes the availability of some set of indicators, optimal for this enterprise. In this case, the system's performance should be permissible multicollinear;

– *the principle of optimal combination of absolute and relative indicators*. The most suitable for constructing a system of indicators are relative and specific values, the prevalence of which is conditioned by the fact that they have certain advantages over absolute ones - allow to compare objects that can not be compared in absolute terms, make it possible to eliminate the influence of some general economic factors (for example, inflation, revaluation, etc.) are more stable in space and time, that is, they characterize more homogeneous variational series (in the context of their membership in the distribution law close to normal), which is a significant factor of the for correct data processing with the help of economic and mathematical methods;

– *the principle of informality*. This means that the system should have the maximum degree of analyticity, provide an opportunity to assess the current financial state of the enterprise and the prospects for its development, as well as be suitable for management decisions and be based primarily on accounting, because accounting is the most reliable information support process economic analysis of the financial condition of the enterprise, and the data generating accounting, with the appropriate degree of adjustment and "open work in the account" is formalized In the meantime, most (and often absolute) are considered to be accurate in comparison with other information of an economic nature.

It is also worth stressing the importance of the requirement of verification, that is, the establishment of authenticity (the possibility of verification). In manuals, textbooks and some

monograph editions on the theory of statistics and economic analysis, indicators or systems of indicators are often presented, for which the calculation algorithm is unclear as well as informational support. The cognitive value of such indicators is rather dubious. It is no coincidence that the annual reports of Western companies and the Methodological Regulations on Statistics of the State Statistics Committee of Ukraine distinguish sections describing the algorithms for calculating key indicators.

Assume, a priori, information that on the basis of absolute financial reporting indicators it is possible to calculate more than 200 relative analytical indicators that can be used to characterize a financial state of the enterprise [1,3,6]. But it is certainly known that in countries with a market economy more than 80 financial ratios are used to analyze the financial state and financial results [6].

Guided by the maximum informativeness and principle of permissible multicollinearity for the development of a method for conducting a comprehensive assessment of the financial condition of enterprises on the basis of absolute indicators of accounting, which is characterized by comparability of planning and reporting, completeness, accuracy, objectivity, timeliness and efficiency, clarity and efficiency, flexibility and dynamism, we have selected 56 financial ratios. This allowed, based on certain unification of available information, to form the information space of the study, to construct formalized algorithmic procedures for calculating key invariant indices of suitable for use of standard packets of analytical orientation applications.

These indicators grouped in 10 functional subsystems, each of which characterizes the relevant aspect of the activities of business entities and has a direct or indirect effect on their financial state of the enterprise is:

- 1) liquidity ratios (5 coefficients);
- 2) coefficients of the structure of sources of funds (6 coefficients);
- 3) turnover ratios (working capital, operating capital) (8 coefficients);
- 4) coefficients of turnover and assets transformation (5 coefficients);
- 5) coefficients of business activity: rotation of accounts receivable and payables (4 coefficients);
- 6) coefficients of business activity: coefficients of resource efficiency (5 coefficients);
- 7) profitability coefficients: total profitability (7 coefficients);
- 8) profitability coefficients: total return on capital (5 coefficients);
- 9) efficiency of the use of property (7 coefficients);
- 10) analysis of the position of the company in the securities market (5 coefficients).

Descriptive model, system and subsystems of indicators are shown in Fig. 1.

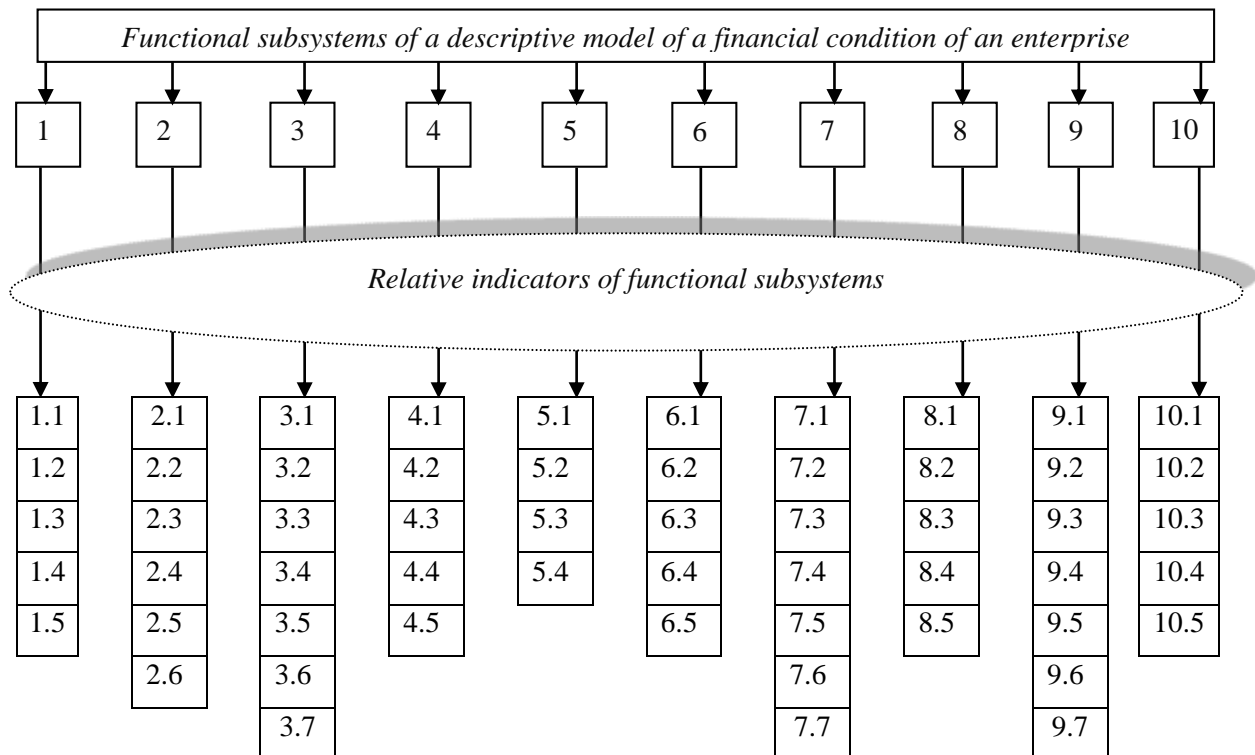


Fig. 1. Discriminant model and formation of its information support



Where,

1.1. Absolute liquidity. 1.2. Liquidity refined. 1.3. Total liquidity. 1.4. Maneuverability factor. 1.5. Current debt.

2.1. Independence 2.2. Financial stability. 2.3. Financing 2.4. Own investments. 2.5. Investing in own and long-term investments. 2.6. Financial leverage.

3.1. Providing working capital. 3.2. Turnover of working capital. 3.3. The period of turnover of working capital. 3.4. Removal of funds from the turnover. 3.5. Maneuverability of own working capital. 3.6. Provision of stocks with own working capital. 3.7. Coverage of stocks.

4.1. Asset turnover. 4.2. Maneuverability of working capital. 4.3. Mobility of funds. 4.4. Equity turnover. 4.5. Turnover of finished products.

5.1. Turnover of receivables. 5.2. Repayment period of accounts receivable. 5.3. Period of payout of accounts payable. 5.4. Doubtful receivables.

6.1. Turnover of fixed assets. 6.2. Stock turnover. 6.3. Storing stocks. 6.4. Operating cycle. 6.5. Financial cycle.

7.1. Equity. 7.2. Assets for profits from ordinary activities. 7.3. Assets for net profit. 7.4. Production facilities. 7.5. Implemented production on the profit from sales. 7.6. Realized products from operating activities. 7.7. Realized products at net income.

8.1. Reinvestment. 8.2. Economic growth. 8.3. Paid interest and profit. 8.4. Net income relative to assets. 8.5. Equity relative to net profit.

9.1. Production facilities in working capital. 9.2. Fixed assets in assets. 9.3 Depreciation of fixed assets. 9.4. Fixed asset renewal. 9.5 Long-term financial investments in assets. 9.6. Revolving production assets. 9.7. Mobility of assets.

10.1. Dividend income. 10.2 Stock Quotes. 10.3 Stock prices. 10.4 Dividend yield of shares. 10.5 Change in the welfare of shareholders.

The algorithm of realization, formation and calculation of the system of indicators of the information base for analysis based on descriptive models written as a sequence of operations:

On the basis of the information provided in the periodic, state-regulated forms of accounting (P(S)A), the value of all indicators (coefficients) is calculated. At the same time, an array of financial statements is formed, usually 10-13 periods (for annual reporting) and preferably, but not less than 15 periods (for quarterly reporting).

2. Graphs of changes in the value of coefficients are constructed, depending on the periods, while the dependence (trend), trend parameters, recommended limits of the coefficient change and the coefficient of multiple correlation (the value of the accuracy of the approximation) and, if necessary, other characteristics are determined.

Thus, for the description of time series, a functional dependence (hereinafter model) defined, which allows obtaining some set of artificial data in the form of time series.

If we take into account, only the accuracy of the model, then this may lead to the selection of not qualitative of them. Nevertheless, in the practice of economic analysis, when choosing models, they are often limited to analyzing the final variation, which essentially characterizes the degree of fitting the model to the known values of the signs. When modeling the values of the indicators of new objects, the difference between the estimated and actual values of the signs can be quite significant.

Thus, the accuracy of the forecast on the output data does not guarantee the high quality of the model, that is, sufficient accuracy and reliability of estimates of the values of the effective indicator for all possible values of factor characteristics. But on the other hand, the model of the description of time series allows not only to extrapolate the quantitative characteristics of indicators, but also to better understand but on the other hand, the model of the description of time series allows not only to extrapolate the quantitative characteristics of the indicators, but also better understand the scenario of the behavior of these series. In spite of the fact that for the analysis we need reliable predictions of the behavior of indicators, it would be too rudely to count on one hundred percent accuracy of the results of extrapolation, because the desired accuracy is practically inaccessible, since a truly unexpected event cannot be predicted by definition.

In the analysis of time series, a wide range of different approaches and methods are used which continue to be improved and developed. The most commonly used modern time series analysis methods are the analysis of the trends and the ARIMA-processes of Box-Jenkins [1, 6], the methods of the theory of fractals [8], and others. The latter are quite powerful methods that are used in actuarial calculations and allow somehow disregarding and simulating not only the probability in time series, but also stochasticity (uncertainty).

We, by virtue of simplicity and to reduce computer computing, have chosen the first, which is a direct, intuitive approach to the evaluation of the basic components of the quarterly or annual time series.

Such an in-depth statistical understanding of the behavior of the indicator dynamics is undoubtedly useful as the basis for further analysis (Items 3,4,5).

3. Using the information on the dynamics of absolute values by reporting forms, based on which indicators are determined (coefficients), as well as calculations obtained in 1.2, an analysis of the dynamics of each coefficient is carried out, the substantiated conclusions are presented, which indicate the main reasons for the coefficient change by article balance sheet.

4. The functional subsystems of the indicators are composed of analytical notes, which, based on the conclusions, provides a general detailed description of the enterprise for each subsystem of indicators.

5. After the implementation of clauses 1-4, a general analytical note of the entire system of indicators is prepared, which gives a complete comprehensive complex of the enterprise characteristics for all subsystems as a whole, financial state and recommendations for further effective functioning.

One of the pressing problems is the establishment of the recommended limits of coefficient change. Determining the methods of their establishment should not depend on the subjectivity of experts or performers, but to clearly defined.

In our practical implementation, the recommended limits were determined according to current GAAP standards, taking into account national industry specifics, as well as considering expert considerations [1, 3, 4, 9], and the personal experience of authors.

In general, calculation of indicators of the financial state of analysis based on descriptive models can be described schema (Fig. 2).

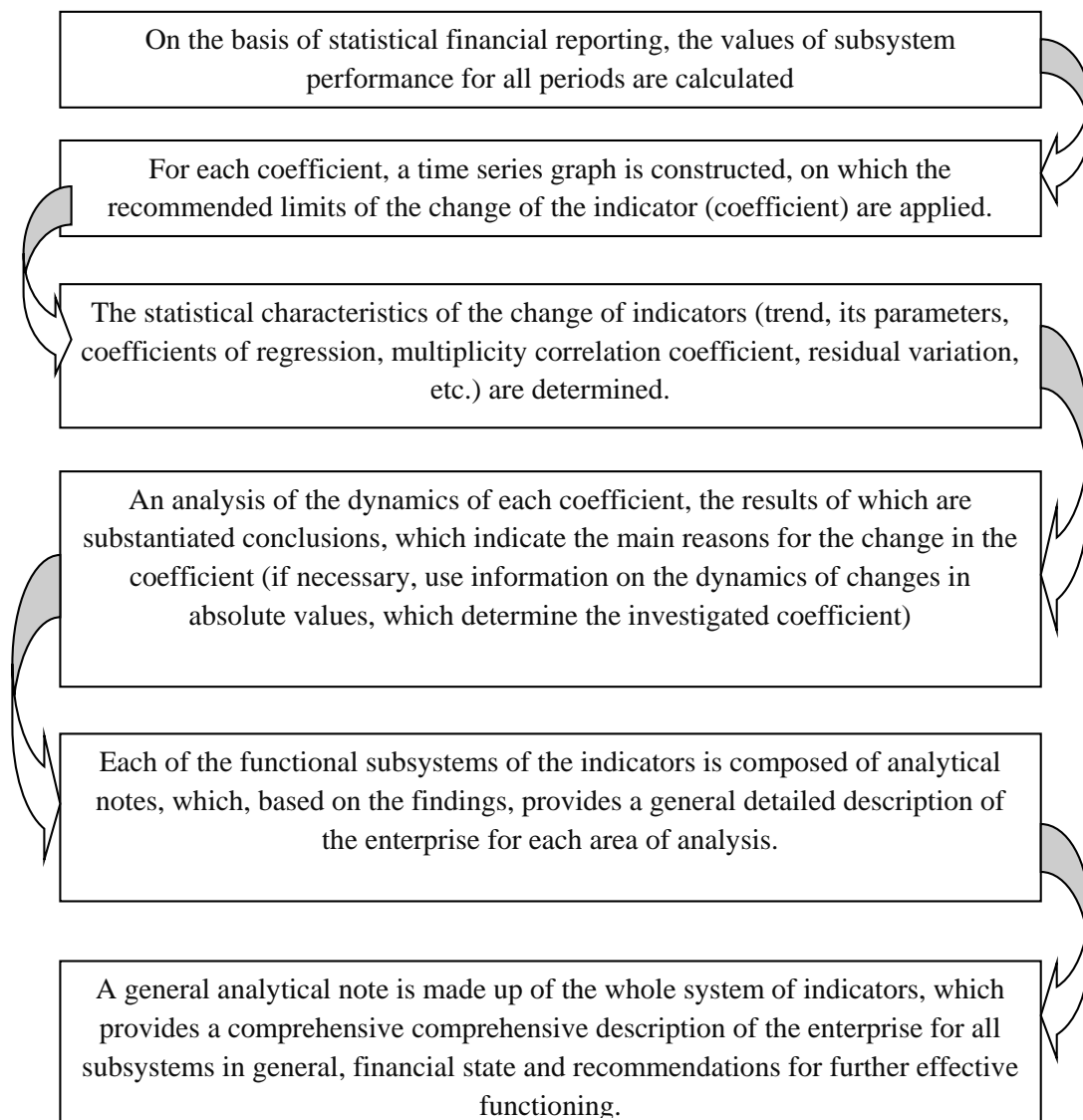


Fig. 2. Scheme of the sequence of estimation of the financial state on the basis of subsystems of indicators in descriptive models.

The proposed method differs from the existing that was developed and revised not only as a system of indicators, but also by the fact that it involves a sequential analysis of indicators, the totality of which belongs to the category of time series. Of course, the time series is not a random sample of some general population (except for the process of pure random noise) and requires certain transformations and the use of special methods that take into account a certain relationship between the indicators [1,4].

In addition, the proposed three-stage scheme of sequential analysis (analysis of changes in the dynamics of the indicator  $\Rightarrow$  analysis of the dynamics of functional subsystems indicators  $\Rightarrow$  analysis of the dynamics of the system of indicators in general) allows comprehensive, comprehensive and, in our opinion, quantitatively, consistently and most accurately estimate the financial condition of the enterprise.

In carrying out an in-depth comprehensive economic analysis of the financial state, focusing on the large amount of information intended for data analysis led to the fact that often-unsystematic flows, in which it was not always possible not only to use the information but also to get acquainted with it, led to annihilation necessary information.

In the practical implementation of descriptive models, the selection of indicators can be carried out on the principle of eliminating multicollinearity. Of course, any method of eliminating multicollinearity can be applied, but unfortunately, this procedure cannot be unified, that is, to clearly define the influential factors based on which to form the information base of economic analysis.

We, in developing a system of indicators for conducting an economic analysis of the financial state of the enterprise, in order to reduce the number of calculations and improve the efficiency while conducting an express analysis of the financial condition of the enterprise, proposed a heuristic method of permissible multicollinearity, which has acceptable (verified practice) characteristics. The algorithm of the method can be as follows:

1. Calculate financial indicators  $\{a_{ij}\}_{i=1,\overline{n};j=1,\overline{m}}$  (n-number of analytical indicators (coefficients), m - the number of periods, usually  $m \geq 7$ ) of all the above functional subsystems;

2. For each subsystem and system of indicators in general, a correlation matrix  $\{\rho_{ir}\}$  ( $\{\rho_{is}^l\}_{i=1,\overline{n};s=1,\overline{n_k}}^{l=1,\overline{L}} \in \{\rho_{ir}\}$ ,  $n_k$  - number of indicators in the subsystem  $k$ ,  $L$  - number of subsystems,  $\sum_{k=1}^L n_k = i, i = r$ ) is constructed;

3. For all coefficients of correlation, an allowable correlation coefficient is set  $\Omega^D$ ;

4. The pair of coefficients for which  $\{\rho_{ir}\}_{i,r=1,\overline{n}} \geq \Omega^D$ ;

5. For the correlation coefficients from item 4, there are those for which  $\{\rho_{i,r}\}_{i,r=1,\overline{n}} = \max_{\rho_{ir} > \Omega^D} \{\rho_{ir}\}_{i,r=1,\overline{n}}$ ;

6. For each pair of coefficients of item 5, calculate  $\sum_{i=1}^n |\rho_{ir}|$  and  $\sum_{r=1}^n |\rho_{ir}|$ ;

7. Finding  $\theta_{i',r'} = \max_{|\rho_{ir}|} (\sum_{i=1}^n |\rho_{ir}|, \sum_{r=1}^n |\rho_{ir}|)$ ;

8. The coordinate indicator  $(i', r')$  is excluded from the system.

When conducting an express and detailed economic analysis of the financial condition of the enterprise, the use of the method of permissible multicollinearity allowed several times to reduce the number of iterative calculations and thus obtain acceptable results, and the difference in quantitative calculations in the analysis of other methods is no more than permissible error and has only the theoretical value and does not affect on the quality of the analysis.

On the other hand, for qualitative characteristics, it is sometimes necessary to consider interdependent quantities. For example, when conducting a comprehensive and comprehensive analysis of the financial state of the company such indicators as the turnover rate of working capital (share of proceeds in working capital -  $K_{o\delta.o\delta.k}$ ), the period of turnover of working capital (the average period from investment of production to receipt of funds for sold products) and the coefficient

of consolidation of working capital ( $K_{закр.об.к.} = 1/K_{об.об.к.}$ ) are interrelated in time space (the correlation coefficient is  $-|r| \geq 0,95$ ), but the absence of at least one of these indicators can significantly reduce the efficiency analysis of the operating (working capital) in particular, and the financial condition of the enterprise as a whole.

That is why the requirements of the necessary adequacy of the original data are indisputable, are creative and do not have an unambiguous solution.

Although all the calculations given in the work approved and confirmed by the practical implementation of them, of course, in no case should be absolutised, they were developed in order to systematize the content of analytical procedures in addition to the assessment of the financial condition of the enterprise.

**Conclusions.** Along with the problem of developing a system of indicators for the purpose of analyzing the financial condition of the enterprise, there are problems not only with the definition of representative integrated rating assessments, which are the quintessence of financial and economic activity and increase to a certain extent the ability to conquer and retain competitive advantages, but also what remains out of focus. the question of studying the possibilities of obtaining a loan is not in terms of the bank, but from the point of view of the enterprise.

This requires, first of all, the optimization of the system of indicators, the improvement of the methodology, methodology and algorithmic evaluation of the financial monitoring for the investment creditworthiness of the enterprise, which significantly differs from the usual creditworthiness by the need to forecast the future state of the enterprise, that is, taking into account the dynamics of the development of its financial situation in the future in the realization of investment projects, relying, at the same time, on the analysis of financial activity in the past years, but this is a topic of further scientific research.

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# INFLUENCE UNDERSTANDING OF THE FINANCIAL MARKET'S FUNCTIONING TO THE COMMERCIAL AWARENESS OF ENTERPRISES: FOREIGN EXPERIENCE

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## ABSTRACT

Basic financial knowledge goes a long way when contemplating the structuring of potential investments, as well as reviewing due diligence documentation prior to an investment being made. Being a public company opens up another avenue of finance, this time on the debt side. The principal types of bank are commercial (lending), investment (securities underwriting and trading) and bundled (both). Enterprises can usually borrow more cheaply by issuing a bond than by getting a loan from a bank, because a bondholder can simply sell the bond to get its money back whereas it is trickier for a bank to sell a loan (loans aren't designed to be bought and sold in quite the same way). An enterprise's staff is now required to play a more prominent role in business decisions rendered by an enterprise, as well as help shape their strategy and assist the enterprise to meet its corporate objectives

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**Introduction.** Commercial awareness does not only include industry specifications for the job you hold, but understanding of the workings of the business that your employer is in, and the varying contributing factors (be they national or international) that impact this business. Such knowledge can only be attained by taking a pro-active approach in getting to know the industry, by immersion into the environment and familiarizing oneself with the main players as well as their movements. Commercial awareness for staff is not only understanding an industry and a business though; it is also about having skills in other professional sectors as well – having a reasonable understanding of finance and accounting, as an example.

**Research results.** So far we have looked at equity raising through listing on the Stock Exchange. But being a public company opens up another avenue of finance, this time on the debt side. We already know that debt consists of loans. There is another type of debt: bonds.

A bond is basically an IOU which can be sold to someone else. This is why bonds are said to be tradable. The word 'bond' also means guarantee (my word is my bond) - as in 'posting a bond' to guarantee that something happens or someone behaves in a certain way. But in the financial markets it means a tradable 'I owe you' [1, p.137].

Only public companies can issue bonds. Private companies in the UK aren't allowed to issue bonds and, in any case, aren't big enough to raise the sort of amounts to make a bond issue worthwhile or to have the name recognition to make an issue successful. But public companies can and do.

Unlike loans (which are provided by banks), bonds are tradable, which means that institutional investors can buy and sell them - which is why the international bond market is global and huge, one of the biggest financial markets in the world.



Enterprises aren't the only issuers. Governments are big issuers of bonds. In fact the biggest borrower in the world is the US government. Its bonds are called US treasuries because they are issued by the Treasury Department. UK government bonds are called gilts because they used to have a gilt edge as a mark of distinction [1, p.138].

Enterprises can usually borrow more cheaply by issuing a bond than by getting a loan from a bank, because a bondholder can simply sell the bond to get its money back whereas it is trickier for a bank to sell a loan (loans aren't designed to be bought and sold in quite the same way).

UK listed companies issue debentures which are registered bonds issued in the UK in sterling and listed on the London Stock Exchange as debt instruments. Debentures are often secured over the company's assets so that if the company defaults on the debenture, the holder can seize company assets and sell them to recover what it is owed (this is what lawyers call security but don't confuse it with securities which is the term used in the financial markets to mean bonds and shares). But the debenture market is domestic and relatively small [2, p.206].

By contrast, international bonds are bearer instruments (whoever holds a bond is treated as owning it). In the old days when they were issued as bits of card, they would have coupons attached that the holder would clip and return to the issuer in order to get the interest owed (that was the only proof required that you were the rightful recipient of the interest). This is why the interest payable on a bond is often called the coupon. The majority of bonds pay a fixed rate of interest throughout their life (e.g. 5%) which is why bonds are often called fixed income instruments. Because the amounts in question are so large, the rate of interest is expressed in hundredths of a percentage, called basis points.

An international bond is issued by a company outside its home market and is often denominated in dollars (the currency of international finance and trade). Although bonds have been issued internationally for centuries, the current market dates from the 1960s when issues were made to tap dollars held on deposit in European banks - hence the term 'Eurodollar' and 'Eurobond' (which does not, yet, mean a bond denominated in euros).

In order to issue an international bond, a company has to get the issue rated by a credit rating agency (such as Standard & Poor's, Moody's or Fitch). The rating agency will vet the company's financial position and 'rate' the issue in terms of the company's ability to service the debt (pay interest on it) and repay the principal. The rating agency (to which the issuer pays an annual fee as well as activity-based fees in relation to each rated issue) will continue to monitor the company's ability to meet the interest payments and repay the principal on maturity. Ratings range from 'triple A' (written 'AAA' or 'Aaa' depending on the rating agency) to 'below investment grade' ('Ba1' or 'BB+' or 'BB') and if the issuer's financial condition deteriorates or - in the language - its ability to service or repay becomes 'impaired', it may be immediately downrated [3].

The reason for this is that traders in the bond markets buy and sell at a moment's notice and want to know quickly whether the issuer is likely to default. They don't have time to undertake extensive credit analysis, unlike a lending bank which will pore over a company and its accounts before making a loan to it.

If the rating goes 'below investment grade', many of the institutional investors that hold the issue will have to sell (pension funds in particular are usually forbidden by their trust deeds to hold securities that are below investment grade). The market value of the bonds will go down as fewer institutions will want, or are able, to hold them. A more pejorative term for 'below investment grade' is junk bond or high-yield bond. There are banks and traders that specialise in buying junk bonds cheaply and holding them in the hope that the issuer's fortunes will recover and the bonds will be repaid in full.

But junk bonds are not bad in themselves. For example, a company may deliberately issue a short-term, high-yield bond (paying a high rate of interest) to fund an M&A deal - then if the takeover is successful, it will refinance the issue on more preferential terms when the takeover has been completed.

Bonds can have maturities ranging from 90 days to up to and beyond 20 years. Bonds of very short duration are called commercial paper. These issues are made by large, listed companies to fund a short-term working capital requirement (you see, it all connects). They usually have a maturity of just 90 days and don't pay interest. Instead they are issued at a discount to their face value: at the end of the 90 days the holder is paid the full face value. So if CP with a face value of 100 is issued at 99, the company receives 99 and in three months' time pays back 100. So for three months' money the company is paying 1%, which equates to an annualised rate of 4%.

What tends to happen at the end of the 90 days is that the CP is rolled over - the amount owing is repaid by a fresh issue of paper made to replace the paper that has expired. Commercial paper is bought by banks to park short-term deposits, but mainly by other large companies to invest short-term revenues that aren't immediately needed but will be soon.

Bonds with maturities over five years are called medium term notes or MTNs. They are often issued as part of an MTN programme where the company has a panel of three or four banks that have agreed to meet all of the company's debt requirements including loans and MTNs. The company decides at any point what it needs, tells the panel and the one offering the cheapest rate gets the business.

Any bond over 10-12 years is called a long bond. As a general rule, the longer the tenor, the higher the rate of interest the company will pay to offset its credit risk because the longer the maturity, the less easy it is to predict what state the company is likely to be in when the bond expires [4, p.23].

Zero coupon bonds (also known as deep discount bonds) are issued without a coupon: they don't pay interest but are issued at a discount to their par or face value; on maturity the holder receives the face value. So, for example, a 5-year bond with a face value of 100 that is issued at 80 will reward the holder by paying an additional 20 on redemption, which is a 25% return over five years on the initial investment, or 5% a year [5].

You still get loans in the international financial markets but these tend to be huge and because they are so big will be beyond a single bank to provide. So a company's bank will put together a syndicate of banks which between them will lend the company the money that it wants but on identical terms using a single syndicated loan agreement.

Each bank will go through its internal credit approval process, involving due diligence (examining the company's financial standing - due diligence also occurs in M&A deals). Once the loan agreement has been negotiated and signed (this is called completion) the company can draw down the money provided it satisfies some conditions precedent (various legal opinions and certificates ensuring the documents are duly signed and the borrower is legally capable of borrowing).

During the life of the loan the company must comply with covenants (promises) in the loan agreement. Any breach by the company of the terms of the loan agreement is an event of default which allows the banks to accelerate the loan (ask for the money back early).

Possibly the trickiest term in the financial markets is the word 'bank'. It covers a multitude of different financial institutions which do different things. Banks are the source of debt funding.

A bank that makes loans is called a commercial bank. Commercial banks take deposits from people like you and me (our monthly salary cheque for example) and they lend us money (e.g. by way of overdraft). They pay us measly amounts of interest on money we deposit with them and charge us usurious rates of interest on any money we borrow. They keep the difference (this is called the margin or turn). Lending to you or me is called retail banking (it's the consumer market). Lending to companies is business-to-business or wholesale banking. Commercial banks also fund themselves by borrowing from each other on what is called the inter-bank market and the rate of interest they charge each other is LIBOR (London inter-bank offered rate) [1, p.160].

Then there are investment banks. These don't lend or invest. What they do is help companies and governments issue bonds: they advise them on how to issue bonds and at what price (this is called origination) and they underwrite the issue of those bonds. They also distribute those bonds to institutional investors. All of that activity is called primary market activity. Investment banks also buy and sell 'second-hand' bonds in what are called the secondary markets - where they act as market-makers (being prepared to buy from or sell to investors, so providing a market for those bonds) and dealers (buying bonds for their own account).

Investment banks now do the same for shares (for instance in arranging, underwriting and distributing the shares in IPOs), but they didn't always do this. In the UK this was traditionally done by merchant banks, which helped businesses trade internationally by providing letters of credit and trade finance. This knowledge of their corporate clients enabled merchant banks to advise them on raising equity finance and M&A deals (together called corporate finance) and on investing their profits and pension funds (called fund management).

Merchant banks have now all but disappeared - taken over by commercial and investment banks. In fact the biggest banks in the world combine all these activities - commercial, merchant and investment banking - and are called bundled, conglomerate or universal banks. Occasionally banks' credit ratings dip below those of their corporate customers - for instance, if the industry is in a periodic downturn.

Then companies can tap institutional investors for funds directly, bypassing banks. This is disintermediation and banks hate it.

One of the growth areas for syndicated loans is in M&A transactions, where bank lending is called acquisition finance. As you now know, acquisitions are traditionally funded by the buyer's equity ('paper') in a share-for-share acquisition. But debt finance is often more attractive to:

- the target's shareholders (they get money not the buyer's shares)
- the buyer, since the costs are tax-deductible (whereas dividends are paid out of after-tax income)
- the buyer's shareholders, since any additional issue of equity may depress the buyer's earnings-per-share (since there are more shares in issue) which is a key profitability figure.

The debt can be provided as a loan. But high-yield bonds are also used in acquisition finance to fund an M&A deal for a short period until it is refinanced with a loan or bond at a lower rate of interest.

Acquisition finance is also used to fund MBOs and LBOs. Sometimes a bank may want the option of turning its loan (or part of the loan) into shares if the bought-out business does well, in which case that debt is called mezzanine finance (mezzanine is a floor that's mid-way between two

others; so this type of debt is mid-way between debt and equity). It is convertible from debt into equity, which is what convertible bonds are.

A lot of businesses don't actually own the assets they use. Whereas you and I might want to own the place we live in or the car we drive, businesses aren't interested in ownership provided they have the economic use of the asset. So instead of borrowing money to buy an asset (such as an aircraft in the case of an airline or an oil rig if you're an oil company), they get the bank to buy it and then lease it to them. This is like renting a flat rather than buying it with a mortgage - you never end up owning it.

This can actually be cheaper than borrowing and buying, for two reasons. The first is that the bank actually owns the asset so it feels more secure, which means it is exposed to less risk (if the company defaults, the bank owns the asset so can easily grab it back). This in turn means that it will charge less by way of rental under the lease than it would have by way of interest under a loan. The second is that the government gives tax advantages for capital investment (as buying big assets for use in business is called) – in order to encourage business to invest in itself and remain competitive internationally. These tax advantages are passed on, in part, by the bank – in effect reducing the rental payable under the lease.

What happens is that the company enters into the lease with the bank. The lease term (length) is for the useful economic life of the asset (say 15 years). By the end of that primary term (as the lease period is called) the bank has been paid out - in other words the company's payments of rental (usually quarterly) have paid back the bank the cost of the asset and the interest on the principal over the 15 years (in this sense the payments work just like a mortgage – the further along you get, the greater the part of the payments that is paying off the principal cost of the asset).

So after 15 years the asset is either sold in the second-hand market and the company leases a new one; or it can continue to lease the asset but at a peppercorn rent (i.e. next-to-nothing since the bank has already been repaid). During the course of the lease, the company is required to maintain and insure the asset (almost as if it owned it) and is prevented from selling or charging the asset to anyone else (since the bank is the owner) [2, p.206].

You'd be surprised how many things are leased: most airlines lease rather than own their planes; most train companies lease their carriages. Virtually anything can be leased provided it is used in a business context. This includes oil rigs and ships on the one hand and audio recordings and films on the other.

Finance leasing should not be confused with operating leases. If you rent a car when you go on holiday, that is an operating lease: it's not for the car's useful economic life and you certainly don't expect to maintain it or insure it. The hire company does that.

By the way, hire-purchase and conditional sale are similar to finance leasing but they are different from it in that legal title to the asset does pass so the company does end up owning the asset.

You may come across sale-and-leaseback transactions. These are a form of asset finance in that a company which, say, owns its office may sell the office to a bank and then rent it back, in order to realise its capital investment in the office - i.e. get a lump sum out of the office. The idea here is that unless a company's core business is property ownership, it should not be a land owner but should instead use that capital in its main business.

**Conclusions.** It is only with such familiarity with the related industries, that a staff can be effective in understanding legal and commercial risks and how to mitigate them. Furthermore, basic financial knowledge goes a long way when contemplating the structuring of potential investments, as well as reviewing due diligence documentation prior to an investment being made.

Today, businesses operate in a very prescriptive and regulated business environment. This has meant that an enterprise's staff is now required to play a more prominent role in business decisions rendered by an enterprise, as well as help shape their strategy and assist the enterprise to meet its corporate objectives. An informed staff, engages with all business units to gauge a feel for the enterprise's status and anticipate problems before they occur.

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# ОСОБЛИВОСТІ ЕКОНОМІЧНОЇ ПОВЕДІНКИ ДОМОГОСПОДАРСТВА ЯК ВІДКРИТОЇ СОЦІАЛЬНО-ЕКОНОМІЧНОЇ СИСТЕМИ

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## ABSTRACT

At macro and microeconomic levels, household behavior is usually analyzed within the framework of such basic concepts: neoclassicism, institutionalism, and behaviorism.

It is noted that a household is a socio-economic object, which has such properties as integrity, hierarchy, integrability, openness, heterogeneity. The research analyzes the peculiarities of the economic behavior of a household as an open socio-economic system, which is formed on the macro level on the principles of organization and self-organization, and at the macro level, quasi-organization, self-organization and self-reflection.

In this case, there are natural manifestations of a reflexive approach in cases where relations between elements of the socio-economic system are not relations of direct subordination.

The indirect impact on the household's economic behavior on the part of the state is to translate the motives for decision-making. After all, reflexive management in contrast to the organization does not involve the presence of direct commands, instructions, demonstration of the pattern of behavior, but consists in the transfer of incentives for the desired solutions.

At the same time, households can not only perceive differently the controlling influence, but also generate solutions that are not desirable from the standpoint of the state economy, which is multiplied in the conditions of the socio-economic crisis.

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**Вступ.** Час та розвиток економічної науки впливають на підходи та методи дослідження економічних процесів. Адже розвиток наукового бачення в цілому та накопичення статистичної інформації, отриманою на основі багаторічних спостережень, дозволяють виділити загальні принципи та закономірності розвитку економічних систем та процесів, які протікають в них або породжуються ними [1], змінюючи таким чином, коли це можливо, рівень інформаційної ентропії.

При цьому, однією з методологічних проблем сучасної економічної науки є проблема формалізації, яка протиставляється змістовному та інтуїтивному економічному мисленню та пов'язана, перш за все, з математизацією економічних знань, яка передбачає як простіший кількісний аналіз первинної економічної інформації, так й створення комплексів складних багаторівневих формально-математичних моделей та теорій [2].

Завданням економіко-математичного моделювання, як розділу економічної науки є побудова та дослідження економіко-математичних моделей та їх практичне застосування.



Адже, це теоретична наука, безпосереднім предметом дослідження якої є економіко-математичні моделі, а непрямим – економічні явища, процеси та об'єкти, формалізований опис яких дозволяє узагальнено формулювати базові теоретичні положення та отримувати на їх основі практичні висновки [3].

У цьому контексті моделювання є одним з актуальних напрямів економічної науки, тісно пов'язаним з обґрунтуванням стратегії економічної поведінки та способів її реалізації.

**Результати дослідження.** На сучасному етапі розвиток теорії та методології економіко-математичного моделювання слід вбачати залучення досягнень такого напрямку філософії, як феноменологічний підхід, який ґрунтується на паралельному розвитку досліджуваного об'єкту, свідомості суб'єкту пізнання та методу, за допомогою якого суб'єкт пізнає об'єкт [4].

Разом з цим процес пізнання явищ навколишньої дійсності дозволяє виявити не лише об'єктивні, але й суб'єктивні передумови використання понять, пов'язаних з неповнотою наявних відомостей про об'єкт пізнання, з виникаючими в ході цього процесу помилками та ін. Адже саме розуміння таких категорій, як визначеність і невизначеність, співвідношення між ними істотно змінювалось на різних етапах розвитку наукового знання. Так, Л. М. Гутнер вбачає певний синонімічний зв'язок поняття визначеність і таких аспектів буття, як стійкість, необхідність, дискретність, відносна ізольованість і ін., а невизначеність – з такими, як становлення, взаємодія, безперервність, випадковість і т. п. [5].

Першим та найбільш важливим етапом економіко-математичного моделювання є постановка проблеми та її якісний аналіз, який, зокрема, передбачає разом з вибором об'єкту та мети дослідження визначення критеріїв досягнення цієї мети. Так, для дослідження економічної поведінки домогосподарств можна застосовувати аналіз домогосподарства як елементу системи та як самостійної системи із застосуванням засобів структуризації [6].

При цьому, об'єктна структуризація застосовується до домогосподарства, як до організаційного елементу економічної системи, створюваною функціонуванням та взаємодією індивідуумів, а процесуальна – відображає функціонування домогосподарства як суб'єкту, представленого сукупністю пов'язаних процесів [7].

Таким чином, домогосподарство як суб'єкт економічної системи є самостійним учасником економічних процесів, діяльність якого спрямована на задоволення потреб його членів шляхом реалізації основних функцій, а домогосподарство як самостійна система є місцем неперервного відтворення економічних ресурсів. Отже в залежності від місця домогосподарства в ієрархічній структурі досліджуваної системи невизначеність в процесі моделювання економічної поведінки має різний механізм та, відповідно, різні форми прояву.

У сучасній економічній теорії існують різні дефініції економічної системи. Але кожна з них так чи інакше узгоджується із спільними рисами загального поняття «системи», до яких слід віднести: структурованість об'єкту; наявність структурних зв'язків між елементами; властивість, яка відображає специфіку взаємодії елементів системи та ідентифікує систему в цілому [8].

Отже, з точки зору системоутворення економічна система є сукупністю економічних елементів, які утворюють цілісну економічну структуру суспільства, єдність взаємовідносин, які виникають в процесі виробництва, розподілу, обміну та споживання [9].

Дещо інакше трактується економічна система в роботі [10], в якій вона визначається як сукупність усіх видів людської діяльності в процесі виробництва, обміну, розподілу та споживання, а також регулювання такої діяльності. Більш детальний підхід до розуміння суті економічної системи виявляє С. В. Мочерний, визначаючи її як комплекс підсистем та елементів, що взаємодіють, сукупність економічних зв'язків між ними, наслідком чого є виникнення законів розвитку та функціонування даної системи, які представляють її цілісність та організованість, посилюючи ефективність досягнення загальної економічної мети [11].

Основою виникнення та існування економічної системи слід вважати її цілісність, яка полягає у стійкій економічній взаємодії її елементів [12]. При цьому, М. Атанов наголошує, що економічна система – це «спільнота елементів та підсистем, об'єднаних функціональними горизонтальними зв'язками» [13], які передбачають відношення щодо операцій обміну результатами діяльності елементів системи. А процес взаємодії елементів економічної системи породжує певні явища, які можна розглядати як модель поведінки системи в різних умовах її функціонування [8].

Отже, можна говорити, що економічна система — це сукупність економічних відносин між суб'єктами, що хазяйнують і здійснюють вибір способів оптимального використання обмежених ресурсів з метою задоволення індивідуальних і суспільних потреб, забезпечення



регулярної циркуляції продукту виробництва в національному масштабі та створення умов життєздатності системи, її саморегулювання та розвитку [12].

Увагу дослідників зосереджено на економічній поведінці домогосподарств, фірм, державних органів на різних ринках, які є місцем реалізації видів, мотивів, особливостей економічної поведінки [14]. Але, саме домогосподарства слід вважати первинним елементом економічної системи, саме домогосподарства є головним джерелом інвестування та стимулювання розвитку реального сектора економіки [15]. Домашні господарства є власниками значної частки ресурсів та «виробниками» людського капіталу, вони формують споживчий попит на ринку товарів та послуг, а також пропозицію на ринку праці [16]. Домогосподарство та його дохід безпосередньо беруть участь у всіх трансформаційних процесах, що відбуваються в соціально-економічній системі суспільства, впливають на динаміку й тенденції розвитку економіки [17].

При цьому, аналіз місця домогосподарства в суспільній економіці дозволяє робити наступні висновки [12]:

- домогосподарство є основним суб'єктом національної економіки, поєднуючи в собі формальні та неформальні типи економічної поведінки; основним мотиваційним фактором функціонування домогосподарства є створення та підтримка умов нормальної (задовільної) життєдіяльності шляхом виконання основних функцій;

- основним продуктом і товаром домогосподарства є робоча сила;
- як споживач домогосподарство повинно мати джерело благ для задоволення власних потреб;
- кожному етапу суспільного розвитку відповідає певна організаційна форма домогосподарства;

- в традиційній економічній системі економічна поведінка домогосподарств ґрунтується на системі правил, звичок, життєвому укладі в різних умовах.

При цьому, як на макро- так і на мікроекономічному рівні поведінка домогосподарств зазвичай аналізується у межах таких основних концепцій: неокласицизму, інституціоналізму та біхевіоризму.

Так, неокласична економічна теорія певним чином ототожнює домогосподарство з родиною як виробничою одиницею, функціонування якої спрямоване на максимізацію добробуту його членів шляхом оптимізації витрат часу, що витрачається як на працю всередині домашнього господарства так і на ринку праці. До того ж ту чи іншу роботу виконує той, хто здатен це зробити найбільш раціонально в економічному розумінні [18].

На сьогодні неокласика вважається економічним мейнстрімом для якого актуальною залишається абстракція «економічної людини». З огляду на раціональність економічної поведінки домогосподарства це передбачає максимізацію вигоди та мінімізацію витрат, що забезпечується наступними припущеннями [19]:

- суб'єкт є незалежним (рішення приймаються самостійно, виходячи з власних інтересів);
- суб'єкт є егоїстичним (основною задачею є турбота про власні інтереси, а метою – максимізація власної вигоди);
- суб'єкт є раціональним (на шляху досягнення мети обирається найбільш зручна або вигідна альтернатива);
- суб'єкт є інформованим (достатньо інформації як про власні потреби, так і про можливі варіанти їх задоволення).

Так, повністю узгоджуються з принципом егоїстичності ординалістська теорія корисності та стандартна теорія вибору споживача Ф. Еджуорта, В. Парето, І. Фішера, Р. Аллена, Дж. Хікса; існування загальної економічної рівноваги в інтерпретації Ерроу-Дебре; теорія виявлених вподобань І. Бентама, М. Ріхтера, А. Сена.

Але дійсність є такою, що в прийнятті рішень індивід покладається не лише на розум, але й на інтуїцію, а мотивація його економічної поведінки формується також неекономічними факторами [20]. Зокрема, модель А. Сена передбачає врахування таких зовнішніх факторів, як моральні принципи та загальнолюдські норми.

На протигагу раціональності економічної поведінки пропонуються ймовірнісні моделі К.Ерроу, Неймана-Моргенштерна, Ф. Найта. В моделях Бруннера-Меклінга та З. Лінденберга, які разом з максимізацією корисності передбачають певну обмеженість, пов'язану із суб'єктивними оцінками, очікуваннями та вибором, робляться спроби поєднання рис економічної поведінки в межах неокласичного та інституціонального підходів.

Адже інституціональний напрямок враховує в якості факторів формування економічної поведінки домогосподарств соціально-статеву нерівність всередині господарства, концепцію родини, демографічний фактор та ін. [12]. Враховуючи вплив позаекономічних (соціально-

психологічних) факторів, які пояснюють економічну поведінку домогосподарств, представники інституціонального підходу не вважають еквівалентними такі поняття як «домогосподарство» та «індивід», але погоджуються з тим, що домогосподарство, як основна економічна одиниця, яка приймає рішення, є групою індивідів, яка й утворює суспільне господарство. Крім того, домогосподарство є суб'єктом, що існує в певному інституціональному середовищі, яке й визначає структуру домогосподарства, внутрішні відносини між його членами та, як наслідок, його ендегенне середовище [16].

Важливими характеристиками екзогенних факторів, які впливають на формування загальної мети господарської діяльності домогосподарства та множини варіантів її досягнення, слід вважати невизначеність станів соціального та інституціонального середовища, масштабність та складність інформації, що в окремих випадках унеможливує її сприйняття, аналіз та використання. Саме це, на думку Дж. Ходжсона, зумовлює виникнення ситуацій, в яких домогосподарство не може бути оптимізатором, а сам процес оптимізації стає окремим випадком широкого класу задач прийняття рішень. Таким чином, інституціональний підхід є основою для розуміння поведінкової передумови – обмеженої раціональності, яка передбачає дискримінацію вибору за рахунок впливу трансакційних витрат [21].

В цей же час, представники неінституціонального підходу Р. Коуз, Д. Нортон, О. Уільямсон, Г. Беккер та ін. пов'язують існування домогосподарства з його здатністю до зменшення трансакційних витрат, що забезпечується за рахунок стандартних зразків та практики поведінки в родині [22].

Серед представників біхевіористської економіки виділимо роботи нобеліатів Дж. Акерлофа та Р. Шиллера, які висунули теорію «ірраціонального початку», що передбачає психологічні та соціальні фактори впливу на формування економічної поведінки людини, Д. М. Фаддена, який пов'язує основи неокласичної моделі поведінки економічних агентів з генетичними основами людської психології, теорію перспектив Д. Канемана та А. Тверські, яку сучасники цілком справедливо вважають показовим прикладом сумісного використання психологічних та економічних досліджень.

Окремі біхевіористичні риси можна виявити в основних принципах еволюційної економіки, сформульованих Р. Нельсоном та С. Уінтером. Так основними поведінковими передумовами еволюційної теорії можна вважати: обмежену раціональність, гетерогенність, генотипичну спадковість, змінність та економічний відбір.

Отже, домогосподарство є соціально-економічним об'єктом, якому притаманні такі властивості, як цілісність, ієрархічність, інтегративність, відкритість, неоднорідність.

Крім того, як відзначав автор фундаментальних праць з теорії управління В.М. Глушков, економічній системі притаманні такі риси, як організованість, цілеспрямованість та керованість, під якою слід розуміти сукупність об'єктивних і суб'єктивних чинників, що забезпечують або намагаються забезпечити її рівновагу чи функціонування в певному режимі. Так, чинниками економічного процесу слід вважати умови, в яких або завдяки яким даний процес протікає. До того ж доцільно вирізняти чинники зростання та чинники розвитку, перші з яких у першу чергу впливають на нарощування кількісних параметрів, а другі – на якісні показники [1].

Слід також відзначити, що необхідним фактором ефективного функціонування економічної системи є процес його регулювання, а серед основних типів такого регулювання виділяють: державне регулювання, ринкове саморегулювання та змішане (ринково-державне) регулювання [10].

З огляду на моделювання економічної поведінки домогосподарства як відкритої соціально-економічної системи слід згадати, що у широкому сенсі під поняттям «організація» розуміють сукупність процесів та дій, що спрямовані до виникнення та вдосконалення зв'язків між елементами цілого та інтеграцію їх в систему [23].

Якщо розглядати процес організації з точки зору способів досягнення впорядкованості системи, то виділяються, з одного боку, зовнішні фактори впливу, а з іншого – взаємодія виключно її внутрішніх складових. У першому випадку йдеться про регульовану організацію з метою створення, формування певної системи, у другому – про її самоорганізацію [24].

Отже, основними відмінностями між організацією і самоорганізацією є те, що „в межах самоорганізації відповідна організація досягається завдяки внутрішнім факторам і відбувається ніби сама по собі, організацію завжди хтось або щось здійснює або направляє” [25].

Враховуючи вищезазначене, можна визначити самоорганізацію, як здатність системи самостійно (без спрямованого зовнішнього впливу) реалізовувати процеси, що забезпечують її функціонування та розвиток [26].

В роботах А.В. Бакурової [27, 28], присвячених дослідженню концепції моделювання самоорганізації соціально-економічних систем, проводиться семантичний аналіз слова «самоорганізація» і відзначається, що приставка «само-» позначає іманентність причин явища, тобто дії виконуються без зовнішнього втручання завдяки властивості, що притаманна предмету за його природою. Там же відзначається, що така приставка має характеризувати дію об'єкта, яка спрямована на самого себе.

З огляду на такий підхід можна припустити, що економічна поведінка домогосподарства, як відкритої соціально-економічної системи, спрямована на забезпечення життєдіяльності в умовах існуючого середовища завжди є самоорганізацією.

Але, порівнюючи властивості організації та самоорганізації, в роботі [27] відзначається, зокрема, що організаційні процеси виникають як результат попереднього плану та завжди існує суб'єкт їх виникнення; метою процесу є досягнення системою стану, структура якого відома до його реального втілення.

З цієї точки зору в межах неокласичної теорії можна говорити, що самоорганізації всередині домогосподарства, спрямованій у першу чергу на зростання, притаманні риси організаційних процесів, коли в умовах раціональності прийняття рішення домогосподарство стає як об'єктом так і свідомим суб'єктом. Тому вважаємо коректним називати таку економічну поведінку домогосподарства «квазіорганізацією».

Намагаючись внести ясність в суть поняття самоорганізації в соціально-економічній системі, автор робіт [27, 28] дає таке трактування – це процес управління системою на основі синергетичного підходу, що полягає в забезпеченні її життєздатності, тобто умов існування та розвитку. При цьому, процеси та відповідні ним структури виникають не заплановано, а аналогом мети системи є атрактор, що забезпечує її здатність до розвитку та стійкість при взаємодії із зовнішнім середовищем [29].

Слід також відзначити, що у соціально-економічних системах процеси організації та самоорганізації можуть відбуватися одночасно, а їх нетривіальні композиції є основою розвитку таких систем [27].

Таким чином, при дослідженні домогосподарства як елемента системи (макрорівень) слід погодитись з тим, що організаційна роль у цьому випадку може належати лише цілеспрямованим діям елемента вищого рівня, який контролює, регулює або створює умови, в яких (до яких) функціонує (адаптується) домогосподарство.

Так, саме держава за допомогою як економічних, так і адміністративно-правових методів регулює (організовує) економічну поведінку домогосподарства в умовах відповідного забезпечення доходів у формі заробітної платні, соціальної допомоги та соціальних трансфертів і створює умови, адаптація (самоорганізація) до яких дозволяє домогосподарству отримувати прибуток і змішаний дохід, дохід від власності.

Самоорганізація домогосподарств в таких умовах є елементом ринкового саморегулювання, одним з основних методів якої є збалансування попиту і пропозиції на продукти та ресурси і, як наслідок, встановлення ринкових цін на них.

Окремі особливості регулювання приватного сектору, до якого належать домогосподарства, наведені в таблиці 1.

Таблиця 1. Особливості регулювання приватного сектору економіки [авторська розробка]

Типи управління економічної поведінки домогосподарства на макрорівні	
Організація	Самоорганізація
Адміністративне (державне) регулювання	Ринкове саморегулювання
Домінуюча економічна теорія	
Кейнсіанська теорія	Класична та неокласична теорія
Основна мета	
Створення умов для підтримки рівноваги	Рівновага між попитом та пропозицією, оптимізація розподілу ресурсів
Характер економічної поведінки домогосподарства	
Пасивний	Активний

Якщо ж досліджувати домогосподарство як самостійну систему (мікрорівень), то державу слід вважати зовнішнім середовищем, а його дії (бездіяльність) – інтегральним екзогенним фактором (сигналом).

Опосередкований вплив на економічну поведінку домогосподарства з боку держави полягає у трансляції мотивів прийняття рішень. Адже, рефлексивне управління на відміну від організації не передбачає наявності прямих команд, вказівок, демонстрації шаблону поведінки, а полягає в передачі стимулів для виникнення бажаних рішень.

При цьому домогосподарства можуть не лише по різному сприймати керуючий вплив, а й генерувати рішення не бажані з точки зору державної економіки, що мультиплікується в умовах соціально-економічної кризи. Окремі поведінкові стратегії у цьому випадку можуть залежати від індивіда, його пам'яті, досвіду, асоціацій, інституціональних особливостей домогосподарства та формуватись на принципах стадної поведінки [30].

Проведений аналіз дозволив автору виділити низку особливостей економічної поведінки домогосподарства на мікрорівні, які наведені в таблиці 2.

Таблиця 1. Особливості управління економічною поведінкою домогосподарства як відкритої соціально-економічної системи [авторська розробка]

Типи управління	Квазіорганізація	Самоорганізація	Саморефлексія
Підхід до управління	Кібернетичний	Синергетичний	Рефлексивний
Домінуюча економічна теорія	Неокласична теорія	Інституціоналізм	Біхевіоризм
Мета	Зростання	Рівновага	Рівновага
Особливості поведінки	Раціональність	Обмежена раціональність	Ірраціональність або ситуативна раціональність
Координація	На рівні вертикальних зв'язків	На рівні горизонтальних зв'язків	На рівні опосередкованих зв'язків
Дії в умовах кризи	Збільшення доходів за рахунок ділової активності	Реструктуризація витрат за рахунок корегування споживання	реструктуризація цілей та зміна правил

**Висновки.** В представленому дослідженні зроблена спроба аналізу особливостей економічною поведінкою домогосподарства як відкритої соціально-економічної системи, яка на макрорівні формується на принципах організації та самоорганізації, а на макрорівні – квазіорганізації, самоорганізації і саморефлексії.

При цьому, природним є прояви рефлексивного підходу у випадках, коли відносини між елементами соціально-економічної системи не є відносинами прямого підпорядкування.

Опосередкований вплив на економічну поведінку домогосподарства з боку держави полягає у трансляції мотивів прийняття рішень. Адже, рефлексивне управління на відміну від організації не передбачає наявності прямих команд, вказівок, демонстрації шаблону поведінки, а полягає в передачі стимулів для виникнення бажаних рішень.

При цьому домогосподарства можуть не лише по різному сприймати керуючий вплив, а й генерувати рішення не бажані з точки зору державної економіки, що мультиплікується в умовах соціально-економічної кризи.

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## MANAGEMENT AND MARKETING

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empirical study.

## ABSTRACT

Innovations are one of the most influential factors on the economic growth and this is the reason why governments nowadays have significant concern about it. Researchers and academics from many countries study the innovations activeness and the type of innovations in various industry sectors but comparing the big scope of academic research on international level, there is insufficient research on the topic of innovativeness in Bulgaria. And as SMEs present a significant part of the regional and national economies including in Bulgaria, this empirical survey in Bulgaria and Spain is based on samples of SMEs from different sectors in both countries. In order to guarantee comparativeness the same questioning instrument was employed and the analysis revealed many similarities in the attitude to innovations and the type of innovations in small and medium sized companies in both countries. According to the survey results, the SMEs in Bulgaria focus more on innovations in the promotional policy e.g. the marketing communications in contrast with the small and medium-sized companies in Spain where the stress in innovations is more on changes in distribution channels and in the pricing strategies. The comparative analysis with the Spanish companies points out that concerning the innovations in "design and packaging of goods" and "usage of new methods for goods and services promotion" the behaviour of the Bulgarian and Spanish companies is similar. At the end of the paper are drawn some conclusions about the innovations activeness of the SMEs in both countries and the similar problems.

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**Introduction.** Innovations are definitely one of the crucial concerns of the business organizations as they are the most important factor for the success and growth of companies. According to the World bank data, Bulgaria has one of the lowest levels of productivity in the European Union (large expenditure of resources, low cost efficiency etc.) and one of the reasons for this state is the weak innovation activity of

the Bulgarian companies. In addition, recent research reveals that marketing innovations have insignificant intensity in the Bulgarian companies and especially in the SME. Another negative factor related to the innovations profile of Bulgaria is that according to the National Statistical Institute of Bulgaria the research and development (R&D) expenditure from the national budget have been cut for 2015 by 3.3% to 188.6 million leva [32]. In 2016, the highest R&D intensities were recorded in Sweden (3.25%) and Austria (3.09%), both with R&D expenditure above 3% of GDP [10]. At the opposite end of the scale, ten Member States recorded R&D intensity below 1%: Latvia (0.44%), Romania (0.48%), Cyprus (0.50%), Malta (0.61%), Lithuania (0.74%), Bulgaria (0.78%), Slovakia (0.79%), Croatia (0.84%) [10].

According to economists' reports and statistical data SMEs play a major role in the Bulgarian economy by serving as a link between big and small businesses as they represent nearly 98% of the economy. They are considered as a major player in providing linkages between various subsectors and also as a source of dynamism and agility. SMEs are also said to be an engine for economic growth by creating job opportunities for the regions and for the country as a whole. They contribute to reducing unemployment, thereby swallowing up a significant number of employed people which has a beneficial effect not only on the social development of society, but also on the pace of economic growth. Other than that, SMEs help to form the middle class in developing economies which consolidates the stability of social system, based on market-economy principles. In Spain there are currently over 3.114 million companies, of which 99.88% are SMEs. Micro companies, with up to 9 employees, make up 95.8% of the total, which is 3.4 percentage points higher than the estimate for the whole of the European Union (92.4%) [14]. Overall, in 2016 SMEs in the EU-28 non-financial business sector account for 99.8% and two thirds of the total EU-28 employment is provided by these kind of companies [26]. The SMEs sector provides slightly less than three fifths (56.8%) of the value added generated by the non-financial business sector - in Bulgaria 64.0% and in Spain 61.8%. Even in the EU-28 manufacturing sector in which large enterprises are generally dominant, SMEs still account for 58% of total employment and 42% of total value added in 2016. According to Eurostat the R&D expenditures in Spain for 2016 are by 0.4 of the GDP higher than in Bulgaria (see Table 1).

The data from the CIS research of EU state that more than the half of the enterprises in Europe are defined as innovative [11]. In Bulgaria the innovative companies are under one third (31%). In fact in Bulgaria the most innovative sector is the IT industry [31]. The leaders in innovations are Germany (80%), Luxemburg (65%), Portugal, Belgium (58%) and Ireland (57%). After Bulgaria in this ranking are Lithuania (30%), Hungary (29%), Poland (28%) and Latvia (24%). It is known that one of the three priorities of Europe 2020 Strategy is Sustainable growth – promoting a more resource efficient, greener and more competitive economy [9], so the main agenda of the government and the country for the next period is to have as many as possible innovative and successful SMEs due to their important role in the economic development and its consequent toward social benefits. All this shows that the research topic about innovations, decision making for investments in innovations including marketing innovations are very important issues for Bulgaria.

The topic is from great importance for Spain as well as there are similar problems in the country like in Bulgaria. The main innovation challenge faced at present by the Spanish Innovation System is the low level of resources for R&D and the lack of critical mass of the science and technology system. Spain lags considerably behind the EU in terms of GERD relative to GDP (1.07% of GDP as compared with the EU-25 average of 1.90% of GDP [27]).

The role of innovations as a significant factor in economic growth continues to be underestimated and this is valid for Bulgaria as well despite the fact that their importance has become at least equal to the overall effect of all traditional factors of production. There is a deficit of research on the innovation activities of the SMEs in Bulgaria although exactly the lack of innovations as well as lack of technological capability is the biggest problem of the Bulgarian economy and namely the low labor productivity which is on the bottom of the European Union.

Thus, according to the assessments of Western experts, global economic growth is already based, more than 75 per cent, on the achievements of scientific and technical progress [29].

According to the data, the top five R&D performers in relative terms (R&D expenditure as a proportion of GDP) are: Israel (4.3%) and the Republic of Korea (4.2%) being the world leaders, followed by Switzerland (3.4%), Sweden (3.3%) and Japan (3.1%) [26]. The best-known is the European Union (EU) target to raise overall R&D investment to 3% of GDP by 2020, but only two EU countries have reached this target (Sweden with 3.3% and Austria with 3.1%). From the European countries Bulgaria, Slovakia and Romania are on the lowest level of such investments: Bulgaria - 0.78%, Slovakia - 0.79% and Romania - 0.48%. At the same time some of the countries in the region have much higher level of investments like Slovenia - 2.0. Spain is in the middle of the ranking with 1.19% but countries like Germany, France are approaching the goal of 3%.

Table 1. Research and developmental (R&amp;D) expenditure as a proportion of GDP, 2016\*

EU countries with lower level of R&D expenditure	% of R&D expenditure from the national GDP
Bulgaria	0.78
Romania	0.48
Slovakia	0.79
Spain	1.19
Greece	1.01
Chroatia	0.86
Czech Rep.	1.68
Poland	0.97
Hungary	1.21
Slovenia	2.0

\* <http://uis.unesco.org/en/news/rd-data-release>

As seen from the table the issue about the innovative activities which are closely related to R&D and especially the innovations activeness of the SMEs in Bulgaria is an actual problem and especially the problems and barriers for higher level of activeness is an extremely important research problem which can serve as a bridge between the business and the higher education institutions.

The main goal of the research paper is to compare the innovations' activeness of the SMEs in Bulgaria and Catalonia and the attitude to innovations in the SMEs in both countries.

*The research objectives are:*

- To investigate what is the part of the SMEs in Bulgaria and Spain (Catalunia) which have made some kind of innovations in their product policy - new or improved products or services and what part of their sales are due to these products and services.
- What kind of innovations related to marketing are conducted - in product design, packaging and marketing communications for the products.
- What kind of approach to the innovations is implemented by the Bulgarian and Catalan companies
- What part of the company's turnover are the investments for R&D and what part of the sales revenue is provided by the launched new products-goods and services;
- What are the main problems which the companies are meeting when doing innovations: in new product and services development and in other marketing activities.

The paper contains a comparative analyses of the empirical data for the Bulgarian companies with analogical data based on the same research questions for the activeness in innovations of SMEs in Spain.

**Background of the research.** A plenty of economic studies have revealed the importance of academic research for innovation, technology and economic growth (Tushman, 1977; Tushman & Katz, 1980; Adams, 1990; Narin et al, 1997; Rosenberg & Nelson, 1994; Mansfield, 1995; Henderson et. al. 11998; Branscomb et al., 1999; Griliches, 1998; Cohen et al, 2002). During the last 30-40 years, the management literature has documented the process of transferring of scientific knowledge into successful innovations and consequent economic growth mainly based on specific case studies and detailed surveys at company level (Tushman, 1977; Tushman & Katz, 1980; Bud, 1994; Hills, 1997).

On international scale, there is a plenty of research about various issues closely related to innovations, innovation activities, impact of different factors on the innovations' success etc. Researchers from different countries put the focus on innovations and SMEs as small companies present a significant part of the regional and national economies of many countries. Hoffman (1998) conducts a literature survey of UK work over the past decade and tries to characterize the state of knowledge about SMEs and innovation. It concludes with a discussion of gaps and weaknesses in the literature and some requirements for future research in this field. Massa and Testa (2008) investigate the innovativeness of a sample of Italian Small and Medium Enterprises (SMEs) based on self-reported data by entrepreneurs or managers and show that the considered SMEs were important developers of radical innovations in contrast with data published by local institutions. The results show the existence of deeply different perspectives concerning innovation, starting from its definition to the effective policies for its promotions and the role of intermediary institutions.

Considering that innovation is a complex phenomenon, other studies examine how innovations are linked with organisations' performance and try to understand and explain the conditions that make innovation profitable (Otero-Neira, C. Martti Tapio Lindman, M.T. and M.J. Fernández, 2009). The methodology used in the analysis is a multi-case comparative research of low-tech, small and medium-sized furniture firms from Italy, Spain and Finland. De Massis, Frattini & Lichtenthaler (2012) review and

systematize prior work on technological innovation in family firms and the study shows that family involvement has direct effects on innovation inputs (e.g., R&D expenditures), activities (e.g., leadership in new product development projects), and outputs (e.g., number of new products), as well as moderating effects on the relationships between these steps of technological innovation. Some researchers explore empirically the relationships between different cooperation networks and innovation performance of SME using the technique of structural equation modeling (SEM). Based on a survey to 137 Chinese manufacturing SMEs, the study finds that there are significant positive relationships between inter-firm cooperation (Zenga, S.X, Xieb, X.M. & C.M. Tamc, 2010), cooperation with intermediary institutions, cooperation with research organizations and innovation performance of SMEs, of which inter-firm cooperation has the most significant positive impact on the innovation performance of SMEs. Surprisingly, the result reveals that the linkage and cooperation with government agencies do not demonstrate any significant impact on the innovation performance of SMEs (opp. cit., 2010).

In the last decade various research papers are dedicated to studying the possible barriers to innovations in the small and medium-sized companies in different countries (Pachouri, A. and Sharma, S., 2016; Sharma, N. 2017) and to investigating the innovative behavior of small companies through variables like size, age, R&D investments etc.

(Sharma, N. 2017). A variety of research deals with necessary conditions for innovations in tourism (Brandao, F. et al, 2017) and other industries and with the relationship between innovations in SMEs and their growth (Subrahmanya, B. and Hillemane, M 2010; Bozic, L. and Radas, S. 2005).

Other research issue since 2003 when this topic evolved is the open innovation. Researchers from different countries identify some trends in open innovation research by analyzing how the literature on these topics has evolved since the introduction of the concept in 2003 (Van de Vrande, V., Vanhaverbeke, W. & O. Gassmann, 2010). They identify several directions for further research: open innovation research should be linked to other management areas such as marketing, HRM, change management, etc. Iceland researchers have also a significant contribution to the research on innovations in SMEs and especially the Centre for Research on Innovation and Entrepreneurship at Reykjavik University. Their research interests focus on topics like "innovation mix in young technology based firms", "service innovativeness", "design as an element of innovation", "internal and external relationships in small firms business models" etc. According to Candi (2015) for small firms in particular, R&D relationships with external innovators, large public research labs and universities, as well as industrial and other supporting partners are at the heart of how knowledge intensive innovation is organized and managed today.

Despite the various research interest, the knowledge base about how SMEs actually undertake innovative activities and what type of innovations they implement remains limited.

Comparing to the big scope of academic research on international level, there is insufficient research on the topic of innovativeness in Bulgaria. According to the research of Slavova (2009), the main barrier for the innovations in the small companies is the lack of financial resources as this activity is a risky task but at the same time 26% of the companies have introduced improved product and services in 2009. Analysis on the entrepreneurship and intentions for innovations prepared by Association INSITE in 2012-2013 [33] in Bulgaria the SMEs in the production sector have higher innovation activeness than the companies in the services sector. The authors conclude based on the research data, that 1/3 of the companies in the processing industry have a very low innovation activeness. The importance of small and medium-sized enterprises (SMEs) in economic growth has made them a central element in much recent policymaking nowadays.

**Research methodology.** The data collection method is online survey in both counties and the link to the survey questionnaire in Bulgaria was sent to a list of 150 small and medium sized companies prepared by random choice from the sampling frame: the Directory of companies - members of Burgas Trade and Industrial Chamber which includes nearly 80% of the small and medium sized companies in the South-Eastern Bulgaria. The Spanish sample is based on a list of companies based in the eastern part of Spain – predominantly small and medium-sized which are collaborating in various activities with the University of Barcelona. The number of companies reacting to the survey is 32 which accounts to nearly 60% of the companies in the list.

The survey questionnaire contains a couple of sections relevant to the research objectives. The majority of the questions employ a 5- level Likert scale that is a type of rating scale used to measure attitudes or opinions. For the purposes of the survey, respondents are asked to rate items on their own level of agreement. With regard to the statistical methods, the paper employs quantitative statistical methods: frequencies, cross tabulation, means and correlation analysis.

**Results and discussion.** *Company profile of the respondents - industry and size.* According to the survey information the staff of 77.5% of the companies in the sample is under 9 people, 12.5% of the companies have from 10-50 employees (small companies) and only 7.5% are middle sized



companies (with up to 250 employees). The biggest part of the firms are from the processing industry - 60%, a little more than ¼ are from the services sector- professional services, hotel and restaurant enterprises and 12.5 % operate in the retailing sector.

The Spanish sample of SMEs differs in the structure from the Bulgarian one as it is seen from Table 2: the percentage of the micro SMEs (up to 10 people) is more than double smaller than the same group in the Bulgarian sample. At the same time the percentage of the small companies in the Spanish sample is 3 times bigger as well as the percentage of the middle-sized companies, which reflects the company, structure in the Bulgarian economy.

Table 2. SMEs sample by number of employees in Bulgaria and Spain

Number of employees	Bulgaria	Spain
	Percent	Percent
Fewer than 10	77.5	31.3
10 to 49	12.5	34.4
50 to 249	7.5	21.9
More than 250	2.5	12.4

As far as the job position concerns nearly 88.0% of the respondents from the Bulgarian sample are general managers or CEOs, per 5% are marketing managers and managers “business development” and 2.5% are managers “New product development”. The comparison with the Spanish data about respondents’ job position points out that half of the respondents (50.1%) are CEO or managers. Nearly ¼ of the respondents are marketing, R&D and sales managers (see Table 3) which is much bigger than the percentage in Bulgaria but this is understandable as the Spanish companies are bigger and have more department managers.

Table 3. Job positions of the Spanish respondents

Job positions	Percent
CEO	31.3
Manager	18.8
Marketing manager	12.5
Sales manager	9.4
R&D manager	3.1
Key account manager	6.3
Other	18.8

The comparative analysis of the research data for both samples with regard to the question “what part of the sales revenues is provided by new products (goods and services)” for 2 years revealed that: 1. Nearly 1/3 of the Spanish companies (32%) generate 1-5% of sales revenue by new products and services launched on the market in 2015 and 2016. Only 13% of the Bulgarian companies belong to this group; 2. The Spanish companies with 5-10% of sales revenue from new products are nearly ¼ of the sample and the percentage of the Bulgarian SMEs in this group is 18% (see Table 4).

Table 4. Distribution of the Bulgarian and Spanish SMEs with regard to the contribution of new products to sales revenue\*

	Bulgaria	Spain
	Percent	Percent
Under 1%	3	6
1% - 5%	13	32
5% - 10%	18	23
10% - 25%	8	19
Over 25%	3	13
I don't know exactly	58	6

\*the data is for years 2015 and 2016;

There is a big difference in the percentages of the Bulgarian and Spanish SMEs with 10-25% of the sales revenue generated by innovations in products and services but it must be taken under consideration that more than the half of the Bulgarian companies do not have such kind of information (see Table 4).

*Development and introduction of new products and services.* One of the most important survey questions was about the kind of innovations introduced in the companies in both countries. The summarized survey data reveals that the majority of the companies in Bulgaria have introduced material product innovations - 58% and 53% of the respondents have conducted innovations in services.



According to the survey data 2/3 of the Spanish enterprises pointed out that they have conducted innovations in material goods and 63% of the companies in services (see Table 5). Generally, the percentage of the Spanish companies which have introduced product innovations (in either goods or services) is bigger by 10% compared to the Bulgarian enterprises (see Table 5).

Table 5. Distribution of companies in both countries by innovations in goods or services

	<b>Bulgaria</b>	<b>Spain</b>
	<i>Percent</i>	<i>Percent</i>
Innovations for new products	58	67
Innovations in services	53	63

The comparative data analysis of the innovation activeness in goods with regard to company size points out that the most active in innovations in Bulgaria are the small enterprises (80%) and the middle-sized companies: all of them in the sample have conducted such marketing innovations (see Table 5). As far as the Spanish companies concerns, mostly active in product innovations are the middle-sized enterprises (50-249 employees) and the companies with staff 250-499 people. According to the survey data the innovation activeness in services in Bulgaria and Spain is very similar: the lowest innovation activeness is in the group of the middle-sized companies -33% in Spain and 29% in Bulgaria (see Table 6).

Table 6. Innovation activeness with regard to the company size in both countries

<b>Number of employees</b>	Innovations for new products		Innovations in services	
	<b>Bulgaria</b>	<b>Spain</b>	<b>Bulgaria</b>	<b>Spain</b>
	<i>Percent</i>	<i>Percent</i>	<i>Percent</i>	<i>Percent</i>
Up to 9 employees	48	60	55	67
10-49 employees	80	45	40	73
50-249 employees	100	100	33	29
249-500 employees	-	100	-	100
Above 500 employees	100	100	100	100

As far as the innovation activity in production and services sectors in Bulgaria concerns, the survey data show that the higher activeness is equally represented in both SMEs groups: companies with service innovations and companies with product innovation.

The study explored the attitude towards innovations of the Bulgarian and Spanish SMEs by the answers of 16 statements related to different aspects of the innovative behavior of the companies (see Table 7). The study results give us the reason to make a conclusion that there are statistically significant differences for only 4 of all statements, namely:

- we offer totally new value to the customers: the Spanish companies are more inclined to provide new value to customers;
- we adapt business models which are successful in other industries: the Bulgarian SMEs are much more inclined to adapt business models which are successful in other industries;
- we develop radical improved product: the companies in Bulgaria are more inclined to this activity;
- we develop and produce totally new products: the SMEs in Bulgaria are more inclined to this activity (see Table 7).

Table 7. Attitude towards innovations of Bulgarian and Spanish companies

1	2	<i>Mean</i>	<i>Std. Deviation</i>
		3	4
We stimulate the creativeness	Bulgaria	4.08	0.971
	Spain	4.13	0.833
We strive to offer new/added value to the customers by breaking the current business model	Bulgaria	4.03	0.832
	Spain	4.41	0.560
We offer totally new value to the customers*	Bulgaria	3.65	0.949
	Spain	3.88	0.609
We are copying other successful business models when entering new markets	Bulgaria	3.60	0.810
	Spain	3.10	0.762
On new markets we offer products which have proved their value	Bulgaria	3.80	0.853
	Spain	3.53	0.803

Continuation of the Table 7.

1	2	3	4
We constantly improve our business model	Bulgaria	3.95	0.815
	Spain	3.84	0.767
We prefer to do improvements in the existing products than produce totally new ones	Bulgaria	3.58	0.781
	Spain	3.69	0.644
We renew the technologies for production of the existing products	Bulgaria	3.68	0.859
	Spain	3.81	0.749
We conduct improvements in the production process rather than introducing new ones	Bulgaria	3.75	0.742
	Spain	3.58	0.620
We develop new products by using the existing technologies	Bulgaria	3.80	0.853
	Spain	3.66	0.701
We are adapting business models	Bulgaria	3.55	0.876
	Spain	3.78	0.659
We adapt business models which are successful in our industry	Bulgaria	3.28	0.640
	Spain	3.56	0.504
We adapt business models which are successful in other industries*	Bulgaria	3.80	0.723
	Spain	2.89	0.994
We adapt business models which are successful in other countries	Bulgaria	3.80	0.758
	Spain	3.00	1.017
We develop radical improved products*	Bulgaria	3.63	0.774
	Spain	3.33	1.028
We develop and produce totally new products*	Bulgaria	3.00	0.816
	Spain	2.79	1.177

\*statistically significant differences with P-value&lt;0.05

*Investments in R&D activities and revenues from new products and services.* One of the basic survey issues is the question about the percentage of the sales revenue invested by the SMEs in R&D activities and the positive fact is that according to the survey results 82.5% of the enterprises in Bulgaria included in the sample have invested in innovation activities, 43% of the companies have invested from 5-10% of the sales revenue while 8% have invested 10-25% from the sales revenues (see Table 8). The situation with the investments is slightly different in the Spanish sample: the biggest percentage of companies (38%) are those investing 1-5% of sales revenue and 28% from the companies are investing 5-10%. According to the data much bigger part of the Bulgarian enterprises do not store and store information about this indicator- nearly ¼ of the sample (see Table 8).

Table 8. Expenses for R&amp;D activities from the turnover (sales revenue)

What is the % of the expenses for R&D activities from the turnover (sales revenue)?	BG	Spain
	Percent	Percent
Under 1%	3	16
1% - 5%	25	38
5% - 10%	43	28
10% - 25%	8	3
There is no exact information	23	16

The analysis of the companies' expenditures for innovations depending on their number of employees (size) reveals that there is no relation between the company size and the percentage of sales revenue invested for innovation activeness.

Another important issue is what is the contribution of the launched new products and services to the sales revenue and due to this circumstance, there is a question about that in the survey instrument. As far as this question concerns there is relatively big difference in the situation on both

samples but it is not possible to draw correct conclusion as there is a big number of missing answers on this question from the Bulgarian SMEs (58% of the Bulgarian companies do not have such data).

*Innovation in product design, promotions and distribution policy.*

With regard to the type of marketing innovations, the survey data show that the companies undertake more and easier innovations in the promotion policy e.g. in marketing communications: 65% of the SMEs made some innovations in their promotion policy and relatively high share of the company-respondents improved or totally changed their distribution channels and/ or the methods for sales of goods and services- 38.0%. The innovative practices in marketing communications include implementing new promotional approaches, introducing new communication channels, improving by big extent the current communication means etc. The comparative analysis with the Spanish companies points out that concerning the innovations in “design and packaging of goods” and “usage of new methods for goods and services promotion” the behavior of the Bulgarian and Spanish companies is similar (see Table 8). As far as the innovations in “the distribution channels and methods of sales” and introducing of “new pricing approaches and strategies” concerns, the Spanish companies are much more active (see Table 9).

Table 9. Type of innovations in the Bulgarian and Spanish companies\*

	<b>Bulgaria</b>	<b>Spain</b>
	<i>Percent</i>	<i>Percent</i>
Significant changes in the design and packaging of goods	25	24
Usage of new media and methods for goods and	65	68
New distribution channels and /or methods for sales of goods and services	38	56
New pricing approaches and strategies	28	43

\*the data is for years 2015 and 2016;

Generally, according to the survey results the SMEs in Bulgaria focus more on innovations in the promotional policy e.g. the marketing communications in contrast with the small and medium-sized companies in Spain where the stress in innovations is more on changes in distribution channels and the pricing strategies and especially in the services sector where design is based on customer experience (Gemser, G.& Candi, M., 2014; Candi, M., 2014).

*Main barriers to the innovation activeness in Bulgaria and Spain*

Regarding the barriers and difficulties related to the innovation activeness in Bulgaria, the respondents are on the opinion that the biggest barrier for the companies is not the lack of financial resources and access to bank credits like 6-7 years ago and this information is in fact in contrast with the situation 5-6 years ago when the main barrier was the difficult access to financial resources (Slavova-Nocheva, M. 2009), but the lack of *qualified human resources* - 80% of the SMEs have chosen this answer option while at the same time 91% of the managers think that the access to bank credits is not difficult. For the Spanish companies the most important barriers to the innovations are: the lack of own financial resources - 53% and the lack of qualified human resources - 22% (see Table 9).

As far as the macro- and microenvironmental impact on the innovation activeness of SMEs in Bulgaria and Spain concerns, the recent survey highlights the fact, that in both countries according to the managers and CEOs, the environment can be characterized by the following 3 features (according more than 60% of the respondents): rapid technological changes, intensive competition, high consumer preferences which are changing very quickly.

Table 10. Main barriers related to the innovation activeness

<b>Barriers / problems</b>	<b>Bulgaria</b>	<b>Spain</b>
	<i>Percent</i>	<i>Percent</i>
Lack of new ideas, creativity	15	12
Lack of qualified human resources	80	22
Lack of own financial resources	25	53
Difficult access to credit	10	19
Decreased demand and lack of motivation	25	12
Unsufficient opportunities for serious promotion of the creative and initiative people	18	6

**Conclusions.** The study results and evidence give us the reason to draw the following conclusions: Generally, the innovations activeness of the SMEs in both countries is very similar.

The majority of the companies have introduced innovations in products – 58% of the respondents in Bulgaria and 67% in Spain.

The most active in innovations in Bulgaria are the small enterprises and the middle-sized companies: all of them in the sample have conducted such marketing innovations and as far as the Spanish companies concerns, mostly active in product innovations are the middle-sized enterprises.

According to the survey results, the SMEs in Bulgaria focus more on innovations in the promotional policy e.g. the marketing communications in contrast with the small and medium-sized companies in Spain where the stress in innovations is more on changes in distribution channels and the pricing strategies and especially in the services sector where design is based on customer experience. The comparative analysis with the Spanish companies points out that concerning the innovations in “design and packaging of goods” and “usage of new methods for goods and services promotion” the behavior of the Bulgarian and Spanish companies is similar.

The biggest barrier for the SMEs in Bulgaria is the deficit of qualified human resources and for the Spanish companies- the lack of own financial resources.

The environment in Bulgaria and Spain can be characterized by the following 3 features: rapid technological changes, intensive competition and high consumer preferences which are changing very quickly. The pointed similarities in some macro-environmental factors and some similarities in the level of innovations activeness in both countries explain to some extent the similar economic growth rate in 2017 in Bulgaria and Spain.

The companies in both countries including the SMEs must introduce advanced policies for stimulation of innovative thinking development which will lead to better economic results of the whole industry.

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# АНАЛИЗ МАРКЕТИНГОВЫХ ИССЛЕДОВАНИЙ ВОЗМОЖНОСТЕЙ РАЗВИТИЯ БИЗНЕСА В ИМЕРЕТИНСКОМ РЕГИОНЕ (НА ПРИМЕРЕ ПРОДОВОЛЬСТВЕННОЙ ПРОДУКЦИИ, ПРОИЗВОДИМОЙ В ИМЕРЕТИ)

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## ABSTRACT

The article focuses on the business development in regions and its promotion. Concerning these problems, in the article the results of the survey, conducted in three regions, in particular in Kutaisi, Batumi and Zaporozhye are given, from which it is obvious, that the region has the potential of making its products known and demanded on both, domestic and international markets. The following recommendations are given:

- To organize open door day, where the products produced in the Imereti region will be presented, according to the commodity groups and producers of business.
- To arrange meetings on the issues related to business subjects and hotel managers' proposals and their requirements.
- Promotional leaflets and sheets of each commodity category will be produced for a separate business entity in order to create a competitive environment that will allow users to get acquainted with each category and choose products that are acceptable to them according to useful properties, price and other indicators.

Consideration of these recommendations will help business entrepreneurs to get success.

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## Введение.

Переход на рыночные отношения является сложным и тяжелым процессом для каждого предприятия, организации, региона и страны. Он требует мобилизации всех сил и средств предприятия, страны для достижения конкурентного преимущества в глобальной среде. Для этого одной из основных целей является обеспечение экономического роста страны, который зависит от роста макро- и микроэкономических показателей страны, что прямо связано с включением страны в международные отношения с маркетинговой точки зрения.

Одним из важных факторов конкурентоспособности Грузии является возрождение отечественного производства и создание благоприятной среды для бизнеса. Для этого необходимо провести маркетинговые исследования как на уровне страны, так и региона для изучения потенциальных возможностей, анализ результатов которых даст ясное представление о существующих на рынке потребностях как внутри страны, так и за ее пределами. Указанная информация поможет субъектам бизнеса предложить произведенную в регионе продукцию тому целевому рынку, который будет эффективен для их последующих успехов. Особого внимания требует поощрение производства экспортной продукции с льготными кредитами.

**Результаты исследования.** Известно, что правительство Грузии осуществляет множество мероприятий для поддержки малого и среднего бизнеса и для улучшения социального положения региона, но еще больше необходимо сделать, так как по простоте ведения бизнеса мы пока еще находимся на 8-м месте. Вместе с тем необходимо выявить причины, мешающие развитию бизнеса, которые существуют в Имеретинском регионе и которые тормозят деятельность субъектов бизнеса. Целью нашего исследования является именно изучение потенциала развития бизнеса в Имеретинском регионе для того, чтобы установить насколько известна и потребляема произведенная в Имеретинском регионе продукция.

Объектом исследования была выбрана сеть гостиниц как в Имеретинском регионе (Кутаиси), так и в Аджарии, в частности в Батуми и сеть гостиниц в Украинском городе Запорожье.

При исследовании был использован полевой метод, который учитывает количественный метод с помощью опроса, в котором участвовали 20 гостиничных объектов Кутаиси, 40 гостиничных объектов Батуми и 21 гостиничных объекта Запорожья. Предметом исследования являлось установление потребности на произведенную в Имеретинском регионе продукцию (продовольственную).

В Кутаиси и Батуми предметом исследования являлось установление как уровня известности, так и уровня потребности на продукцию (12 названий), произведенную в Имерети. Исследование показало, что в Кутаиси 100% потребность: на помидоры, сыр, зелень, яйца и кур, а 90-95% на огурцы. Вместе с тем на минеральную воду «Саирме» – 65%, вино «Хареба» – 63,2%, сухофрукты – 60%, чурчелу – 65%. В Аджарской автономной республике, в частности в Батуми по проведенным исследованиям желание приобрести продукцию, произведенную в Имерети, по товарным категориям распределилось таким образом: на огурцы, помидоры, яйца и куры – 90%, зелень – 97,5%, сыр – 95%, чай – 86%, чурчелу – 75%, сухофрукты и мёд – 67%, минеральную воду «Саирме» – 60%, а также вино «Хареба» – 53%.

На Украине, в частности в результате проведенного исследования в Запорожском регионе, которое было проведено в 21 гостинице, Желание приобрести произведенную в Имерети продукцию по товарным категориям высказали: на зелень – 57%, минеральную воду «Саирме» – 38%, вино «хареба» – 43% мёд – 24%, чай – 29%, чурчелу – 48%, (см. диаграммы 1, 2, 3, 4) [1].



Диаграмма 1.



Диаграмма 2.



Диаграмма 3.



Диаграмма 4.

**Выводы.** На основе результатов исследования были разработаны следующие рекомендации, учёт которых поможет субъектам бизнеса в повышение известности произведенной в регионе продукции и увеличении объема продаж:

- Провести день открытых дверей, где будет представлена продукция, произведенная в Имеретинском регионе по товарным группам и производителям бизнес субъектам;
- Провести встречи бизнес субъектов и менеджеров гостиниц с целью взаимного согласия по вопросам, связанными с предложениями и их потребностями;
- Изготовление рекламных буклетов и листов на каждую товарную категорию отдельными бизнес субъектами для создания конкурентной среды, которая даст возможность потребителю ознакомиться с каждой категорией и выбрать приемлемую для него продукцию с полезными свойствами, ценой и другими показателями.

И наконец, анализ результатов исследования дает возможность сказать, что произведенная в Имерети продукция имеет потенциал повысить объем продаж не только внутри страны, но и за ее пределами. Это подтверждают данные департамента статистики Грузии об экспорте и импорте по товарным группам: по данным 2017 года экспорт живых кур составил – 1176,4 тыс. долл. США, яиц домашних кур 123,3 тыс. долл. США (2016г.), меда 15,8 тыс. долл. США, черного чая 1604,1 тыс. долл. США [2]. Если сравнить эти показатели с показателями 2015 года видно, что значительно возросли. Например, экспорт огурцов в 2015 году составил 131, 8 тыс. долл. США, что почти в 6 раз меньше показателей 2017 года.

#### ЛИТЕРАТУРА

1. Интернет ресурс: <http://www.geostat.ge>

## LEGAL AND POLITICAL SCIENCE

**POST-CONFLICT REGULATION: THE RULE OF LAW AND CONSTITUTION MAKING AS THE NUMBER ONE PRIORITY**

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**ABSTRACT**

Regardless of the cause of conflicts in a state, when the violence is ceased its aftermath should be dealt with. The most effective and targeted scenario of post-conflict regulation for every specific state would be designed and executed. The international community can play a crucial role in encouraging or combating peace process and building peace. The adjustment mechanism combines peacemaking with elements of nation-building, humanitarian action, transitional justice and recovery. One of the key elements of such a process involves possible revision, rewriting or even adoption of a new constitution to ensure an effective peace and security. In most cases, however, it is impossible to exclude the history and agreements that led up to a decision to make or re-make a constitution. Constitution building involves steps and sequences, and is not necessarily linear. Despite the important role that this process can play, little attention has been paid to the ways of developing and implementing participatory mechanisms and involving citizens in the process of creating a constitution conducive to a lasting peace. However, even developed in the best way constitutional and institutional framework cannot guarantee a stable democracy or permanent conflict resolution, although it can help it. Turning to the case of Ukraine, its Constitution needs changes though not that profound as in Africa for instance. Primarily, stabilization and conflict resolution in the east of Ukraine requires working towards the formation understanding of values and normative basis among people that will make intentions and practical measures of the current government legitimate and necessary in the eyes of the vast majority of the population. Ukraine should also take due notice of the complexity and comprehensive character of the process of peace building which hopefully will be launched in the nearest future.

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Conflicts often arise because of the inability of the state's legal system to protect human rights and punish those responsible for violating those rights. Discrimination, corruption and abuse of power by law enforcement officials and armed forces in many cases contribute to inflating and aggravating conflicts and further complicating the restoration of friendly relations after the end of the conflict. Injustice literally forces people to take up arms.



Termination of open violence as a result of a peace agreement or a military victory does not mean peace. Cessation of violence is rather a so-called “post-conflict” situation, which involves the creation of “new opportunities that can be used or discarded”<sup>1</sup>. The international community can play a crucial role in encouraging or combating peace process and building peace. The United Nations, the OSCE and non-governmental organizations (International Institute for Democracy and Electoral Assistance, International Republican Institute, Carnegie Endowment for International Peace etc.) play an increasingly important role in the restoration of peaceful life and overcoming the consequences of armed conflict<sup>2</sup>.

Post-conflict regulation is aimed at helping states and societies scattered by war, and preventing the renewal of armed violence. The adjustment mechanism combines peacemaking with elements of nation-building, humanitarian action, transitional justice and recovery. However, such measures could imply the strengthening or restoring certain political, economic and social structures destroyed during the war.

The main idea of the concept of post-conflict regulation is to eliminate the main causes of war and to create conditions for a stable and lasting peace. To achieve such changes there is a need to ensure political certainty, unique strategy, significant resources and coordinated, coherent and integrated approach to planning and enforcing. Considering the variety of post-conflict regulation scenarios, it is difficult to develop general practice standards or guidelines for post-conflict management and peace-building. Even the UN Commission on peace building, created in 2005 by the Security Council and the UN General Assembly, focuses on the formulation of strategies with noting the specifics of every particular state.

Today there is no single universally accepted concept and definition of post-conflict regulation.

Norwegian sociologist Johan Vincent Galtung, who studies the nature of conflicts and everything that is associated with conflicts, has identified all the main objectives after the conflict phase of peace in a positive and negative sense (positive and negative peace). Peace in its negative sense - is the absence of direct and organized violence between groups of people or countries. Positive peace means the establishment of sustainable peace through cooperation between states or groups of people and the eliminations of the main causes of the conflict<sup>3</sup>.

The concept of post-conflict settlement is similar to the concept of building peace or peacebuilding, but the former has a broader meaning. According to the definition proposed by Johan Vincent Galtung, post-conflict regulation or peacebuilding is a comprehensive concept that is composed of and contains a set of processes, approaches and conditions designed to turn a conflict into stable peaceful relations. Thus, the term applies to a wide range of events and activities that precede or come after the formal onset of the peace<sup>4</sup>.

Post-conflict settlement is practically unreachable today in the format of participation of only the direct parties to the conflict, even with the goodwill of the latter and with international peacekeeping assistance. The fate of the settlement of the internal conflict, not to mention the interstate military conflict, often turns out to be in the sphere of interests of some external players, who are able to exert the most serious and sometimes decisive influence on the course and outcome of any political crisis or conflict.

In addition, there is no widely shared definition of constitution building or broad consensus on what it should entail. One objective of reaching a more clearly defined and accepted concept of the field of constitution building is to align discussion more on providing effective international support to constitution building processes<sup>5</sup>.

In this regard, the question of the fundamental possibility of settling modern and future military conflicts arises. Everything depends on what kind of meaning is put into the concept of “post-conflict settlement”.

One may state that any military conflict (or war) can hypothetically end in one of two scenarios below:

- a final resolution of a complex of irreconcilable contradictions, claims, grievances, that is, the victory of one of the parties, and then the opposing party fulfils all the conditions and requirements of the winner (unconditional victory);
- a solution (as a rule, temporary) of problems between the parties to the conflict on various grounds, and then diplomats and politicians join the efforts of the agents who with the help of international mediators are expected to reach a compromise satisfying all parties.

<sup>1</sup> Vincent Chetail, *Post-Conflict Peacebuilding: A Lexicon* (Oxford, 2009), p.15.

<sup>2</sup> Wendy Lambourne. *Pos-conflict peace-building: meeting human needs for justice and reconciliation//Peace, Conflict and Development*. – Issue Four, April, 2004. – P.2-24. – P.2.

<sup>3</sup> Vincent Chetail. *Post-Conflict Peacebuilding: A Lexicon*. – Oxford, 2009. – P.15

<sup>4</sup> Id.

<sup>5</sup> International IDEA resources on Constitution Building Processes, *Constitution Brief*, April 2017, <<http://www.idea.int/sites/default/files/publications/constitution-building-after-conflict.pdf>>.

Obviously, in the first case, no settlement of the conflict by definition is required. The winner imposes his will on the losing side, and the latter, if allowed, can deal with “licking wounds”, restoring the economy and solving social problems.

In the second case, a post-conflict settlement is required, which covers virtually all spheres of life and activities of war-affected actors. This is an incredibly difficult task, if only because in today’s military conflicts it becomes difficult to determine the composition of the participants at all. Nevertheless, this is exactly the scenario which is mostly common.

The post-conflict resolution basically covers “reviving activities” in most crucial sectors. We believe that the utmost importance should be given to dealing with the legal sector and its “heart” – the constitution. In other words, one of the key blocks forming the essence of post-conflict resolution, this study is focused on is *restoring the rule of law*. Understanding how the legal sector of the state actually worked before and after the conflict, as well as how it should function in establishing the rule of law, should be the main feature of any peacekeeping operation. This is an extremely complex area, therefore, every peacekeeping operation should be conducted with the participation of experts who can analyze the roles of various key representatives of the justice sector - judges, prosecutors, lawyers, court administrators, police officers, prison officials, and ministries such as the ministry Justice, internal affairs and defense<sup>1</sup>.

One of the key elements involves the creation of mechanisms for prosecution, termination of arbitrariness and punishment of those responsible, and also the reform, restoration of state bodies and institutions. At the same time the issue of granting amnesty should not be ignored. In his 2004 report on the “Rule of law and transitional justice”, UN Secretary General Kofi Annan described the rule of law as a “concept at the very heart of the Organization’s mission. It refers to a principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency”<sup>2</sup>. This definition outlines key conceptual and practical problems associated with establishing the rule of law in the context of post-conflict regulation.

In the heart of every legal system lies a constitution. In a lot of cases this highest law requires revision, rewriting or even adoption to ensure an effective peace and security. We deem it necessary to reflect on the essence of the constitution. The International Institute for Democracy and Electoral Assistance in its latest brief on constitution sums up the basic approach to understanding a constitution in the *practical* dimension, “A constitution is a body of basic laws and principles that describes the general organization and operation of the state and contains fundamental principles and norms that underlie and guide all government action. Given the fundamental nature of a constitution and its role in laying a groundwork to shape and support the state, a constitution is usually expected to be long-standing and somewhat difficult to change or undo. A constitution is simultaneously a legal, political, and social instrument. Legally, it enshrines human rights and creates a predictable legal landscape. As a supreme or higher law, its provisions provide a framework under which all regulations, legislation, institutions, and procedures operate. It articulates the rights of citizens that institutions, procedures or legislation must not infringe, and which the state must strive to ensure. Politically, it establishes, distributes and limits governmental power and provides mechanisms for deliberating and deciding on public policy. Socially, it may reflect a shared identity or civic vision of the state, expressing commonly-held values or foundational principles”<sup>3</sup>.

Respectively, the concept of constitution building implies:

- a) founding new structures as well as redeveloping existing ones as part of an ongoing process;
- b) developing and adding long-term value to governance and the political system; and
- c) reducing exclusivity-many actors can contribute to aspects of ‘building’, such as negotiators, designers, drafters, the people, activists, specialists, public servants and international advisers, among others.

<sup>1</sup> Rebecca Spence, Post-conflict peacebuilding: who determines the peace? in Re-thinking Humanitarian aim conference proceedings, University of Queensland, <<http://www.uq.edu.au/politics/conferences/nhc/index.htm>>.

<sup>2</sup> The rule of law and transitional justice in conflict and post-conflict societies Report of the Secretary-General Combatants, <<http://www.ipu.org/splz-e/unga07/law.pdf>>.

<sup>3</sup> International IDEA Constitution Brief, supra note 7.

It also means taking a long-term perspective and following an overall aim or design for the ‘social contract’ of government as a whole, rather than occasional changes to deal with highly specific problems. “In contrast, the language of ‘constitution making’ is frequently used with a deliberate emphasis on the drafting and promulgation of a constitutional text. Constitution building is often one element in a larger process of change that affects the constitution. The tendency to identify and favour a ‘constitution making moment’ means to suggest a process with easy limits. In most cases, however, it is impossible to exclude the history and agreements that led up to a decision to make or re-make a constitution. Constitution building involves steps and sequences, and is not necessarily linear. Which actors are involved at a given time may depend on the sequencing and the stage reached in constitution building”<sup>1</sup>.

Therefore, in light of recent developments in the rule of law field, the area of constitutions and their implementation has emerged as pivotal for the promotion and application of the rule of law in countries experiencing post-conflict political transitions. Constitutional norms set out fundamental parameters that shape the extent to which rule of law principles are respected across a number of fields including public administration, criminal justice, adjudication of civil disputes and even the outcomes of informal and customary decision-making processes<sup>2</sup>. Constitutional rules and institutions must be capable of containing the tensions arising from political crises that pit branches of government, political parties, economic interests or even the ethnic or sectarian groups comprising the country’s population against each other. The extent to which constitutions are able to uphold rule of law at the ‘macro’ level, along with human rights norms and democratic principles, is tested in the course of such crises<sup>3</sup>.

As it has been mentioned above, many constitutions are framed following conflict and this is exactly the case when significant assistance to achieve valuable and comprehensive results is required. There is an intervention of the international community in the resolution of civil and intra-state conflicts which has led in many cases to external actors extending their roles into constitution building. External intervention in constitution building presents challenges and pressures on these exercises of sovereignty.<sup>4</sup> Perhaps, understanding the evolving roles of international, regional and national actors in moments of constitution-building as well as constitutional crises can help to give greater insights into the impact that constitutional assistance activities can have on respect for the rule of law, including key rule of law aspects such as legality, transparency, accountability and legal certainty. It is crucial to remember that constitution making is a process and one should consider that it is important to fine-tune the process. While such processes should reflect the sovereign nature of national constitutions, as well as the need for local ownership and sensitivity to the local context, it is also important to understand and recognize the increasingly significant role that international and regional organizations have played in providing technical and normative advice for such processes in post-conflict settings since the end of the Cold War.

The design of a constitution and its constitution-making process can play an important role in the political and governance transition. Constitution making after conflict is an opportunity to create a common vision of the future of a state and a road map on how to get there. The constitution can be partly a peace agreement and partly a framework setting up the rules by which the new democracy will operate. However, it is utterly important to pay attention to both the contents of norms of the supreme law of the state and the *procedure* of its making. A few years ago, international constitutional support focused on providing guidance on the content of the constitution, and not on the process of its creation. But the way in which the supreme law is created in a country torn apart by war can play a key role in restoring or strengthening the state and the political system, and in ensuring sustainable peace. Especially, if it causes an inclusive process leading to the creation of a consensus-based roadmap, which contributes to a more equitable economic, political and social order. Despite the important role that this process can play, little attention has been paid to the ways of developing and

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<sup>1</sup> International IDEA resources on Constitution Building Processes, Constitution building after conflict: External support to a sovereign process, 2011, <<http://www.idea.int/sites/default/files/publications/constitution-building-after-conflict.pdf>>.

<sup>2</sup> Rhodri C. Williams, Constitutional Assistance and the Rule of Law in Post-Conflict Transitions: an Overview of Key Trends and Actors, Research Report, Folke Bernadotte Academy, 2013, <<https://fba.se/contentassets/0a896bcc85b84e88b0ff1446b55be2d5/constitutional-assistance.pdf>>.

<sup>3</sup> Christian Schaller, Towards an International Legal Framework for Post-conflict Peacebuilding. Berlin: German Institute for international and Security Affaires, 2009, p.13

<sup>4</sup> Andrew Ladley, Constitution-Building After Conflict: External Support to a Sovereign Process, IDEA, 2011, <<http://www.idea.int/publications/catalogue/constitution-building-after-conflict-external-support-sovereign-process?lang=en>>.

implementing participatory mechanisms and involving citizens in the process of creating a constitution conducive to a lasting peace<sup>1</sup>.

An ideal constitution-making process can accomplish several things. For example, it can drive the transformative process from conflict to peace, seek to transform the society from one that resorts to violence to one that resorts to political means to resolve conflict, and/or shape the governance framework that will regulate access to power and resources—all key reasons for conflict. It must also put in place mechanisms and institutions through which future conflict in the society can be managed without a return to violence.

Therefore, one could draw specific general features that could be taken into account in the course of constitution making, though the context and peculiarities of every state and nation should be taken into consideration. The following key elements have been tailored in the UN practice, which as be assumed from the above mentioned, is a pioneer and a leader in assisting nations building peace following different kinds of conflicts:

- ✓ “key constitutional principles or substantive provisions to guide the process and to be enshrined in the final constitution;
- ✓ the mandate and work plan for the constitutional organ/s;
- ✓ the timeframe for the process, with a schedule of when key tasks should be accomplished;
- ✓ a declaration that the constitutional organ/s drafting the constitution will be free of governmental control;
- ✓ transparent rules and mechanisms to establish constitutional organs and appoint/elect delegates—perhaps to appoint an inclusive and technically competent constitutional organ to draft the constitution and a democratically elected body to adopt the constitution, with at times specific procedures for appointment or nomination of marginalized groups, members of civil society or those with specific professional skills.
- ✓ the mandate of a supportive administrative body, such as a Secretariat;
- ✓ provisions that describe the incorporation of a participatory process that prescribes sufficient time and resources to conduct separate phases of civic education and consultation;
- ✓ review and/or enforcement mechanisms to ensure that the final draft of the constitution incorporates any agreed upon principles;
- ✓ transitional arrangements if necessary and mechanisms for implementation of the constitution;
- ✓ provision for financial oversight of the process;
- ✓ the role, if any, of the United Nations or international community.

The legal framework should also be well publicized to promote transparency and gain public support for the constitutional roadmap; this can assist the public to be clear about the steps of the process, the objectives of the constitutional review or reform process, and their role<sup>2</sup>.

Nevertheless, it is believed that constitution should appear as a result of continuous dialogue with national organizers, suggesting widespread involvement of not only the warring parties (although they should be interested in the restoration of peace), but also civilians; not only political and economic elite, but also many public organizations and public, civil society in general. Such dialogue is a self-evident requirement for peace<sup>3</sup>. Therefore, one should recall the other side of the coin – the overestimated and intense role of international community in the process of bringing a country in the domain of peace again.

No wonder that restoration of the nations was one of the central principles of decolonization. Especially this trend characterises the early 21<sup>st</sup> century, when conflicts exacerbated ethnic and other grounds for polarization, undermined the validity of unstable citizenship in so-called nation-states. The international community has tended to focus on measures of separation of powers and the development of constitutional structures that dictate all major groups its will in the political process and the economy and minimize the ban and marginalization that force different conflict-prone groups

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<sup>1</sup> Мишель Брандт, Джилл Коттрелл, Яш Гай, Энтони Реган, Разработка и реформа конституции: выбор процесса, Interpeace, 2011, <[http://3n589z370e6o2eata9wahfl4.wpengine.netdna-cdn.com/wp-content/uploads/2015/07/2015\\_06\\_25\\_Constitution-Making\\_Handbook\\_Russian.pdf](http://3n589z370e6o2eata9wahfl4.wpengine.netdna-cdn.com/wp-content/uploads/2015/07/2015_06_25_Constitution-Making_Handbook_Russian.pdf)> [Development and reform of the constitution: the choice of the process].

<sup>2</sup> The Conflict, Security and Development Group, A Review of Peace Operations: A Case for Change, London: Kings College, 2003, para 302.

<sup>3</sup> Ганна Х. Ібнозер Філіп Х. Флурі, Після інтервенції: управління суспільною безпекою у постконфліктних суспільствах – від втручання до стійкого місцевого самоврядування, інформація дослідницької комісії, GKS – Vienna, 2005.



to raise arms against the state<sup>1</sup>. This is exactly the case when one should note that creation of a constitution is a risky attempt because it can revitalize opposition, as in Iraq, the international community or the occupying forces will openly interfere in this process; or if this process is not meaningful; or if he does not based on political realities. Creating an atmosphere of trust among divided communities and restore social benefits trust between ethnic and religious communities or clans can be tactfully encouraged from above<sup>2</sup>.

However, even developed in the best way constitutional and institutional framework cannot guarantee a stable democracy or permanent conflict resolution, although it can help it. However, the reverse process may also take place when there is an issue of badly designed structures can damage the democracy in institutionalizing of social divisions, politicize ethnic and other identities and even generate violence<sup>3</sup>. It is argued that it might take a while for the nation, the country to get over the conflict, to return to normal and peaceful life and lifestyle, thus its genuine support of such reviving process should extracted first.

Examining the issue of post-conflict regulation would be incomplete without turning to the situation in Ukraine, which has suffered from the Russian aggression in Crimean and the east of the state for more than two years already. The case of Ukraine is nonetheless unique as all other cases. We should not bring up the issue of adopting a brand new constitution and turn to the *tabula rasa* principle, as it is still submitted that our Constitution needs changes, which are not that profound as for instance in cases of post-conflict regulation in Africa. In a nutshell, such other components or blocks of the regulation, besides constitution making, which has not been discussed in the present piece as disarmament, reintegration, amnesty and holding elections in post-conflict territories is possible only upon withdrawing of Russian troops from the territory of Ukraine. In general, the unique hybrid nature of the conflict dictates its own rules of solution and tackling it.

Thus, stabilization and conflict resolution in the east of Ukraine requires working towards the formation understanding of values and normative basis among people that will make intentions and practical measures of the current government legitimate and necessary in the eyes of the vast majority of the population. In particular, it concerns the use of military force against terrorists, the establishment of the constitutional rule of law by law-enforcement agencies, humanitarian measures of renewable nature enforced by loyal to Kyiv local authorities. The creation of a new socio-political situation with a clear vision of positive prospects for further socio-economic development which takes into account the diversity of the population is the only key to stabilization. At the same time, “[i]t is widely acknowledged that the provision of security is the sine qua non of peace-building, and increasingly that the building or rebuilding of public institutions is key to sustainability; however, the fact remains that a successful political and governance transition must form the core of any post-conflict peace-building mission”<sup>4</sup>.

For instance, in countries such as Timor-Leste, where there has never been a democratic police service based on respect for human rights, or independent, free and fair judicial bodies, it is important to pay attention to the main state structures, the role of the police, courts, parliament, etc. In a democratic state, emphasizing the idea that people built a “house” - their own constitution, - the foundation of which is human rights and the rule of law. This approach worked very well with the training of Timor-Leste police<sup>5</sup>.

One should also mention in connection with post-conflict justice is that it should be focused on restitution as well, as it is extremely difficult or even impossible in such situations when a state is de facto divided like, for example, Cyprus or Azerbaijan. This is a very sensitive issue, if post-conflict peace is fragile, as in the former Yugoslavia, Croatia or Bosnia. The European Court of Human Rights (‘ECtHR’) had to deal with the consequences of World War II in terms of post-conflict restitution of property in case “Bronovskiy v. Poland” and rendered it the first “pilot” decision. As stated in the facts

<sup>1</sup> Clingendael, International Alert, SaferWorld, Towards a Better Practice Framework in Security Sector Reform, Broadening the Debate, Occasional SSR Paper No.1, August, 2002.

<sup>2</sup> Ferguson, Chris, UNDP: Conference on Justice and Security Sector Reform, Coherence, Cooperation and Comparative Strengths, GFN Paper no. 16, May, 2003.

<sup>3</sup> Ball, Nicole, Evaluation of the Conflict Prevention Pools. The Security Sector Reform Strategy, Evaluation report 647, March, 2004.

<sup>4</sup> Samuels, Kirsti (2006) "Post-Conflict Peace-Building and Constitution-Making," Chicago Journal of International Law: Vol. 6: No. 2, Article 10, <<http://chicagounbound.uchicago.edu/cjil/vol6/iss2/10>>.

<sup>5</sup> Инструменты обеспечения господства права в постконфликтных государствах, Преобразование сектора правосудия, Управление Верховного Комиссара Организации Объединенных Наций по правам человека? 2006, <<http://www.ohchr.org/Documents/Publications/RuleoflawMappingru.pdf>>.



of the case, the ECtHR explained the features of the agreement, which was signed in September 1944 between the Polish Committee of National Liberation and the former Soviet Socialist Republic - Ukrainian, Belarusian and Lithuanian which was followed by 1 million 240 persons repatriated to Poland. The Polish government committed itself to compensate them for their property that they left in the Soviet Union. And of course, the ECtHR could not comment on the question of whether Poland has fulfilled obligations to the displaced persons pursuant to the agreement<sup>1</sup>.

**Conclusions.** Termination of violence in a state as a result of concluding a peace agreement or a military victory does not always mean automatic bringing of peace. Cessation of violence is rather a so-called “post-conflict” situation, which involves the creation of new opportunities for a state to regain its place in the family of nations or receive one. This may also be regarded a chance for state to launch the process of peace building sometime followed by the external assistance. Therefore, in order to move from a state of war and achieve the state of lasting and sustainable peace faster and more effectively, the international community should to some extent intervene in the internal affairs of the state, devastated by war. This is the common practice today and perhaps the only way to rebuild the state.

Without specifically scrutinizing the basis and framework of such interference and sometimes even intervention, the piece has focused on possible positive outcomes from such assistance for a state surviving the process of post-conflict settlement as such impact may be positive both for the state itself and for the international relations of this state and with other countries and of course for the international community as a whole. The absence of a universally settled definition of peace building also points to the sensitivity of the concept and other procedures and concepts associated with it.

There is no “once size fits all” framework for the process of peace building and it is sometimes useful to have a more detailed framework that includes the principles to be enshrined in the constitution. At other times, the framework should be more skeletal and allow for flexibility to respond to the inevitable changes in the political context. Nonetheless, while stressing that the unique circumstances of the context will determine the degree of specificity and the content of the legal framework, it is possible to coin out potential elements to be considered for inclusion in the legal framework, such as thinking over key constitutional principles, setting the bodies and agents to be involved in the drafting process etc.

It is important to remember that constitution making as well as the setting the legal framework, reviving the rule of law in the country is a process, well functioning of which may be sometimes more important than the final outcome. This is why it is of utmost importance to take into account that legal framework should be well publicized as it vital for the promotion of transparency and gaining public support (and public in its broadest meaning should actively participate in this process) for the constitutional roadmap; this can assist the public to be clear about the steps of the process, the objectives of the constitutional review or reform process.

Ukraine should also take due notice of the complexity and comprehensive character of the process of peace building which hopefully will be launched in the nearest future. Still there are a lot of issues to be solved before recovering damage done to the economy, territories and population of our country, we should not ignore the international practice and experience, as this is the case where international and constitutional law go hand in hand and even consolidate to bring the state back to life again.

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<sup>1</sup>Ганна Юджівська, Тези з виступів учасників міжнародного круглого столу, Вісник Верховного Суду України, 2016, <[http://www.scourt.gov.ua/clients/vsu/vsu.nsf/7864c99c46598282c2257b4c0037c014/5e96c567f3c3be8ac2258021003e77da/\\$FILE/web\\_Visnyk\\_07\\_2016.pdf](http://www.scourt.gov.ua/clients/vsu/vsu.nsf/7864c99c46598282c2257b4c0037c014/5e96c567f3c3be8ac2258021003e77da/$FILE/web_Visnyk_07_2016.pdf)>.

## PHILOLOGY

**SPEAKING ASSESSMENT: IMPACT OF TRAINING SESSIONS**

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**ABSTRACT**

The article focuses on the problem of examiner's objectivity in rating Speaking proficiency in a foreign language at standardized high-stakes tests. Since there are different factors which may impact the assessment reliability, special training sessions are widely used by different testing centers. They are expected to eliminate examiners' subjectivity and lead to interrater agreement and intrarater consistency. The research described in the article was aimed at finding empirical evidence of the efficiency of such sessions. The outcomes of the study proved the sessions to be efficient in terms of rating accuracy of the examiners.

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**Introduction.** Incorporation of communicative principles into language assessment made Speaking a mandatory subtest of most of the standardized high-stakes tests in English as a foreign language such as TOEFL, IELTS, Cambridge English tests etc. It typically has a form of an interview or a role play and is based predominantly on the examiner's judgment of the testees' performance, which may lack accuracy though.

Thus, raters' reliability in scoring Speaking tests has been a matter of deep concern in high-stakes language testing from the moment the method was introduced into language assessment. Since then several empirical studies have reported that the main factors of scoring reliability are intrarater and interrater agreement, which can be best achieved by training practices [1;2; 3; 5; 7; 8]. As Weigle states "rater variability cannot be eliminated, but extreme differences can be reduced" by means of training sessions [9, p. 269].

The aim of the present study was to conduct an independent research in order to find the empirical evidence of efficiency of the training sessions, as well as to answer the following questions under study:

- 1) In what way does the rater accuracy in scoring change with training?
- 2) In what way does the rater severity change with training?

**Research results.** The 40 participants of the research were language lecturers from Ternopil Volodymyr Hnatiuk National Pedagogical University and 3 other higher educational institutions. 5 of them were English native speakers (3 from the USA, 1 from the UK and 1 from Australia). In terms of the questions under study all the participants were considered inexperienced in standardized proficiency assessment, although most of them (34) had experience in teaching English and some were familiar with different testing formats of English proficiency.

FCE (a Cambridge English test for B2 CEFR level) was chosen as a format of a proficiency test to be practiced. "Cambridge English First. Handbook for teachers for exams from 2015" was used to introduce

sample papers, scoring scales and rubrics to the participants at the beginning of the training session. Cambridge Assessment FCE Oral Exam educational videos were used as initial stage samples for the training session. The training sessions were conducted by professional educators, assessors and teachers.

The 40 participants assessed 20 candidates each, 10 at a pre-training session and 10 at a post-training one. The responses were scored holistically by each rater individually in 5 domains (Grammar and Vocabulary, Discourse Management, Pronunciation, Interactive Communication and Global Achievement) and the scoring was adapted to a 10-point scale.

As a result, the 2-day event provided the study with 2 000 scores for the pre-training assessment session and 2 000 scores for the post-training session correspondingly. And this didn't include the experts' preliminary scoring, which was carried out according to the same specially created scoring scale (150 scores in total, 50 for the first session and 100 for the second). The expert scores later were used as reference scores and compared with the participants' ones to calculate the level of agreement prior to the training session and after it as well as to estimate the degree of a participant's severity or leniency and intrarater consistency.

On the first day of training the format of FCE and its assessment scale with rubrics were introduced to the participants so that they knew what to expect during the test and what to do. There was no further instruction on the methods of assessment of the exemplars at this stage. Thus, the scores received from the participants on the first day were later used as the pre-training results. On the second day, immediately after 8 hours of training on how to assess each of the criteria the participants assessed another group of 10 candidates and the obtained results were used as the post-training results.

The instruction consisted of 5 lectures on each criterion of the FCE scoring band (1) "English for Global Opportunities. Speaking Overview of the Most Widespread International Exams"; 2) "What's in a Tongue: Reflecting on Vocabulary and Grammar of Spoken English"; 3) "Being Ready for Everything. Exam Interviews"; 4) "Intelligible or is it? Teaching and Evaluating Pronunciation for B2 Level Exams"; 5) "We Need to Talk... Assessment Criteria for Interactive Communication"). The training sessions included discussions of the assessment of each criterion using the exemplars and were followed by a questions-answers session for further clarification of the rating procedure.

The obtained scores were brought together in special forms for each participant for both pre-training and post-training assessment.

Table 1. First day pre-training rater's scores in comparison with expert scores

Candidate	Rater	Rater's scores					Benchmark scores				
		Grammar & Vocabulary	Discourse Management	Pronunciation	Interactive Communication	Global Achievement	Grammar & Vocabulary	Discourse Management	Pronunciation	Interactive Communication	Global Achievement
Raphael	1	4.5	4.5	4	4	4.5	5	5	5	5	5
Maude	1	5	4.5	5	4	4.5	4.5	5	5	5	5
Victoria	1	3.5	4	5	3	3.5	4.5	4.5	5	5	4.5
Edward	1	3	3.5	3.5	3.5	3.5	3	3.5	3	3.5	3.5
Florine	1	3.5	3.5	4.5	5	4	5	5	5	5	5
Maria	1	2.5	3	4	2.5	3.5	3	3.5	3	3.5	3.5
Paolo	1	3	3.5	3	3.5	4	4	4.5	4.5	5	4.5
Natalie	1	3.5	4.5	3.5	3.5	3.5	4.5	4.5	4	5	4.5
Ottavia	1	3	3.5	3.5	3	3.5	3.5	3.5	3.5	4	3.5
Hannah	1	3	3	4	3.5	3.5	3.5	4	4	4	4

Later a discrepancy score for each criterion and each exemplar was calculated by comparing the scores of the raters with the benchmark.

Table 2. First day pre-training discrepancy scores

Candidate	Rater	Grammar & Vocabulary discrepancy score	Discourse Management discrepancy score	Pronunciation discrepancy score	Interactive Communication discrepancy score	Global Achievement discrepancy score	Total discrepancy score
Raphael	1	-0.5	-0.5	-1	-1	-0.5	-3.5
Maude	1	0.5	-0.5	0	-1	-0.5	-1.5
Victoria	1	-1	-0.5	0	-2	-1	-4.5
Edward	1	0	0	0.5	0	0	0.5
Florine	1	-1.5	-1.5	-0.5	0	-1	-4.5
Maria	1	-0.5	-0.5	1	-1	0	-1
Paolo	1	-1	-1	-1.5	-1.5	-0.5	-5.5
Natalie	1	-1	0	-0.5	-1.5	-1	-4
Ottavia	1	-0.5	0	0	-1	0	-1.5
Hannah	1	-0.5	-1	0	-0.5	-0.5	-2.5
<b>Total discrepancy score for all the assessments</b>							<b>-28</b>

As a discrepancy score does not show the correlation between the scores of all the participants and their distribution around mean, z score for each participant was calculated to be further used in analysis. The positive scores show that the rater's score is more lenient than that of an expert and on the contrary a negative z score indicates the examiner's higher than expected severity.

Table 3. Discrepancy scores and their transformation into z scores

Rater	Stage 1		Stage 2	
	Discrepancy score	Z score	Discrepancy score	Z score
1	2,5	1,65	-29,5	0,46
2	-47	-0,39	-26	0,68
3	-53,5	-0,66	-41	-0,25
4	-66,5	-1,2	-58,5	-1,34
5	-25,5	0,49	-26	0,68
6	-8,5	1,19	-44	-0,44
7	-106,5	-2,85	-55,5	-1,16
8	-7,5	1,23	-55,5	-1,16
9	-30,5	0,29	-44	-0,44
10	-30,5	0,29	-13,5	1,46
11	-21	0,68	-19,5	1,08
12	-53	-0,64	-34,5	0,15
13	-64,5	-1,12	-22	0,93
14	-43	-0,23	-74	-2,31
15	-24	0,55	-21,5	0,96
16	-43	-0,23	-74,5	-2,34
17	-70,5	-1,36	-47	-0,63
18	-50	-0,52	-39,5	-0,16
19	-6,5	1,28	-27,5	0,59
20	-25	0,51	-23	0,87
21	-44	-0,27	-37	0
22	-67,5	-1,24	-64	-1,69
23	-35	0,1	-41,5	-0,28
24	0	1,54	-25,5	0,71
25	-35,5	0,08	-28,5	0,52
26	-45	-0,31	-56	-1,19
27	-14	0,97	-29	0,49
28	-32,5	0,2	-34,5	0,15
29	16,5	2,22	-29,5	0,46
30	-45	-0,31	-53	-1
31	-6	1,3	-18	1,18
32	-78,5	-1,69	-25	0,74
33	-34,5	0,12	-21,5	0,96
34	-36	0,06	-8,5	1,77
35	-48	-0,44	-47	-0,63
36	-56	-0,77	-18,5	1,15
37	-27	0,43	-32,5	0,28
38	-26,5	0,45	-40	-0,19
39	-43,5	-0,25	-59,5	-1,41
40	-65,5	-1,16	-31,5	0,34

The comparative analysis of the results before training and after it shows that discrepancy z score of most of the raters improved. Strangely, however, the highest degree of leniency expressed by z score of 2.22 by rater No 29 though being the most “subjective” positive score at the first stage changed to 0,46 at the second stage, signifying the highest degree of efficiency of the training for the rater. The most severe score of rater No.7 at the first stage remained much different from the benchmark at the second stage but as a result it became twice more lenient and thus showed a significant positive dynamic. Some raters, such as No.4, 22, 26, 39 showed the tendency of becoming even harsher after the training and No.14 and No.16 strangely increased their severity by 10 times. As for No.6 and 8, on becoming harsher and having changed their discrepancy score from positive into negative, they still made a positive dynamic toward the benchmark. And on the contrary, examiners No.10, 11 and 34 developed even higher level of leniency and No. 36 changed the score from negative to positive so tremendously that the leniency score even acceded the previous severity score. However, No. 13, 32 and 40 having changed their results from negative to positive approached the benchmark in their progress.

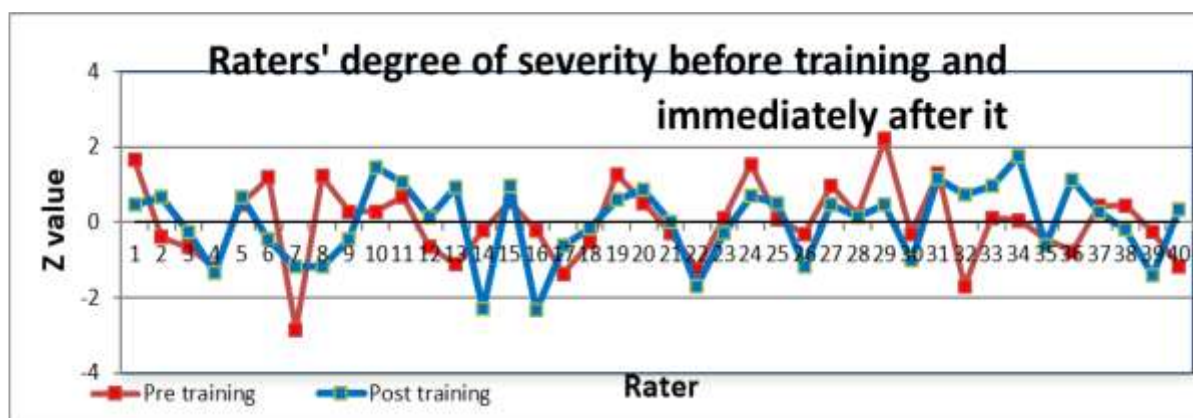


Fig. 1. Rater’s severity and leniency before and after training

Table 4 illustrates the progress or regression of the raters whose score at either of the stages was above 1 or below 1.

Table 4. Rater’s severity and leniency before and after training

	Stage 1	Progress	Stage 2
1	1,65	+	0,46
4	-1,2	-	-1,34
6	1,19	+	-0,44
7	-2,85	+	-1,16
8	1,23	+	-1,16
10	0,29	-	1,46
11	0,68	-	1,08
13	-1,12	+	0,93
14	-0,23	-	-2,31
16	-0,23	-	-2,34
17	-1,36	+	-0,63
19	1,28	+	0,59
22	-1,24	-	-1,69
24	1,54	+	0,71
26	-0,31	-	-1,19
29	2,22	+	0,46
31	1,3	+	1,18
32	-1,69	+	0,74
34	0,06	-	1,77
36	-0,77	-	1,15
39	-0,25	-	-1,41
40	-1,16	+	0,34

The analysis of the data leads us to the conclusion that for most of the raters the training session was efficient and resulted in the raters’ score approaching the benchmark. Out of 40 raters only 10 showed negative changes in their assessment. Thus, the efficiency of the training session can be rated at 75%.



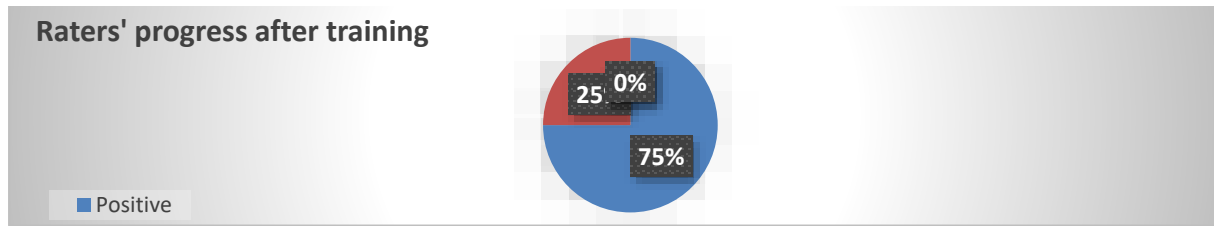


Fig. 2. Raters' progress after training

The study was also accompanied by 2 background Google Forms surveys. One was intended to collect personal data on participants and the other one was a follow-up survey used to collect the feedbacks of the participants about their possible progress after the training. Interestingly the "subjective" self-assessment of the participants' progress and the outcomes of statistical calculations appeared to be almost identical.

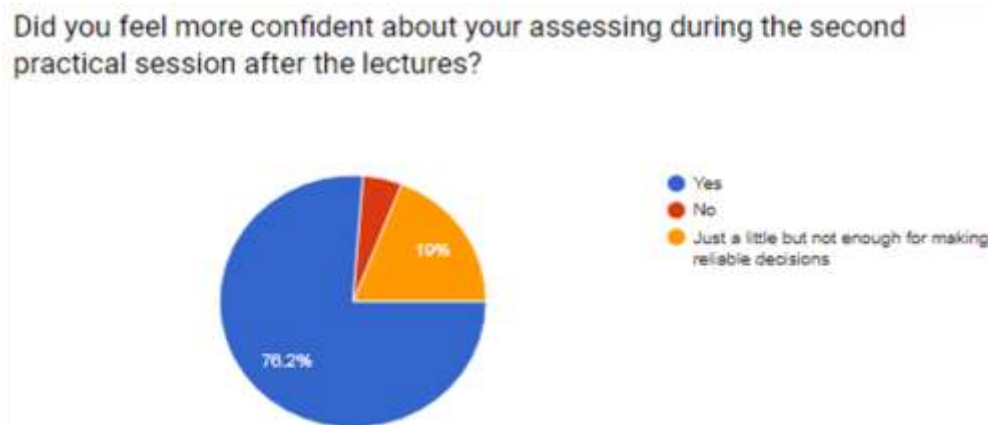


Fig. 3. Self-assessment data of the participants' progress

The findings of the study reported above show that though the examiners' biasedness in Speaking assessment was not absolutely eliminated, most of the raters became more accurate in their scoring. It proves the idea that although causal connections between attitudes and outcomes cannot be proved, it may be assumed that if training causes more user's satisfaction it is more effective, "leading to greater compliance with the benchmarks and hence increased conformity of rater behavior" [4; p.57].

The slight differences of the raters' severity, which cannot be eliminated, can thus 'be modelled in MFRA to some extent and the reduction of the variability in raters' severity should not be the main purpose of rater training' [6; p.4].

**Conclusions.** In terms of personal attitude to the possible progress in rating the participating students with little or no confidence in their progress showed less improvement than those who felt more confident about the benefit of the training. As for the level of the examiners' severity and leniency it changed in most cases but differently as some of the raters became harsher while others became more lenient. However, 75% of the participants of the training sessions made their progress toward the benchmark score which signifies noticeable increase in their objectivity.

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## ART

# IMAGES-METAPHORS IN THE ORNAMENTATION OF UKRAINIAN ICONOSTASIS OF THE BAROQUE PERIOD

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## ABSTRACT

In this paper, I adduce new evidence that the decorative program of Ukrainian iconostasis contained the images-metaphors and one of them was a coat of arms of the donor. The iconographic programme of the Ukrainian iconostasis, during the 17th — 18th centuries is regularly complemented by coats of arms of Hetmans, Cossack leaders and high-ranking Orthodox clergy. These images are placed in the antependium of iconostases, usually there are several coats of arms and they belong to different family members. Accommodation of the groups of coats of arms in the iconostasis, not just the coat of arms of the donor, indicates that that was the plan that can be understood only in semantic programme of iconostasis. In the system of iconic (portrait) images of the iconostasis, the coats of arms is understood as a kind of codes, that were associated to a specific person, becoming not only his distinctive sign or sign with legal meaning, but the symbol, denoting the person and functioning as his portrait. In this sense emblems formally did not conflict with other personal images in the iconostasis and could be included in its symbolical space. At the same time, by virtue of its form of emblem, the coat of arms did not become on a par with icons, so even though it was placed in the iconostasis, it was expelled from the circle of images intended for worship. In the location of coat of arms in the iconostasis can be seen soteriological expectations of the customer and his family.

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Medieval Latin tradition to introduce the coats of arms of donors in decorations of the church, from the 17<sup>th</sup> century spreads among the Orthodox in Polish-Lithuanian Commonwealth. From the second quarter of 17<sup>th</sup> century the coats of arms of donors already were integrated in the Ukrainian iconostases. This practice it seems quite unusual, even inappropriate, because the iconostasis is the most important liturgical object in the interior of the church. This wall of icons placed on the verge of the Holy of Holies, symbolically separated the heavenly and the earthly spaces. The symbolical structure of iconostasis arose from the iconographic program of byzantine templon, which evolved in Rus' at the late 14<sup>th</sup> – early 15<sup>th</sup> centuries<sup>1</sup>. The general iconography and structure of iconostasis were

<sup>1</sup> Ikonostasis 2000.

fixed by tradition, but at the 17<sup>th</sup> and 18<sup>th</sup> centuries this well-established system of images in the Ukrainian iconostases was supplemented by the coats of arms of donors.

First attempt to explain the meaning of the emblems in the iconostases of Ukraine had appeared in the second decade of the 19<sup>th</sup> century. In that time was suggested hypothesis, that emblem of donor in the iconostasis, as well as on other religious objects, is evidence of his vainglory and desire of worldly fame<sup>1</sup>. Such point of view remains relevant in the early 20<sup>th</sup> century<sup>2</sup>. In the studies of Soviet period dominated the idea of about realistic character of Ukrainian religious art of Baroque and strong secular influence<sup>3</sup>. This long established stereotype defined the attitude to the coat of arms in the iconostasis as an evidence of overall tendency to secularization of religious art of Baroque period. In my opinion, this traditional interpretation is quite simplified. This explanation is ignoring the symbolic content of the iconostasis, which by the definition of the Orthodox theologians, is the image of the Kingdom of Heaven and the divine economy, where iconography corresponds to the liturgical prayer before the epiclesis<sup>4</sup>. No evidence that in religious consciousness of Ukrainians in 17<sup>th</sup> – 18<sup>th</sup> centuries, the perception of the symbolic meaning of iconostasis was different. Byzantine basis of the iconographic program of Ukrainian iconostasis was preserved during that period. Furthermore, the devotion to the Byzantine canons was not only tradition, but also a main ideological basis of the Orthodox Church in Ukraine<sup>5</sup>. It leads one to assume that might exist others signification the coat of arms in the iconostasis, considering its role the main liturgical object in the interior of the church.

I will argue that emblems of donors in the iconostases have got more widely circle of signification. The reconstruction of the meaning of coats of arms in context of symbolic structure of the iconostasis will be aim of the present paper.

To begin with let us examine the chronology of introducing the donor emblems in the iconostasis and their location in it. The earliest example of placing the coats of arms in the iconostasis was connected with the name of Metropolitan of Kiev and Halych and All Rus' Peter Mogila. In the lower tier of the iconostasis of Saint Sophia cathedral in Kyiv, which had been created at the late 1630s and early 1640s years<sup>6</sup>, were situated two stucco emblems of Metropolitan. Their fragments were found during archaeological excavations in 1940 in the altar of the cathedral<sup>7</sup>. The following example dated from 1643. It was the iconostasis from the Annunciation church in Supraśl, where in the Apostles tier were placed the escutcheons of the Chodkiewicz family and the archimandrite Nikodem Szybiński<sup>8</sup>.

It is not possible to say that this practice had been widespread in the first half of 17<sup>th</sup> century, because other examples unknown. But in the second half of 17<sup>th</sup> – first half of 18<sup>th</sup> centuries there are many such instances. Most of them are connected with the area of Left-bank Ukraine (Cossack Hetmanate). Many of hetmans and cossack leaders, who gave donations for creation of iconostases, have included into them own emblems. For example, two coats of arms of hetman Ivan Mazepa were placed in the lower tier of the iconostasis in the church of the Theotokos of the Trinity Monastery in Chernihiv<sup>9</sup>. His coat of arms was in the iconostasis (1692) in the church of the Intercession of the Holy Virgin in village Mokhnatyn<sup>10</sup>, Chernihiv region (at another source is defined as the coat of arms of hetman Ivan Skoropadsky)<sup>11</sup>. According to the written sources, in the iconostasis of the St. Catherine church in Chernihiv, which had been created about 1715 by cossack family Lizogub, in the lower tier were situated their carved coats of arms<sup>12</sup>.

Up to the present time has by chance been kept four coats of arms of cossack family Apostol in the iconostasis (1732) of the Transfiguration church in the village Velyki Sorochyntsi, Poltava region. Two of them belong to hetman Danylo Apostol, two others – to his son, cossack colonel Pavlo Apostol. About

<sup>1</sup> Berlinski 1820, pp. 98, 99.

<sup>2</sup> Pavlutski 1910, pp. 395, 396; Modzalevski, Savitski 1992, p. 111.

<sup>3</sup> Beletski 1981, p. 66; Stepovyk 1982, p. 66–98.

<sup>4</sup> Florenski 1995, pp. 61, 62; Uspenski 1997, pp. 326, 327.

<sup>5</sup> Zholtovski 1983, p. 9–12.

<sup>6</sup> Nykytenko 2007, p. 24.

<sup>7</sup> Karger 1961, p. 149.

<sup>8</sup> Tomalska 2013, p. 50.

<sup>9</sup> Efimov 1911, p. 49.

<sup>10</sup> Chernihiv eparchial tidings 1863, p.700.

<sup>11</sup> Filaret 1874, p. 107; Katalog 1908, p. 158, 159.

<sup>12</sup> Filaret 1874, p. 66.

belonging of the emblems speak alphabetic abbreviations on the shields<sup>1</sup>. Remarkable, that the Transfiguration church was built by Danylo Apostol as the family mausoleum.

The Virgin Nativity cathedral in Hamaliya Kharlampiy monastery, Sumy region, also was conceived by hetman Ivan Skoropadsky as a proper family mausoleum. The monumental iconostasis (1735) of that church not preserved, but it also contained coats of arms of Skoropadsky' clan in the lower tier<sup>2</sup>.

Furthermore, it is a known, that the coat of arms of cossack colonel Pavlo Polubotok (in 1722–1724 he was the hetman) was in the lower tier of iconostasis in the church of Ascension, in Chernihiv<sup>3</sup>; the coat of arms of cossack colonel Fedir Ostrogradskyy was in the lower tier of iconostasis (1750) of the Dormition Church in village Hovtva (Poltava region)<sup>4</sup>; the coat of arms of cossack colonel Ivan Gamalia was in the iconostasis (1763) of church in village Borschiv (now is Bryansk region, Russia)<sup>5</sup>.

The high-ranking Orthodox priests giving money for a creation of iconostases, also follow to this practice. For example, two iconostases of the late 17<sup>th</sup> century on the choir galleries in St. Nicholas (Military) Cathedral in Kiev contained in the lower tier the emblems of Iosaf Krovovsky, who was at that time the Archimandrite of Kyiv Pechersk Lavra<sup>6</sup>.

The placing of coats of arms in the lower tier of the iconostasis was fixed by tradition. They occupied places on the right and the left side from the Royal Doors or the emblem was placed below the icon of the saint patron or feast day to which the church was dedicated. The placing of the emblems beyond the lower tier of the iconostasis was rare. It is known the case mounting of emblem on the upper tier of the iconostasis (1663) in St. Nicholas (Military) Cathedral in Kiev. There the panel with coat of arms was part of the composition with an angel-painter, which stood on the cornice of the north wing of the iconostasis<sup>7</sup>. Another example of rare placing of emblem we can see on the silver Royal Doors of early 18<sup>th</sup> century, created by expense of hetman Ivan Mazepa for the iconostasis of St. Boris and Gleb Cathedral in Chernihiv. There his coat of arms is situated on the column.

Apparently, the coats of arms in the iconostases of Right-bank Ukraine in the second half of 17<sup>th</sup> – first half of 18<sup>th</sup> centuries were not widespread, because such examples do not known. The reasons of this remain unclear. The single well-known example of using the emblems in the iconostasis of Right-bank Ukraine already refers to the last quarter of 18<sup>th</sup> centuries. In the iconostasis (1784) of the Holy Spirit church in the village Huklyvyi, Zakarpattia region we can see the coat of arms of Austrian monarchy and the coat of arms of Bishop Andriy Bachynskyy, which are placed above the icons in the Sovereign tier to left and right of the Royal Doors. The character of location of these coats of arms, the introduction State Emblem side by side with the individual coat of arms as well as absence other examples and early tradition to introducing the coats of arms in the iconostasis in this region, forces to consider this case as a marginal, not associated with the practice that has developed in the Left-bank Ukraine. Furthermore, the coats of arms were added in iconostasis of the Holy Spirit church in that time, where this practice was ceased on the Left-bank Ukraine. For this reason, I do not take into account those emblems in the present research<sup>8</sup>.

The lower tier of iconostasis is not the best place for the coats of arms of donors, because the images in this tier could be hidden from the eyes behind a low barrier of solea, the portable lecterns or vases with flowers. But the emblems usually were placed there and it is definitely not a coincidence. Allow me to remind here that at that time, where the first emblems of donors were added in the iconostases, the coats of arms had already widespread in the altars of Polish-Lithuanian Commonwealth. Their placement in altars are vary significantly. The emblems could be on the entablature as in main altar of first half of the 16<sup>th</sup> century in church of the Assumption of the Blessed Virgin Mary in Bodzentyn. The emblems could be on the sides of center image as in as in the main altar (about 1630) in the church

<sup>1</sup> The letters ‘СІВВЗѠСДГДА’ are found on the coats of arms of Danylo Apostol. It meaning following: ‘Єя Императорского Величества Войска Запорожского Обѣих Сторон Днепра Гетман Даниил Апостол’ [Hetman of Her Imperial Majesty and of the Zaporozhian Host on left and right bank of the Dnieper River, Danylo Apostol]. The letters ‘СІВВЗІМІІА’ are found on the coats of arms of Pavlo Apostol. It meaning following: ‘Єя Императорского Величества Войска Запорожского Полковник Миргородський Павел Апостол’ [Colonel of Her Imperial Majesty and city Myrhorod, Pavlo Apostol].

<sup>2</sup> Logvyn 1980, p. 216.

<sup>3</sup> Filaret 1874, p. 71.

<sup>4</sup> Arandarenko 1852, p. 178.

<sup>5</sup> Lukomski, Modzalevski 1914, p. 31.

<sup>6</sup> Davydov 1910, p. 7.

<sup>7</sup> Davydov 1910.

<sup>8</sup> M. Priymych recently suggested to interpretation those emblems as mapping of idea about parallelism of secular and spiritual power. For all details see: М. Приймич, *Перед лицем твоїм. Закарпатський іконостас (In front of Thy Face. Iconostasis of Zakarpattia)*, Ужгород, 2007, pp. 130, 131.

of St. Stanislav in village Piotrkowice, Świętokrzyskie Voivodeship. But is know much more examples where the emblems placed on the predella. In this case is used one emblem, as in the altar of 1612 in the Basilica of St. James and St. Agnes in Nysa or two different emblems as in the main altar of the church of the Holy Virgin Mary in Tuczno of early 1620s years<sup>1</sup>. Another possible manner to represent the coats of arms on predella we can see in the main altar of St. John the Baptist Church in town Volpa, Grodno region (Belarus). The altar was created in 1634 and on its predella there are two pairs of emblems and each pair of emblems is identical<sup>2</sup>. It is noteworthy that for the altars such scheme was one of many but for iconostasis became the general rule.

No doubt that the manner of emblems distribution on predella of altars served as the initial model for their location in the iconostasis. However, it does not assume that adoption of that model occurred by chance, because in the lower tier of iconostasis had locuses free from icons or a canon did not describe the iconography of this tier<sup>3</sup>, and that allowed freely change the program of images in that tier, when the practice of marking of the emblems of donors the objects of donation achieved iconostasis. In the altars exist other options for placing for the emblems, but they not entrenched in the iconostasis. Therefore, the introduction of coat of arms just in the lower tier had particular significance.

Furthermore, the traditional hypothesis about vainglory of donor can not explain two important circumstances. First, in the lower tier of the iconostasis often placed several coats of arms that belonged to donor's clan. But for demonstration the fact of godly deed of donor is enough only his own emblem. Likewise donor acted, when decorated the church, built by him, or donated to church the liturgical subjects and books. Secondly, the introduction of two identical emblems of the one person in iconostasis is far beyond the tradition marking an object of donations of donor's emblems.

It allows considering the emblem of donor, as the part of iconographic program of the iconostasis and therefore the symbolic concept of iconostasis is the key for understanding of meaning of the coats of arms.

In the liturgical interpretation the main idea of iconostasis is described as clarification of the sacrament of the Eucharist<sup>4</sup>. At the same time, its iconographic structure is a systematized image of the whole Church of Christ where the icons are arranged according to the hierarchy of holiness<sup>5</sup>. If the complex of images in the iconostasis is united by common liturgical sense, it is logical to assume, that the meaning of donor's emblem is compatible with the overall concept of iconographic program. In turn, if the emblems were integrated to the symbolic program of the iconostasis as ones of sacred images, the meaning of the emblems must be changed or expanded, because the liturgical aspects of symbolism is not typical for a coats of arms. Therefore, the emblems in the iconostasis should lose meaning, inherent them in the space of secular culture. In other words, the meaning of the insignias in the iconostasis will be different from their meaning outside of its.

We have not the historical documents about the theological rationale for establishing of the coat of arms in the iconostasis. But the numerous examples of introduction the emblems in iconostasis, including belonging to the clergy, suggest that this practice had endorsement by the Church. The reason is a semantic role of emblems in the iconostasis.

According to the Christian tradition, an icon of saint possesses «similarity» which provides to icon the magical identity with the prototype<sup>6</sup>. That is why the icons in the iconostasis understand as the actual presence a multitude of saints. At the same time, the principles of historicism, which are characteristic for a Christian art and traditionally descriptive approach to reproduction of images of saints allows to called an icons as a portraits<sup>7</sup>.

Unlike icons, the coat of arms it is only a formalized symbol that functions as a legal and distinctive sign<sup>8</sup>. But this meaning of coat of arms is difficult to accept in the context of the iconostasis. Rather, in the system of iconic (portrait) images of the iconostasis, the coat of arms need to understand as a kind of code, that is associated to a person, but not only as distinctive sign or sign with legal meaning. It is the symbol, which points to a person and to functioning as his portrait. According to this interpretation, the significance of emblem is getting closer to the sense of portrait, because in essence the emblem is unique like a portrait. Although the emblem is not a facial image,

<sup>1</sup> Wujewski 2007, p. 129.

<sup>2</sup> Vysotska 1983, fig. 60.

<sup>3</sup> Zholtovski 1978, p. 92.

<sup>4</sup> Uspenski 1997, pp. 326, 327.

<sup>5</sup> Lidov 2014, pp. 356–401.

<sup>6</sup> Demus 1964, pp. 6, 7.

<sup>7</sup> Preobrazhenski 2012, p. 4.

<sup>8</sup> Arsen'ev 2001, p. 122.



but it very accurately indicates to the person and describes his social status no less effective than the clothes and regalia.

The important argument for understanding of the emblem in the context of the iconostasis as a kind of «portrait» is the Byzantine concept of donor portraits in the interior of church. The image of donor not being a portrait. It was reproduction of image of human, which did not go beyond the common principles of Byzantine art<sup>1</sup>. However, the contemporaries recognized the person which was portrayed<sup>2</sup>. The research of donor portraits of Medieval Rus' shows that religious art preserves the Byzantine concept of portrait until the 17<sup>th</sup> century. Also, was widely spread the practice of replacing the image of donor on inscription, saint patron or scene where donor could see himself<sup>3</sup>.

Since in the medieval art in Rus' existed the model of perception the donor image not only through of his conditional-portrait, but other symbols or inscription, could suggest that in the 17<sup>th</sup> century in this model was added the coat of arms – symbol which clearly relates to the person of donor. The introduction of emblem to the circle of symbolic images, that replaced portrait of donor is acceptable for Ukrainian society 17–18<sup>th</sup> centuries, because at that time the coats of arms became very popular in cultural space of Ukraine.

Among the Orthodox of the Polish-Lithuanian Commonwealth understanding the coat of arms as the portrait of donor was prepared by wide use such visual scheme in the Catholic churches. The image of donor and his coat of arms often placed in the church, including on a sepulchral monument. Very common the donor and his family kneeling in prayer, in accompanied their coats of arms, are the part of the sacred image. Moreover, similar compositions can be placed on the border with the space of chapel in fact on the border with the sanctuary. In the iconostasis from that scheme was removed figure of donor and forsaken only his coat of arms.

If we agree that a coat of arms in iconostasis was symbolic «portrait» of donor, it is possible to explain the idea of the introduction of emblem in the iconographic program. Located in the iconostasis the coat of arms, like the portrait, had the «magical identity» with prototype, that is with human and in this sense it was similar to the iconic images. In this signification the emblem formally does not enter into conflict with other personal images in the iconostasis and could be included to the common symbolic space. At the same time, the coat of arms by virtue of its form of sign is unequal to icons. So, despite the emblem is placed in the iconostasis, it is expelled from the circle of images are intended for a worship.

The placing in the iconostasis of the emblem as a symbolic image of donor return us to the location of icons. Since the place of each image in the structure of the iconostasis submits to hierarchical organization, could assume that coats of arms situated in the lower tier according their importance. That is, occupy corresponding level. Of course, in terms of hierarchy, the topography of coats of arms in the iconostasis is quite logical: the lower tier is the least important in the system of tiers of iconostasis.

However, in whatever part of iconostasis the coats of arms be located, the symbolical images of donor and his family in any case will be among the congregation of saints. But according to the theological interpretation, unto all the fullness of holiness which shows the iconostasis, a human could join only after the judgement of God<sup>4</sup>. In this symbolic context the emblem could not be the «portrait» of living human. The emblem should be interpreted as a sign, forever belonging to man. It was his timeless symbol and in the iconostasis plays the role of a memorial portrait.

All this mean that function of the coat of arms in the iconostasis extend beyond a single goal indicate the person or family who made a pious contribution. In passing, can remember that images in the lower tier of iconostasis could be hidden from view by the lecterns, which traditionally put below the local icons of Christ and Virgin Mary. It is clear that the aim of glorification is not always performed. Then what was the aim for installation of emblems? Why donors sought to place them in the iconostasis?

Uncover this aim is possible if rely on the circle meanings inherent to the donor portraits in the Christian tradition. This issue is the subject of numerous researches. They speak, that the introduction the donor images in the iconographic program of the church primarily aimed to a prayerful appeal to God and the saints and gaining eternal life in reunion with God. The portraits of donors asked for prayer of parishioners and especially clergy of a church or monastery<sup>5</sup> and such prayer is regularly offered. It is clear, that obligatory prayer for donors and benefactors during the church service explains the dissemination of the portraits of donors in the interiors Ukrainian churches 17–18<sup>th</sup> centuries<sup>6</sup>. In

<sup>1</sup>Preobrazhenski 2012, pp. 19–23.

<sup>2</sup>Ibidem, p. 23.

<sup>3</sup>Ibidem, p. 442.

<sup>4</sup>Uspenski 1997, p. 329.

<sup>5</sup>Preobrazhenski 2012, p. 15; Kämpfer 1978, pp. 25, 29, 30.

<sup>6</sup>Petrov 1900, Beletski 1981.

the Ukrainian churches in 17–19<sup>th</sup> centuries the implementation of this rite is not abolished, even if for benefactor of the church had been declared anathema, as in the case of Hetman Ivan Mazepa<sup>1</sup>.

At that time the donor images in the church have got other aspects of meanings. In the Russian church tradition was a practice of placing the donor portraits near the relics or miraculous icons. The portraits replaced there the personal attendance of donor. The same meaning are getting the gifts of donors for different churches. They symbolized «imaginary pilgrimage»<sup>2</sup>. All this suggests that introduction of coat of arm to the iconostasis could be understand as a permanent presence of donor and his prayer to God.

Another fact helps better understand the aim of the emblem. In the Orthodox tradition in the lower tier of the iconostasis could be situated images related to the fate of the human soul after death. An example serves the tier of the Synodic icons of early 18th century, which was located in the lower tier of the iconostasis of the Peter and Paul church in Novgorod, Russia (now the icons are kept in the Novgorod museum)<sup>3</sup>. There are mentions about lighting candles for the dead near the lower tier of the iconostasis in the Serbian churches<sup>4</sup>. It is considered, that the development of the theme of remembrance of the deceased at the lower tier of the iconostasis corresponds to the location of particles of proskomion on the diskos on the Liturgy of Preparation<sup>5</sup>. Prayers for the dead there are in all rites of Divine Liturgy, beginning from ancient Liturgies<sup>6</sup>. It is clear that images in the lower tier of the iconostasis, when they relate to a particular person, should be seen by the memorial sense and the same meaning had the emblems of donor and his family.

In summary, note, that the iconostases which had the emblems of donors, didn't preserved (except iconostasis in the village Velyki Sorochyntsi). So, it is difficult to insist on any order of appearance the meaning of coats of arms in the iconostasis. Most probably that historically the initially purpose of the emblem of donor in the iconostasis really was fixing of the fact of contributions. But typologically, in the context of the iconostasis, another purpose becomes primary. The emblem - is the image of donor, who stands in prayer to God. Understanding of this new role of the coat of arms in the iconostasis led to introduction several of family coats of arms. The practice to introduce two emblem of one person in the iconostasis can be understand as a desire to enhance by doubling of symbols the effect of prayer request. This assumption explains to the logic of the customer, who places the emblem below the icons of Mother of God and of Christ. It is a prayer of donor personally to each of them.

For donor was not very important to his coat of arms was clearly visible to human. Therefore a lecterns that blocked view to the coat of arms were not changed anything. Most importantly, that God could see them. Of course, in that perception of emblem in the iconostasis is exceptions when vanity of donors prevailed. The example of this is the Royal Doors from the Borisoglebsky Cathedral in Chernihiv with the coat of arms of Hetman Ivan Mazepa. However, this does not mean that other his emblems in the iconostasis had only the purpose of glorifying.

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<sup>1</sup> S.N.I. 1884, p. 658–660.

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<sup>3</sup> Chugreeva 2000.

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# КОМПОЗИЦІЙНИЙ ВПЛИВ КАМЕРНІЗАЦІЇ ЯК ОДИН З ФАКТОРІВ СТАНОВЛЕННЯ ДРАМАТУРГІЧНОГО ПРОЦЕСУ У КОНЦЕРТНИХ ТВОРАХ ДЛЯ ФОРТЕПІАНО З ОРКЕСТРОМ ХХ СТОРІЧЧЯ

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## ABSTRACT

The subject of this research is to consider the compositional properties of the chamber tendency in relation to drama in compositions for solo instruments within a chamber orchestra. As twentieth century composers' raised interest in chamber-orchestral concert genres, this caused a number of consequences affecting the formation of dramatic specifics. Some of these include those trends of chamber tendency, which relate to timbre, form, genre, neoclassical manifestations, aesthetics, character directivity, etc. Revision of the semantic component of the chamber orchestra toolkit can appear as a movement towards single-timbre or an emphatic ensemble style. Neoclassical trends through the prism of chamber tendency influence the semantic content of character spheres. Keeping and development of chamber-instrumental music traditions create a special kind of musical material presentation, manifested in the deepening of the sphere of individualization and characterization of a subject. Genre orientation, addressed to the rebirth of the main achievements of past epochs, affects not only the semantic load of character spheres, but also a drama in general. Overall miniaturization as one of tendencies of the twentieth century in the context of the chamber nature leaves its trace in formation of character spheres as a tendency to concentration or continuity. Thus, in general, in the concert genre of the twentieth century the specific innovation patterns are created in the formation of conceptual intonation of character dramaturgy.

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**Вступ.** Вже понад чотирьох віків існує жанр камерний концерт. Внаслідок інтенсивної інтеграції музики для фортепіано з камерним оркестром в мистецьку панораму ХХ сторіччя виокремлюються характерні властивості притаманні камерній музиці. Окремі аспекти цього феномену в контексті музики таких композиторів епохи бароко, як А. Кореллі, А. Вівальді та І. С. Бах розкрили дослідники М. Пеншерль, К. Кузнецов, І. Ямпольський, В. Кольнедер, Г. Маліп'єро, Б. Доброхотов, І. Форкель, А. Швейцер. Жанровим зрізом загалом оркестрової та концертної музики в контексті життя і творчості Й. Гайдна, В. Моцарта, Ф. Шуберта, Й. Брамса, Й. Штрауса, А. Дворжака, К. Сен-Санса, Р. Штрауса, А. Шенберга, Б. Бартока, І. Стравінського, П. Гіндеміта займалися науковці Л. Новак, Г. Аберт, Г. Гольдшмідт, П. Гульке, Ю. Хохлова, К. Гейрінгер, Є. Мейліх, З. Тулінська, Ю. Кремльов, І. Хардінг,

Е. Краузе, Т. Адорно, М. Друскін, Е. Кетлі, Е. Фрейтаг, І. Нест'єв, Т. Левая та інші [6]. В деяких аспектах камерну оркестрову музику ХХ сторіччя було висвітлено такими роботами, як докторська дисертація Л. Повзун «Камерність як жанрово-стильова парадигма інструментально-ансамблевої творчості» [5], кандидатська дисертація М. Басок «Сучасна камерна опера. До проблеми специфіки жанру» [3], кандидатська дисертація Н.Ксенофотнової «Камерний оркестр першої половини ХХ сторіччя (до проблеми історичної типології оркестрового письма)», нарис І. Барсової щодо камерної творчості П. Гіндеміта, стаття О.Седельнікової про камерну симфонію 1960-х років тощо. Але першою узагальнюючою спробою охопити всю музику для камерного оркестру з точки зору генезиса, втілення традицій та виконавської інтерпретації належить Е. Прейсману (докторська дисертація «Камерний оркестр як явище в музичній культурі XVII-XX сторіччя») [6]. Слід зауважити, що камерність не розглядалася в контексті трактовки правил відносно усвідомлення семантичних векторів драматургії. Це важливий аспект, в якому закладені аналітичні передумови драматургічної процесуальності. Відповідно, мета даної статті – простежити вплив камерності як загальної тенденції у становленні драматургії творів для фортепіано з камерним оркестром.

**Основний текст.** У ХХ сторіччі відбувається посилення цікавості композиторів до камернізації оркестрової музики. Це було викликано кількома причинами. Однією з них стає реакція на штампи та трафарети «великої симфонії» [2]. Симфонічний оркестр значно зменшується в нетипові склади виконавців. Внаслідок цього відсікаються певні оркестрові групи та видозмінюються тембральні засоби виразності. Саме таке обмеження партитурної палітри нівелює традиційне для симфонічного оркестру поєднання інструментів оркестру. Прослідковуються дві категорії тенденцій - доцентрова та відцентрова. Відтак концентрування може відбуватися всього на одній оркестровій групі (наприклад, Концерт для фортепіано, духового оркестру, літавр та контрабасу І. Стравінського 1924р., Камерна музика для фортепіано та 12 солюючих інструментів П. Гіндеміта 1924р., «Концертна музика» для фортепіано, мідних духових та двох арф П. Гіндеміта 1930р., Камерний концерт для скрипки, струнних, фортепіано та ударних Б.Мартіну 1941р., Концерт для підготовленого фортепіано та камерного оркестру Д. Кейджа 1951р., «Quodlibet» Концерт для фортепіано та камерного оркестру Н.Кастільйоні 1976р., Концерт для фортепіано та струнних А.Шнітке 1979р.) або на підкресленій ансамблевості з виокремленням солюючих інструментів (наприклад, Камерний концерт для фортепіано, скрипки та 13 духових А.Берга 1925р., Камерна симфонія для 12 інструментів Д.Енеску 1954р., Подвійний концерт для клавесина, фортепіано з двома камерними оркестрами Е.К.Картера 1961р., Камерний концерт для 13 інструментів Д. Лігеті 1970р., «...quasi una fantasia...» для фортепіано та двох камерних ансамблів Д. Куртага 1988р., Подвійний концерт для фортепіано, віолончелі та двох камерних ансамблів Д. Куртага 1990р., «Intarsi» Камерний концерт пам'яті В.Лютославського для фортепіано і ансамбля К. Хубера 1994р.,).

В першому випадку відбувається пошук нових засобів виразності в межах оркестрової однотембральності. З цього витікає певна образна континуальність, так як інструментальна однорідність формує монолітне тембросприйняття. Внаслідок цього загострюється темброве розмежування образних сфер. Твори для сольних інструментів з однорідним камерним оркестром характеризуються подібними шляхами розвитку, в яких аналіз драматургічної процесуальності відштовхується від фіксації конкретної кількості превалюючих тембрів, що мають формотворчу властивість стосовно становлення образних сфер. В результаті відбувається посилення протиставлень образних сфер масивної направленості та зменшено-камернізованої. Наприклад, цікавої тембрової функціональності набуває Камерна музика для фортепіано та 12 солюючих інструментів П.Гіндеміта. З однієї сторони, склад оркестру передбачає групу солістів. З другої – від самого початку до кінця майже неможливо знайти хоч одну мелодію в партії оркестру без дублювання. Тобто підхід, по суті, до ансамблевої структури відбувається виключно оркестровими методами та мікстами. Це дає підстави в даному випадку трактувати роль оркестру в якості цільного чинника образної сфери.

В другому випадку відхід у сторону ансамблевості значно зменшує використання прийому дублювання партій інструментів. Така сольо-тембральна рясність дає поштовх до трактування драматургічних образів у сфері руху та постійного видозмінення. Внаслідок мінімізації масово-оркестрових можливостей відбувається тенденція до економії та ретельної деталізації ритмічних, інтонаційних, динамічних засобів виразності тощо. Наприклад, це проявляється в камерному концерті для 13 інструментів Д.Лігеті, де підхід до формування партії кожного інструменту відбувається шляхом індивідуалізації та значного ускладнення



виразності в цілому. Це відкриває нові можливості персоніфікації та характеристики, що може значно збільшувати багаторівневу наповненість драматургічної процесуальності образністю.

Наступною властивістю камернізації стає посилення інтересу до музики минулих епох, зокрема античності, середньовіччя, бароко та класицизму. Відлік усвідомлення цього явища як самостійної стильової течії в західноєвропейській музичній думці прийнято вести з відкритого послання Ф. Бузоні П. Беккеру, опублікованого на початку 1920р. під назвою «Новий класицизм?». Вже з 1923р. (час появи «Октету для духових» І.Стравінського) усвідомлення цієї тенденції закріплюється в музичному просторі під назвою неокласицизм, який починає самостійне життя у вигляді художньо-стильового музичного напрямку [7]. Це спричинило жанрові, стильові, інструментальні та естетичні зміни. Відбувається переродження музичних жанрів минулих епох (партити, concerto grosso, сюїти тощо). Семантичне співіснування різних жанрових першооснов обумовлює подальшу естетичну та функціональну амбівалентність камерних інструментально-ансамблевих жанрів [4]. Наприклад, Concerto grosso для камерного оркестру Б.Мартіну витримане в ключових традиціях жанру. Відповідне звертання до жанру має формотворчу функціональність не тільки у плоскості композиційної структури. Драматургічна процесуальність в таких випадках може напряму підпорядковуватися обраним установкам відносно жанрових особливостей. Ретроспективна забарвленість стилістики образних сфер нерідко переходить у бік проблематики взаємодії минулого та сучасного. Наприклад, у Concerto grosso № 1 А. Шнітке такі діалогічні протиставлення формують логіку драматургічних зв'язків у тих плоскостях, домінуючою характеристикою яких є звернення до часового фактору в якості елементу полістилістики.

Посилюється сприйняття образних сфер в аспекті неокласицизму не тільки шляхом видозмінення стилістики. Це відбувається також за допомогою апелювання до інтонаційного словника минулих епох, використання монограм, цитат, алюзій, колажів тощо. Наприклад, в присвяченому А.Шенбергу Камерному концерті для фортепіано, скрипки та 13 духових А.Берга фігурують три теми, створені із монограм імен і прізвищ діячів нововіденської школи – Арнольд Шенберг (A[rno]l[D] SCH[on]BE[r]G), Антон Веберн (A[n]ton w]EBE[r]n) та Альбан Берг (A[l]b[an] VE[r]G). Від самого початку А.Берг хотів назвати частини свого камерного концерту «Дружба», «Кохання» та «Світ», маючи на увазі, відповідно, відносини між А.Шенбергом та його учнями, коханням А.Шенберга до його померлої у 1923 році дружини Матильди та багатолікий і недружній світ по відношенню до нововіденської школи [1]. Тобто в окремих випадках подібна робота з музичним матеріалом може стати домінуючим фактором у формуванні не тільки тематизму, а й його семантичної наповненості, що впливає на образну драматургію.

Відомо, що камерна музика головним чином характеризується не тільки відносно невеликою кількістю виконавців [4] [9], але й направленістю на обране кого слухачів. Вже в XIX сторіччі під впливом камерно-інструментальної мініатюри жанр концерту насичується новою образністю, змістовно збагачується ліричністю і психологізмом [8]. Про цю тенденцію, відповідно, можна говорити і у XX сторіччі. Її укорінення та поглиблення формує особливий спосіб висловлювання. Внаслідок цього виникає певний парадокс. З однієї сторони, оркестрова музика передбачає об'єднуючу масовість. З іншої – камерність як така має драматургічну направленість у бік поглиблення індивідуалізованого та суб'єктивного. Тобто шляхом полярного розмежування типів драматургічних засад відбувається загострення особистісного початку в образних сферах. Наприклад, в Концерті для фортепіано і струнних А.Шнітке домінує сфера монологічно-медитативна, що проявляється в сольних фортепіанних розділах (вступ, каденція, кода), яка значно протиставляється масово-дієвим оркестровим контрастам, музика яких то ущільнюється у кластерну соноріку, то розгалужується у ритмічних геометричних прогресіях.

Характерними є назви творів для солюючих інструментів з камерним оркестром. Зазвичай в них авторами закладається певне розуміння природи взаємодії оркестра та сольного інструменту. Є категорія творів, назва яких починається з «Музика для...». Навмисне оминання слова «концерт» свідчить, як правило, про функціональне злиття соліста з оркестром, що формує передумови для цілісного сприйняття драматургічного образу. Відбувається це шляхом нівелювання типової змагальності. Інша категорія творів, що починається зі слів «Концерт для...» зазвичай якраз в загальних рисах зберігає цю традицію. Наслідком в цьому випадку стає саме конфліктний тип драматургії. Нерідко у творах XX сторіччя з назвою «Камерна симфонія» фігурує фортепіано в складі оркестру. В таких випадках партія фортепіано асимілюється та втрачає протиставну функцію. Простежується це, наприклад, в Камерній симфонії для 12

інструментів Д. Енеску, де фортепіано органічно співіснує в загальному музичному просторі без домінуючого драматургічного переходу на перший план.

Окремою рисою камернізації жанру стає мініатюризація у вигляді зменшення тривалості творів. Витримані в естетиці з романтичними вибоками розгорнуті симфонічні концерти можуть тривати більше години (наприклад, Концерт для фортепіано з оркестром Ф.Бузоні), тоді як деякі камерні концерти ХХ сторіччя можуть зменшуватися до десяти хвилин звучання (наприклад, «...quasi una fantasia...» для фортепіано та двох камерних ансамблів Д.Куртага). Відносно цього можна говорити про щільну образну концентрацію компактних структур. Для творів з підкреслено конфліктним типом драматургії прослідковується інтенсифікація розвитку в межах невеликого обсягу композицій. З другої сторони, драматургія творів наближених до ліричного складу рухається у бік поглиблення сфери медитативності, споглядання та втримання одного превалюючого образу (наприклад, Концерт для підготовленого фортепіано та камерного оркестру Д.Кейджа 1951р.).

**Висновки.** Камернізація як тенденція ХХ сторіччя диктує свої правила драматургічних засад. До головних формотворчих ознак цього явища відносяться такі новації:

– рух у бік зменшення складу виконавців за двома категоріями – до масової однотембральності та ансамблевої тембрової рясності в контексті формування взаємодії образних сфер;

– жанрові, естетичні прояви неокласичності та полістилістики семантичного становлення образності;

– особливий тип висловлювання спрямований до індивідуалізованого та суб'єктивного початку образних сфер;

– вплив на драматургічні взаємовідносини солюючого інструменту та оркестру в якості асиміляції та розмежування;

– загальна мініатюризація з рухом у бік драматургічної інтенсифікації або континуальності превалювання образних сфер.

Відтак формуються нові особливості в усвідомленні концепційної цілісності становлення інтонаційно-образної драматургії.

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