

# Proceedings of the 2nd International Conference on Humanities and Social Sciences

Fostering Global Resilience through  
Cross-Cultural Collaboration

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Porto, Portugal

Editors

Alexandra Albuquerque  
Karima Bouziane

**Title**

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Fostering Global Resilience through Cross-cultural Collaboration

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## Foreword

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In today's interconnected world, Humanities and Social Sciences (HSS) play crucial roles in promoting understanding, empathy, and resilience. As the world confronts various challenges such as conflicts, environmental issues, and the Covid-19 pandemic, the significance of cross-cultural collaboration and innovative leadership cannot be overstated. The 2nd International Conference on Humanities and Social Sciences, held on 27-28 November 2023, Porto, served as a dynamic platform for scholars, researchers, and practitioners who explored the pivotal role of HSS in fostering global resilience through cross-cultural collaboration.

Throughout the conference, we witnessed how HSS research and reflection served as catalysts for addressing contemporary challenges and seizing emerging opportunities. Whether it is tackling global conflicts, mitigating the impacts of economic inequality, responding to the disruptions from the pandemic or environmental disasters- the perspectives shared by the participants have emphasized the importance of interdisciplinary collaboration and inclusive dialogue for a better recovery.

The chapters in this proceedings book reflect the diverse and interdisciplinary nature of the conference discussions. They tackle various dimensions of- resilience, education, social impact, technology, digital ethics, financial management, and organizational resilience- offering recommendations and strategies for coping with crises and building sustainable solutions. Each chapter explores specific topics organized as follows:

*Education and Resilience* chapter explores various dimensions of education and resilience, showcasing studies on inclusive teaching strategies for dyslexic students, the integration of critical thinking skills in EFL textbooks, initiatives to bridge the gender empowerment gap, and the challenges and opportunities of integrating digital resources in education, especially during crises like the COVID-19 pandemic.

*Social Impact and Resilience* chapter highlights the importance of understanding social dynamics in fostering resilience and solidarity across diverse communities. The chapter investigates the social impact of heuristics on charitable donations, the resilience of community interpreters, narratives of disaster, and humanistic dimensions of psychotherapy.

*Social Dynamics and Behavior* chapter provides insights into how social dynamics and behaviors influence resilience in various contexts. It tackles gender equity in organizational performance, motivations and barriers in young entrepreneurship, risk perception in water consumption behaviors, and the role of board games in promoting media literacy.

*Technology and Innovation* chapter treats the complex interplay between technology, innovation, and resilience. It examines innovation's role in competitive advantage, the impact of digital transformation on public establishments, workplace well-being amidst technological advancements, leveraging social selling for B2B relationship management, and the use of AI in scriptwriting,

*Digital Ethics, Governance, and Societal Impact* chapter tackles the ethical and governance dimensions of digital technologies and their societal impact. It addresses digital transformation's implications for sustainability and development, the rise of information capitalism, cyber space user protection, ethical challenges of AI, and combating fake news.

*Financial Management* chapter emphasizes financial management's role in organizational resilience. It deals with the adoption of IFRS 9 in European banks post-2008 financial crisis, subsequent measurement models for tangible fixed assets, implications of Public Accounting Standard 26, and the relationship between sustainable practices and financial success.

*Organizational Resilience* chapter discusses the strategies and frameworks for building resilient organizations in dynamic environments. The chapter investigates how strategic human resource management fosters organizational resilience, mechanisms for addressing business difficulties under Moroccan law, and the shift from traditional to servant leadership styles.


Overall, the 2nd International Conference on Humanities and Social Sciences stressed the vital role of cross-cultural collaboration and inclusive dialogue in addressing contemporary world challenges. Through the diverse topics explored, participants have provided valuable findings and strategies for building resilience and fostering sustainable solutions. Through showcasing these diverse insights, the book is expected to promote innovative approaches to addressing current world issues.

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# **CHAPTER ONE**

# **EDUCATION AND**

# **RESILIENCE**



## La didactisation de la dyslexie au Maroc

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Laboratoire d'Études et de Recherches sur l'Interculturel (LERIC/URAC 57)

Université Chouaib Doukkali à El-Jadida. Maroc

**Résumé :** *Il s'agit d'une étude qui a permis de réaliser et d'installer des aménagements didactiques inclusifs destinés aux enseignants de l'école publique marocaine inclusive. Deux classes accueillant deux élèves dyslexiques, en milieu rural et urbain, sont concernées. Après une observation avant et après l'installation des aménagements didactiques inclusifs, nous avons constaté une nette amélioration au niveau de la motivation et de l'interactivité des élèves dyslexiques au sein de leurs classes inclusives. De légères améliorations au niveau de la capacité de lire et de la compréhension sont aussi détectées. Or, d'autres interventions restent à réaliser à l'égard de cette communauté, au sein d'une école publique marocaine, inclusive, et équitable.*

**Mots-clés :** *Dyslexie, lecture, didactique inclusive, inclusion, école*

### 1. Contexte général de l'étude

Au Maroc comme partout dans le monde, plus personne ne doute de la valeur sociétale de l'enseignement. Or, l'école publique marocaine peine à trouver sa vitesse et attire des interrogations chez plusieurs citoyens qui ont perdu patience et confiance de toutes réformes (Biyouda, Zahid, 2022). Ce qui se manifeste à travers le nombre croissant de la déperdition et du retard scolaires<sup>1</sup>.

Néanmoins, la lecture, comme discipline axiale de l'enseignement primaire, n'échappe pas aux impacts de ces réformes, ce qui justifie les rapports négatifs du point de vue national<sup>2</sup> et international<sup>3</sup> signalant l'alarme par rapport au niveau bas des acquis de base de nos élèves, et spécialement en lecture (Conseil économique, social et environnemental, 2019). Par conséquent les élèves dyslexiques, comme élèves ayant des particularités d'apprentissage de la lecture (Woolven, 2021) peinent à trouver leur place dans une école qui a reconnu tardivement ce trouble dans le cadre d'une école inclusive encore en manque de moyens nécessaires pour l'accomplissement de ses actes (Bouya, 2023). L'inclusion qui se définit comme « Un processus visant à tenir compte de la diversité des besoins de tous les apprenants, et à réduire l'exclusion scolaire. Elle suppose la transformation et la modification des contenus, des approches, des structures et des stratégies. (UNESCO, 2006, p.15, cité par BETTIOUI, 2021) n'est pas encore concrètement installée dans le contexte marocain. Et c'est dans ce champ où réside notre étude en essayant de proposer des aménagements didactiques inclusifs, destinés aux enseignants inclusifs, qui accueillent des élèves dyslexiques dans leurs classes.

### 2. Cadrage théorique

La didactisation de la dyslexie au Maroc fait référence au processus d'adaptation des méthodes d'enseignement et d'apprentissage pour mieux répondre aux besoins spécifiques des élèves dyslexiques. Cela implique généralement l'élaboration de stratégies et de pratiques pédagogiques adaptées et la mise en place de ressources et d'outils spécifiques pour faciliter l'apprentissage. Ce processus est un nouveau paradigme exploité dans le cadre de cette recherche pour assurer l'égalité

<sup>1</sup> Plus de 331 558 élèves ont quitté les bancs de l'école pendant la saison scolaire 2021/2022 (Statistiques du ministère de l'éducation nationale, 2022).

<sup>2</sup> PNEA.INE. Les rapports établis par le CSEFRS et le CESE.

<sup>3</sup> PISA, TIMSS, PIRLS.

des chances et l'équité en matière d'éducation pour tous les élèves, en particulier ceux qui sont confrontés à des défis d'apprentissage comme la dyslexie.

Nous précisons aussi que la dyslexie se définit comme « Un trouble développemental, spécifique, significatif et persistant, de nature neurologique, de l'acquisition du langage écrit qui empêche un élève, sans difficultés mentales et ne présentant aucune déficience intellectuelle, sensorielle, visuelle, émotionnelle, éducative, socioculturelle ou psychiatrique d'acquérir le code écrit. Elle peut s'accompagner d'autres troubles cognitifs. Ainsi, on naît dyslexique et on meurt dyslexique, et l'accompagnement se limite à la rééducation et non à la guérison » (Bouya, 2023).

En outre, parler de la dyslexie au Maroc, c'est systématiquement parler d'un type de handicap, qui rentre dans ce qu'on appelle « Les troubles des apprentissages » qui touchent, par exemple, 12% sur 14 605 élèves diagnostiqués (Lequouider, et al. 2021).

Comme cadre théorique de notre étude, il s'agit bel et bien de la didactique des langues abordée dans un cadre psycholinguistique : un « champ interdisciplinaire hybride qui étudie et observe les activités psychologiques, les mécanismes linguistiques, et les opérations cognitives mises en œuvre lors de la réception, le traitement et la production de la langue. Sa problématique principale est celle de la psychologie du langage, mais ses outils théoriques et méthodologiques sont issus de la linguistique et de la psychologie cognitive » (Bouya, 2022).

Concernant la lecture. Dans le contexte marocain, apprendre à lire est l'un des apprentissages les plus importants lors des premières années à l'école et qui conditionnent la réussite de tout le parcours scolaire d'un élève marocain (2006, أحرشواو). S'y ajoute que apprendre à lire est une activité particulière dans le contexte marocain où l'élève apprend 2 langues avant l'âge de 7 ans (Bouya, 2022).

En didactique des langues, lire, c'est : « s'approprier le sens d'un message. C'est la raison pour laquelle le lecteur doit être doté, à la fois d'un savoir, c'est-à-dire des connaissances linguistiques et extralinguistiques, et d'un savoir-faire, qui se concrétise dans des stratégies qui permettent la réalisation des trois opérations fondamentales de l'acte de lire : anticiper, identifier et vérifier » (Robert, 2008).

L'Observatoire National de la Lecture en France (ONL, 2005) précise que : « Lire, c'est extraire d'une représentation graphique du langage la prononciation et la signification qui lui correspondent. On lit pour comprendre ». Cette dimension de la compréhension n'est pas facilement atteinte chez les élèves dyslexiques.

### **3. Problématique, questions de recherche, hypothèses et objectifs de l'étude**

Dans le monde de l'éducation, la prise en compte des spécificités individuelles est cruciale pour garantir une pédagogie inclusive et adaptée à tous les élèves. Parmi ces spécificités, la dyslexie, trouble de l'apprentissage affectant la lecture, est l'une des problématiques majeures rencontrées par les enseignants et les élèves au quotidien. Malgré sa prévalence imprécise, la dyslexie demeure souvent mal comprise et sous-diagnostiquée, conduisant parfois à des trajectoires éducatives marquées par des échecs ou des frustrations inutiles. Dans ce contexte, la « didactisation de la dyslexie » émerge comme une nécessité, voire une urgence, pour les enseignants inclusifs souhaitant optimiser les méthodes d'enseignement en réponse aux besoins des élèves dyslexiques. Cette démarche vise non seulement à adapter les contenus pédagogiques, mais aussi à former les enseignants inclusifs à une meilleure compréhension et prise en charge de ce trouble.

Dès lors, à partir de ces constats préliminaires et en tant que chercheurs dans le champ disciplinaire de la didactique des langues, nous nous sommes interrogés comme questions de recherche :

Comment peut-on réaménager les pratiques didactiques, dans une classe de français du CE6, afin de prendre en charge les élèves dyslexiques dans le cadre d'une école inclusive?

Est-ce que ces aménagements didactiques pourraient être utiles aux enseignants inclusifs et pallier la majorité des difficultés des élèves dyslexiques pour réussir une bonne inclusion ?

Comme hypothèses de notre étude, nous avons pensé que les aménagements didactiques inclusifs proposés pourraient être d'une grande utilité pour les enseignants et les élèves dyslexiques. Ce qui permettrait le développement de la vitesse de lecture, de la compréhension, de la motivation et de la confiance en soi des élèves dyslexiques.

Ainsi comme objectif principal de cette étude, à partir d'une observation d'une classe de CE6, nous allons proposer des aménagements didactiques inclusifs aux enseignants, et nous vérifierons leur impact sur l'inclusion des élèves dyslexiques au sein de la communauté d'élèves normaux-lecteurs.

#### **4. Appareillage méthodologique**

##### **4.1 But, lieu et durée de l'enquête**

Comme rappel, le but de cette enquête est de concevoir, d'appliquer et d'évaluer l'utilité des aménagements didactiques inclusifs pour l'inclusion positive des élèves dyslexiques dans les classes inclusives de l'école primaire. Concernant le lieu de l'expérimentation, il s'agit de deux classes inclusives du CE6, dans deux écoles publiques marocaines du primaire de la province d'El Jadida. Une école en milieu rural, et une école en milieu urbain. Enfin, l'étude, s'est déroulée sur 4 mois, du 15 février au 15 juin 2022.

##### **4.2 Les participants**

35 élèves dans deux classes inclusives. 17 élèves normaux lecteurs et un élève dyslexique dans une classe de CE6 en milieu rural. 18 élèves normaux lecteurs et un élève dyslexique dans une classe de CE6 en milieu urbain.

2 enseignants de classes inclusives :

Un enseignant dans une classe inclusive en milieu rural. Une enseignante dans une classe inclusive en milieu urbain.

##### **4.3 Approche théorique et appareillage méthodologique**

Nous avons opté pour une recherche-action et une approche hypothético-déductive afin de vérifier les hypothèses dressées.

Nous avons aussi poursuivi une approche quantitative et qualitative pour la collecte des données.

##### **4.4 Les étapes de l'étude**

Avant la réadaptation didactique inclusive, nous avons réalisé une enquête exploratrice en collectant 19 questionnaires auprès des enseignants des classes inclusives dans la province d'El-Jadida.

Ensuite, 2 questionnaires sont destinés aux deux élèves dyslexiques dans les deux classes inclusives avant l'installation des aménagements didactiques inclusifs.

Une première observation d'une durée d'un mois est réalisée dans les deux classes inclusives.

Après, il y a eu l'étape de la proposition des aménagements didactiques spécifiques destinés aux enseignants pour voir leur impact sur le rendement des deux élèves dyslexiques.

Ensuite, une deuxième observation d'une durée d'un mois est réalisée dans les mêmes classes inclusives.

Après la deuxième observation, 2 questionnaires sont destinés aux élèves des deux classes inclusives et 2 questionnaires sont destinés aux enseignants des classes inclusives après la réadaptation didactique inclusive.

## 5. Résultats de la recherche

### 5.1 Résultats et interprétations de l'enquête exploratrice

Les enseignants questionnés affirment que les cas les plus présents dans leurs classes sont ceux des autistes ou de handicap mental, auditif, ou cérébral. Les troubles d'apprentissage ne viennent qu'à la troisième place. Or, cela prouve que ces troubles sont des handicaps invisibles, sous-estimés, sans indices apparents, et difficiles à repérer d'une manière superficielle comme les autres types de handicaps.

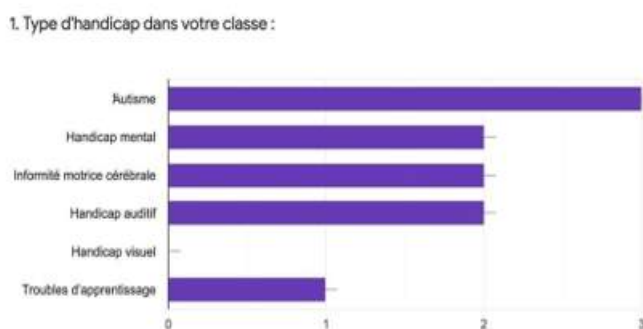


Figure 1 : Le type des handicaps dans les classes inclusives.

Les enseignants questionnés affirment aussi que tous les troubles des apprentissages sont présents dans leurs classes inclusives. Il s'agit donc d'une mauvaise compréhension de ces troubles et d'une incapacité à les distinguer entre eux. Ce qui pose un point d'interrogation sur la formation des enseignants inclusifs dans la province.

2. En cas d'élève ayant un trouble d'apprentissage, prière de cocher le trouble concerné :

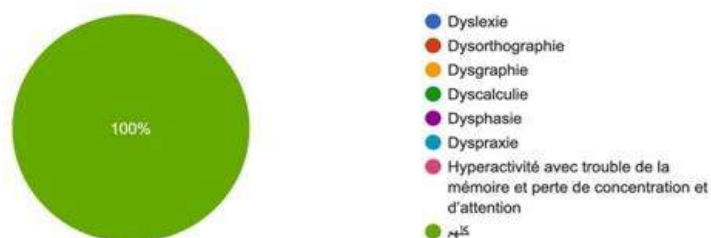


Figure 2 : Les troubles d'apprentissage présents dans les classes inclusives.

Après le dépouillage des questionnaires, nous avons constaté que plus que la moitié des enseignants questionnés ont moins de 20 élèves dans leurs classes inclusives, ce qui est convenable pour les élèves ayant un trouble d'apprentissage dans la mesure où ils peuvent bénéficier de plus de temps et d'attention de la part de leurs enseignants.



3. Nombre d'élèves dans votre classe :

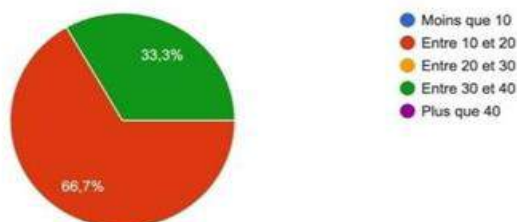


Figure 3 : Le nombre d'élèves dans les classes inclusives.

Ce qui est à noter, c'est l'absence des salles de ressources dans des écoles inclusives. Une salle de ressources est gérée par enseignant spécialiste dans les handicaps, et les élèves peuvent bénéficier de ses services quotidiennement. Ainsi, ces enseignants non formés ou insuffisamment formés, et ces élèves dyslexiques, sont laissés à leurs sors dans les écoles sans salle de ressources.

4. Avez-vous une classe de ressources dans votre école ?

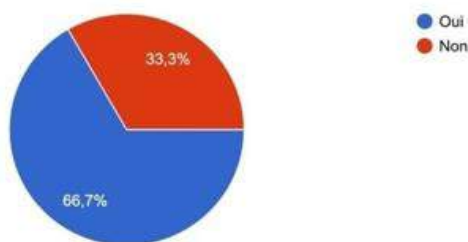


Figure 4 : Les salles de ressources dans les écoles inclusives

S'ajoute à cela le manque de formations continues en lien avec les troubles des apprentissages en général, et spécifiques la dyslexie. Comme l'absence de la formation initiale.



5. Avez-vous reçu une formation initiale concernant la pédagogie inclusive ?

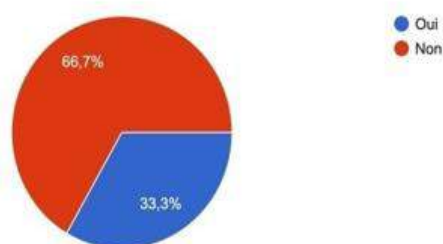


Figure 5 : L'insuffisance des formations dans le domaine de l'inclusion.

6. Avez-vous reçu une formation continue concernant la pédagogie inclusive ?

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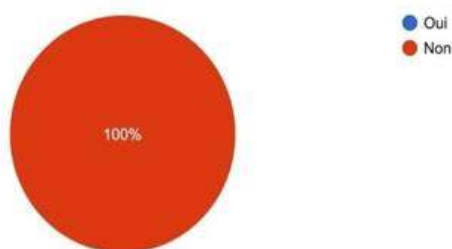


Figure 6 : L'absence de la formation initiale dans le domaine de l'inclusion.

En outre, malgré le regard optimiste du projet inclusif. La situation actuelle dans les classes inclusives questionnées installe une insatisfaction du rendement de l'enseignant qui se retrouve dans l'incapacité d'intervenir. Cela est causé suite à la rareté des formations et la spécificité du trouble de lecture.

8. Êtes-vous satisfait(e) du rendement des classes inclusives ?

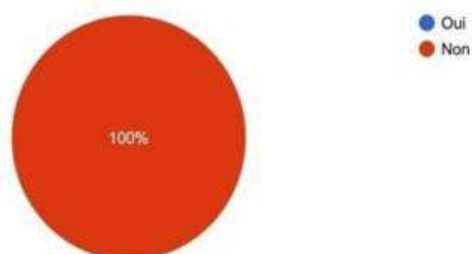


Figure 7 : L'insatisfaction du rendement

9. Croyez-vous que le choix de l'enseignement inclusif est une bonne idée ?



Figure 8 : Un regard éducatif optimiste sur le projet de l'inclusion

## 5.2 Résultats d'observation des classes

### 5.2.1 L'année scolaire et les compétences envisagées

Tout au long de nos observations de classes, nous avons constaté que :

Dans le système scolaire marocain, l'année est composée de 2 semestres, chaque semestre est composé de 17 semaines, et de 3 unités.

Chaque unité est composée de 5 semaines.

4 semaines pour les nouveaux apprentissages, et la 5<sup>ème</sup> semaine est destinée à l'évaluation et à la consolidation.

Dans chaque année scolaire il y a une compétence annuelle à développer. Cette dernière est divisée en 6 sous-compétences :

« Au terme de la sixième année du cycle primaire, en mobilisant les savoirs, savoir-faire et savoir-être requis, dans une situation de communication en rapport avec soi-même et son environnement local, régional, national et universel, l'apprenante/l'apprenant sera capable de :

- comprendre et produire, oralement, des énoncés variés à caractère informatif, narratif, descriptif, injonctif, explicatif et argumentatif ;

- lire des textes courts à caractère informatif, narratif, descriptif, injonctif, explicatif et argumentatif

- produire un texte, de sept lignes au moins, à caractère narratif, descriptif, informatif, injonctif, explicatif et/ou argumentatif ». (PO, 2020).

Les matières enseignées en CE6 sont : communication et actes de langage, la lecture, la grammaire, conjugaison, dictée, orthographe, lexique et production écrite.

L'emploi du temps hebdomadaire ne prend pas en charge la particularité des enfants dyslexiques (Annexe 1).

### 5.2.2 Résultats de l'observation avant l'application des aménagements didactiques inclusifs

Tableau 1 : Résultat de l'observation des classes inclusives

Les difficultés en lien avec la lecture chez les élèves dyslexiques	Exemples de ses manifestations
Lecture lente, hésitante, fatigante et saccadée	
Confusions visuelles de lettres et des syllabes qui se ressemblent visuellement.	p/q, b/d. au-ou. m-n. a-o. n-u. t-f. h-l - n/r. ua/na, ul/lu
Confusions auditives et ou phonétiques des sons et des mots semblables.	«PC» pour « baiser ». pain/bain
Confusions des mots semblables.	« poule »/« boule ». « Faut »/ « vaut ».

Déchiffrage syllabique difficile dans la lecture ce qui impacte négativement la compréhension.	
Mot aberrant ou sans sens	« Calmer ». « camler »
Difficulté à apprendre les graphèmes et les phonèmes correspondants. Difficultés à écrire ces lettres dans l'ordre ou dans le désordre.	Difficulté à maîtriser et manipuler les lettres en cursive, et en majuscule.
Difficultés à faire correspondre les sons entendus avec les lettres qui les représentent.	Le son ch, on, oi
Inversions de lettres ou de syllabes au sein d'un mot.	« Deviner ». « deniver » « toggoban » au lieu de «toboggan ».
Omissions ou ajout de graphèmes.	« camel » , « caramel ». "tabe" au lieu de "table", "pote" pour "porte"
Substitutions ou fusion de mots.	"por" au lieu de "pro", "bla" pour "bal", "fitre" pour "frite" "quarantan" au lieu de "quarante ans"
Additions de lettres.	« Arbustre ». « arbuste ».
Des remplacements.	« escapade ». « cascapade »
Confusions de mots.	« voir ». « boire »
lire un mot pour un autre.	« auto » pour « voiture ».
Irrespect de la ponctuation.	! ? : ,
Difficultés à lire un ensemble de consonnes.	Arbre
Transformations grammaticales.	L'enfant lit ce qu'il a compris, et non ce qui est écrit. « baladeur » par « radio »
Confondre les catégories Grammaticales.	Nom/ adjectif
Confondre le genre et le nombre.	Singulier/pluriel. Féminin/masculin.
Confondre la nature et la fonction.	Sujet/ verbe.
Des problèmes de conjugaison.	Les temps du passé et du futur.
Confusion des homophones grammaticaux et lexicaux.	a/ à. Vert/vers
Absence de motivation, d'intérêt et d'interactivité en classe.	
Des problèmes d'orthographe/dictée.	Comorbidité probable avec la dysorthographe.
Une écriture en miroir et parfois illisible.	Comorbidité probable avec la dysgraphie.

### 5.3 Résumé des aménagements pédagogiques inclusifs proposés aux enseignants inclusifs

Ces aménagements pédagogiques inclusifs consistent à :

Expliquer à la classe que chacun est différent avec des points forts et des points faibles.

Encourager l'élève dyslexique à reconnaître ses besoins, ses difficultés et ses points forts.

Expliquer la nature des troubles « dys » lors de la journée des « dys » le 10 octobre sans stigmatiser des élèves en particulier.

Accompagner l'élève dyslexique dans l'identification de ses propres moyens de compensation pour aboutir à une autonomie dans l'apprentissage.

Accepter l'usage d'un matériel informatique/ smartphone en classe.

Laisser seulement les outils nécessaires sur la table des élèves dyslexiques.

Déterminer avec l'élève une place face au tableau plutôt devant, loin des fenêtres qui distraient, seul ou avec un élève calme.

Utiliser le plus possible un emploi de temps pour visualiser les activités à venir à l'aide de pictogrammes ou de couleurs.

Donner moins de devoirs à la maison, et donner les résumés de cours écrits sans l'obliger à copier du tableau ni à lire à haute voix devant ses collègues.

Valoriser l'élève dans d'autres domaines pour consolider l'estime de soi.

Solliciter le partenariat avec les parents, et avec l'orthophoniste.

Être conscient et patient face à sa lenteur et sa fatigabilité en lecture et en écriture et valoriser même des petits progrès.

Apprendre à utiliser des surligneurs pour détecter le nécessaire.

Autoriser l'enregistrement des cours. Faire utiliser des logos.

Ne pas pénaliser en cas d'oubli de matériel.

Attirer l'attention de l'élève lorsqu'il décroche sans le brimer.

Concentrer les nouveaux apprentissages en début de journée.

Faire de nombreuses petites pauses. Limiter les distractions visuelles dans la classe (affichage).

Éviter les recto-versos dans les supports écrits.

Prévoir un coin isoler dans la classe où l'élève pourra se livrer à une activité calme (musique calme, dessin) le temps de se calmer.

Lui permettre de bouger sans déranger la classe.

Le choisir pour distribuer ou chercher du matériel.

Le responsabiliser comme délégué de classe.

Choisir une couleur différente associée à chaque discipline.

#### 5.4 Les aménagements didactiques spécifiques proposés selon chaque discipline enseignée à la 6<sup>e</sup> année du primaire

Tableau 2 : Les aménagements didactiques proposés

Discipline	Durée	Les étapes didactiques	Les aménagements réalisés
La lecture	4 séances (30min) +2séances (25min)	1 : Observation. Découverte 2/3 : Compréhension 4 : Lecture oralisée 5 : Évaluation. 6 : Réaction au texte	Privilégiez l'oral plus que l'écrit. Permettre à l'élève de scanner son texte, de l'écouter et de le réadapter. Développer la conscience phonologique en manipulant les syllabes. Inter-mot. Interlignage. Permettre à l'enfant de lire à mi-voix. Ne pas demander à l'enfant de lire à haute voix devant ses camarades. Proposer l'utilisation de la règle, d'un cache pour suivre les lignes. Permettre à l'enfant de prendre connaissance de la question avant de lire le texte. - Permettre à l'élève d'utiliser des surligneurs pour surligner pendant la lecture la phrase qui permet de répondre à la question.

<p>Conjugaison Grammaire. Orthographe. Dictée. Lexique.</p>	<p>2 séances de 30min</p>	<p>1 : Observation. Découverte. Compréhension. Conceptualisation. 2 : Application. Évaluation et Soutien</p>	<p>Fournir la photocopie des cours sur un support clair et aéré sans le copier du tableau ou du manuel. Laisser plus de temps pour la lecture des consignes ou demander à un autre élève de lire la consigne à haute voix ou de l'oraliser par un moyen informatique. Donner le plan de la leçon. Des exercices basés sur des dictées à trous ou des choix multiples. N'introduire les exceptions de langue que lorsque la règle est acquise. Donner un seul moyen mnémotechnique pour une leçon. Apprendre à l'élève à créer systématiquement des fiches mémo, des cartes mentales comme résumé du cours. Permettre d'annoter les cours avec des anecdotes ou indices de rappel qui faciliteront la récupération de l'information plus tard. Donner des indices de rappel lors des évaluations. Éviter les exercices à flèches ou par regroupements. Privilégier l'évaluation orale. Utiliser des méthodes graphiques et schématiques pour garder les traces des notions clés. Travailler la mémoire orthographique. Donner des corrections immédiates, afin que l'élève mémorise la notion correcte.</p>
<p>Production de l'écrit</p>	<p>2 séances de 35 min chacune + 1 séance de 30 min</p>	<p>1 : Observation / Découverte 2 : Entraînement et écriture du 1er jet. 3 : Évaluation et remédiation Correction et écriture du 2ème jet.</p>	<p>Simplifier les consignes par des phrases courtes et des mots simples, éviter les mots à double sens. Diviser les consignes complexes en sous-étapes. Lire la consigne à voix haute et vérifier auprès de l'élève qu'il l'a bien comprise. Approfondir le travail sur les marqueurs spatio-temporels. Autoriser une écriture large sans respect des interlignes. Approfondir le travail sur la chronologie des récits et le contexte spatial. Réduire les attentes en quantité et préciser les exigences qualitatives =&gt; privilégier la cohérence, le fond à la forme, accepter les ratures. Proposer de joindre le plan des écrits. Favoriser l'utilisation des cartes heuristiques. Accepter les réponses mal rédigées ou mal orthographiées si le fond est correct, ne pas pénaliser l'orthographe ailleurs que dans les dictées. Autoriser les cahiers ou feuilles lignées plutôt que quadrillées. Autoriser un outil informatique pour dicter le texte à rédiger. Encourager l'élève à se représenter le texte « en images ou en film »</p>
<p>Lecture diction</p>	<p>3 séances de 30 min chacune</p>	<p>1 : Observation / Découverte/ Compréhension. 2 : Entraînement à la diction. 3 : Évaluation.</p>	<p>Faire mémoriser des poèmes, chansons, extraits, pièces de théâtre pour entraîner la mémoire de l'élève mais ne pas accorder un barème élevé à ces exercices lors d'évaluations. Diminuer la taille des poèmes, chansons, extraits, pièces de théâtre à mémoriser. Lui apprendre à annoter les ouvrages lus et à faire des fiches mémos par chapitre au fur à mesure de la lecture. Ne pas faire réciter devant les autres. Ne pas</p>

			pénaliser l'inversion des syllabes sur des mots complexes. Ne pas l'interrompre pas pendant sa récitation.
L'évaluation			Valoriser la note de l'oral plus que la note de l'écrit. Mettre en place un système de notation à l'oral pour redynamiser l'élève et prendre en compte ses savoirs et connaissances. Donner plus de temps ou diminuer la quantité du travail tout en restant exigeant sur la qualité. Répartir les évaluations dans le temps (semaine, mois). Permettre l'usage des synthèses. Privilégier les exercices à trou ou à choix multiples. Relever, en surlignant, les réalisations orthographiques correctes plutôt que les erreurs.

Résumé des aménagements didactiques inclusifs proposés aux enseignants inclusifs :

I : Privilégier le langage oral.
II : Développer les capacités mnésiques
III : Développer la psychomotricité.
IV : Développer les capacités cognitives.
V : Développer le vocabulaire général et spécifique.
VI : Développer les capacités lectrices.
VII : Développer la motivation.
VIII : Encourager l'interactivité en classe.

### 5.5 Résultats des performances après l'installation des aménagements pédagogiques et didactiques

Après l'installation des aménagements proposés, nous avons constaté l'amélioration de la motivation de la lecture chez les élèves dyslexiques. Nous signalons qu'avant l'installation des aménagements didactiques, les deux élèves manquaient de motivation surtout pendant la séance de lecture, ce qui était aussi confirmé par leurs réponses aux questionnaires proposés. Ainsi, la séance de lecture pour eux renvoyait à une séance d'ennui et d'incompréhension. Après l'installation des aménagements didactiques, les élèves dyslexiques trouvaient plus d'espace de participation. La même est remarquée est signalée à travers le deuxième questionnaire.



Figure 9 : La motivation de lire avant et après l'installation des aménagements didactiques

Suite aux aménagements didactiques proposés, les élèves dyslexiques trouvaient leur place dans la communauté de classe. Nous avons constaté l'amélioration de leur interactivité en classe.

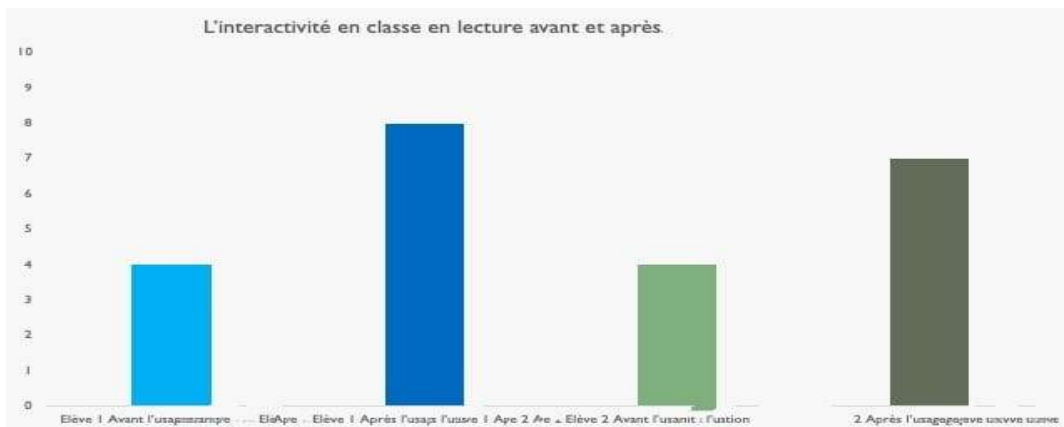


Figure 10 : L'interactivité en classe avant et après l'installation des aménagements didactiques

En outre, l'autonomie est aussi améliorée, les élèves dyslexiques deviennent plus autonomes et posent plus de questions avant, pendant et après leur cours de la langue française.

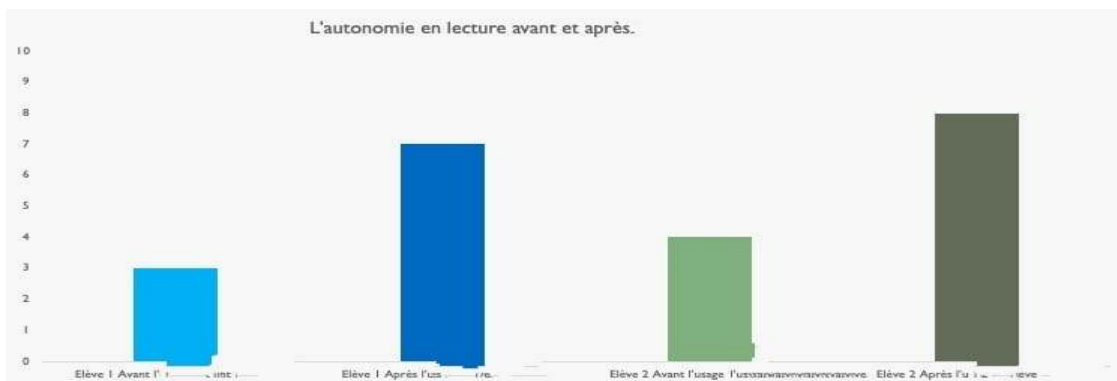


Figure 11 : L'autonomie en classe avant et après l'installation des aménagements didactiques

Concernant la capacité de lire un texte, une légère amélioration était constatée chez l'élève dyslexique 1, et aucune amélioration n'est signalée auprès de l'élève dyslexique 2. Ainsi, le trouble est vraiment persistant, car il a des origines neurologiques plus que psychologiques ou autre.

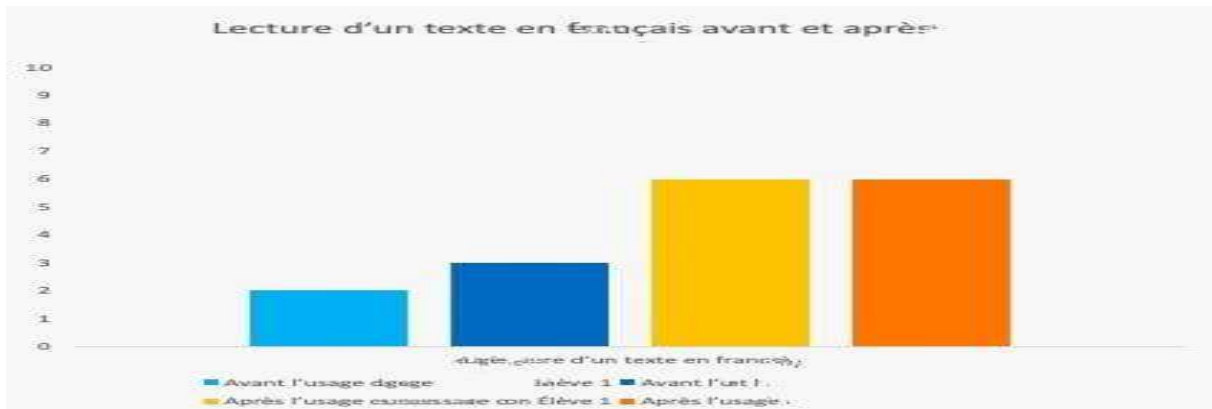


Figure 12 : La lecture d'un texte en classe avant et après l'installation des aménagements didactiques

C'est presque le même constat au niveau de la compréhension des textes et des consignes. Une nette amélioration était constatée, cela est dû à l'exploitation du langage oral à la séance de la lecture et aussi pour l'explication des consignes, mais la dyslexie s'impose comme trouble spécifique développemental.



Figure 13 : La compréhension en lecture, et la compréhension des consignes en classe avant et après l'installation des aménagements didactiques

## 7. Discussion des résultats de la recherche

Après avoir installé des aménagements didactiques destinés aux élèves dyslexiques, nous avons constaté une progression remarquable au niveau de la motivation et de l'interactivité en classe.

Ces aménagements n'ont pas amélioré totalement la vitesse de la lecture ou la compréhension des textes, mais une légère amélioration est constatée chez l'élève dyslexique 1 au niveau de la vitesse de la lecture, et une légère amélioration est constatée chez les deux cas. Ce qui ne contredit pas la revue de littérature étudiée, dans la mesure où on ne guérit pas d'une dyslexie, mais on peut installer de nouvelles stratégies palliatives pour avoir une nette amélioration.

Ensuite, la dyslexie est un trouble de lecture qui doit se prendre en charge à l'intérieur de l'école. Ainsi, l'élève aura toutes ses chances afin d'améliorer ses capacités lectrices et passer à la compréhension des textes écrits.

Plus les interventions réalisées en matière de la didactique et qui ont donné de très bons résultats au niveau de la motivation et de l'interactivité en classe, et d'autres stratégies d'accompagnement doivent être présentées à l'élève dyslexique. Ainsi, selon notre enquête, l'école inclusive est censée dépasser ses attitudes classiques envers cette communauté, et développer ses performances pour répondre à leurs besoins spécifiques.



## 8. Conclusion, perspectives et limites

La didactisation de la dyslexie, à travers cette étude, a révélé l'importance cruciale d'aborder les troubles d'apprentissage, en particulier la dyslexie, sous un angle pédagogique et didactique. Comprendre la dyslexie ne se limite pas à la reconnaissance de ses symptômes ou à la mise en œuvre de thérapies correctives, mais nécessite une intégration approfondie dans les pratiques pédagogiques et les curriculums scolaires.

Cette recherche a montré que la prise en charge didactique de la dyslexie permet non seulement d'offrir aux apprenants dyslexiques des opportunités d'apprentissage adaptées à leurs besoins spécifiques, mais contribue également à enrichir l'ensemble du milieu éducatif en promouvant des méthodes d'enseignement inclusives et diversifiées. En adoptant des stratégies d'enseignement centrées sur les besoins des élèves dyslexiques, il est possible de créer un environnement d'apprentissage où tous les élèves, indépendamment de leurs capacités, peuvent s'épanouir.

Les réaménagements didactiques prouvent la capacité de l'école inclusive à accueillir et prendre en charge les élèves dyslexiques, au sein d'une école équitable, publique et gratuite. Or, malgré l'amélioration remarquable au niveau de la motivation et de l'interactivité des élèves dyslexiques observés, il y a encore du travail au niveau des techniques de lecture employées par ces mêmes cas. Il s'agit bel et bien d'une transformation didactique qui a besoin de plus de temps et de moyens pour atteindre les objectifs.

Nous trouvons qu'il vaut mieux élargir l'échantillonnage afin d'avoir plus de représentativité. Nous jugeons aussi que le temps d'intervention n'était pas assez, ainsi il vaut mieux réaliser l'enquête tout au long d'une année scolaire et même réaliser une étude longitudinale pour poursuivre l'impact des adaptations didactiques et pédagogiques.

Les enseignants inclusifs sont très motivés, mais ont besoin de plus de formation. C'est pourquoi un guide pédagogique inclusif sera d'une grande utilité. Il est essentiel pour les décideurs éducatifs et les professionnels de l'éducation de reconnaître la nécessité d'une approche didactique spécifique pour la dyslexie, qui ne se limite pas à une intervention corrective, mais s'étend à une refonte pédagogique complète. Une telle démarche permettra d'assurer une éducation inclusive, équitable et de qualité pour tous les apprenants.

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## Critical Thinking Skills in Ticket 2 English: An Evaluative Study Omar Elkhayam high school in Taza as a Case Study

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**Abstract:** *The usefulness of critical thinking skills in language learning has been widely acknowledged in the literature. However, there is a lack of research on the extent to which EFL textbooks in Morocco, namely Ticket 2 English promote critical thinking skills. To address this gap, this study is geared towards investigating the extent to which Ticket 2 English incorporates and develops students' critical thinking skills based on Bloom's taxonomy. The research methodology includes a content analysis grid of this textbook based on a set of criteria adapted from existing frameworks for critical thinking skills, and a classroom observation grid of five EFL teachers at Omar Elkhayam High school in Taza regarding their inclusion of critical thinking skills in their teaching practices. The study showed that there is a compatibility between the findings revealed by both instruments in giving much more focus on the low order thinking skills (remembering, understanding, applying) at the expense of high order thinking skills (analysing, evaluating and creating). Thus, this paper concludes that there is a need for more balanced, explicit and comprehensive coverage of both types of skills in the EFL textbooks and in the English language teacher training programs in order to better prepare students for real-world communication and problem-solving in the 21st century.*

**Keywords:** *Critical thinking, EFL textbooks, ticket 2 English, Bloom's Taxonomy, classroom observation*

### 1. Introduction

It is axiomatic that in the contemporary world, where the deluge of information is both overwhelming and contradictory, the value of critical thinking cannot be overstated. Unfortunately, the explicit teaching of these skills is often overlooked, particularly in English as a Foreign Language (EFL) education. This oversight occurs due to various beliefs among educators, some of whom think that critical thinking cannot be or need not be explicitly taught (Tabataba et al., 2011). Given this context, EFL textbooks assume a pivotal role in shaping the language learning journey of students. These textbooks need to incorporate critical thinking skills to aid learners in developing abilities such as analysis, evaluation, and problem-solving, which are crucial for effective foreign language communication. In recent years, the importance of critical thinking as an essential skill for the 21st century has been increasingly recognized. With English emerging as a global language, the significance of EFL teaching has escalated, making the integration of critical thinking into EFL pedagogy a vital field of study. Textbooks, often the cornerstone of EFL instruction, therefore become a critical focus area. This research paper delves into the representation of critical thinking skills in the "Ticket 2 English" textbook and its role in fostering these skills among Moroccan EFL learners. The outcomes of this study will shed light on the efficacy of EFL textbooks used in Morocco in cultivating critical thinking skills and offer guidance to EFL educators and textbook creators on better incorporating critical thinking into educational content.

### 2. Review of related Literature

#### 2.1 Definitions of critical thinking

No one can deny that critical thinking, an essential skill, has been explored for centuries, dating back to the times of ancient Greek philosophers. These thinkers, including Socrates, highlighted the importance of challenging assumptions and using logical reasoning. 'Over time, the development of

critical thinking has been intertwined with the advancement of logic, humanism, and the scientific method, all of which emphasize empirical evidence' (Moore, 2013). In the 20th century, figures such as Thorndike and Dewey contributed significantly to the understanding of the cognitive processes that underpin critical thinking through their systematic studies. In modern times, scholars like Paul and Elder (2001) have defined it as a disciplined intellectual process that involves the active and skilful conceptualization, application, analysis, synthesis, and evaluation of information to form well-informed beliefs and decisions (Paul & Elder, 2001). Today, critical thinking is acknowledged as an indispensable skill in various domains including education.

## **2.2 The importance of critical thinking skills in EFL textbooks**

It is commonplace in the literature that the development of critical thinking abilities is essential in the field of English Language Teaching (ELT), particularly in today's global context where English proficiency is increasingly important (Smith, 2023). These abilities are crucial for various reasons. To begin with, they assist learners in accurately assessing and understanding language, thereby improving their communication skills by grasping the nuances of words and expressions. Additionally, critical thinking fosters independence and creativity in students, building their confidence and autonomy. Hence, it encourages them to challenge existing ideas and consider different viewpoints, skills that are valuable in both academic and professional environments (Brown, 2014). Furthermore, teachers with robust critical thinking skills can better engage their students. That is to say, they can employ teaching methods that stimulate critical analysis, encourage questioning, and facilitate the evaluation of evidence (Ilyas, 2015). Strategies like asking open-ended questions, promoting group work, and using real-world materials are key in nurturing these competencies (Taylor, et al. 2022). Thus, the reinforcement of critical thinking skills in ELT is crucial for equipping learners to be effective communicators and active participants in the dynamic world of the 21st century.

## **2.3 Approaches to critical thinking**

Having reviewed the literature related to approaches to critical thinking skills, one can discern that in English as a Foreign Language (EFL) textbooks, several strategies are employed to develop critical thinking skills, with three primary methods being the problem-solving, collaborative learning, and inquiry-based approaches. First, the problem-solving approach immerses students in real-life situations, prompting them to analyze, consider multiple solutions, and make decisions, thereby enhancing creative and systematic thinking (Smith, et al. 2022). Second, the collaborative learning approach, meanwhile, relies on group interaction, where students exchange ideas, pool knowledge, and respect various viewpoints in problem-solving or task completion, thereby improving critical thinking through teamwork and communication (Weninger & Kiss, 2013). Third, the inquiry-based approach, on the other hand, involves students actively in the learning process, encouraging them to ask questions, seek answers, and take charge of their learning, which promotes independent learning and active exploration, essential for critical thinking (Santos, 2013). Briefly, these approaches in EFL textbooks are instrumental in equipping learners with skills to evaluate information, solve problems, and make informed decisions (Itmeizeh & Hassan, 2020)

## **2.4 Previous studies on critical thinking**

Several studies have delved into the integration of critical thinking skills within the domain of English Language Teaching (ELT), emphasizing its crucial role in enhancing language acquisition and fostering deeper comprehension. For instance, Smith (2023) emphasizes the importance of critical thinking abilities in ELT, particularly in the current globalized context where effective communication is paramount. Smith highlights that critical thinking skills enable learners to navigate linguistic nuances, evaluate information, and engage with English language materials more effectively. Moreover, Brown (2014) contends that critical thinking promotes learner autonomy and confidence, encouraging students to challenge conventional ideas and consider diverse perspectives. This assertion aligns with the findings of Ilyas (2015), who highlights that teachers equipped with robust critical thinking skills

can employ pedagogical strategies that stimulate inquiry, facilitate evidence-based reasoning, and foster a deeper understanding of language structures and contexts.

Furthermore, Weninger and Kiss (2013) conducted a study on collaborative learning approaches within the EFL classroom, demonstrating how group interactions can cultivate critical thinking skills among students. Their research emphasizes the role of collaboration in fostering communication skills, encouraging students to articulate their ideas, negotiate meaning, and critically evaluate diverse viewpoints. Additionally, Santos (2013) explores the efficacy of inquiry-based learning methods in promoting independent thinking and active engagement among EFL learners. Santos suggests that inquiry-based approaches empower students to take ownership of their learning process, encouraging them to ask questions, seek answers, and critically analyze language materials. These studies collectively underscore the significance of integrating critical thinking into ELT pedagogy to cultivate learners' abilities to navigate linguistic complexities and engage critically with English language content.

## **2.5 Critical thinking in the Moroccan context**

In setting out to talk about the Moroccan context, it is instrumental to point out that the importance of critical thinking is strongly emphasized in the education system. The National Charter for Education in Morocco highlights the need for developing cognitive and analytical skills, including critical thinking, through a decentralized approach to education (Abdallaoui, 2012). This charter explicitly promotes the enhancement of skills such as reflection, analysis, creativity, and innovation among students, aligning with the requirements of the 21st century. In line with this, the Moroccan government has introduced measures such as a national curriculum and teacher training programs, focusing on the integration of critical thinking skills across various subjects and educational levels (Elboubekri, 2013). Additionally, the Moroccan Ministry of Education's guidelines (2007) for English language teaching also reflect this emphasis. These guidelines insist on the role of critical thinking in effective communication and in addressing societal issues, suggesting diverse teaching methodologies to incorporate critical thinking into English language education. This approach is recognized as crucial not only for the academic success of students but also for the nation's progressive development (Elboubekri, 2013)

## **3. Methodology**

### **3.1 Research objectives**

In light of the research problem, the focus of the current study is restricted to achieve the following objectives:

To determine whether Ticket 2 English provides opportunities for students to engage in critical thinking activities.

- a. To assess the extent to which Ticket 2 English develops students' critical thinking skills by analysing the types of activities and tasks included in the ten units.
- b. To identify the types of critical thinking skills emphasized in Ticket 2 English and evaluate how they align with the demands of the globalized world
- c. To observe five teachers using Ticket 2 English and assess the effectiveness of their teaching practices in promoting the development of critical thinking skills in EFL learners.
- d. To recommend some modifications, if any, to Ticket 2 English that better incorporate critical thinking skills and better prepare learners for the demands of the globalized world, based on the analysis of the program's content and current research on effective teaching practices.

### **3.2 Research questions**

In order to approach the aforementioned problem properly and achieve the objectives, the current study aims to address the following questions:

- a. Does Ticket 2 English incorporate critical thinking skills in its content?
- b. To what extent does Ticket 2 English develop students' critical thinking skills?
- c. What types of CTS are emphasized in Ticket 2 English (high/low order skills?)

- d. How effective are the teaching methods suggested in Ticket 2 English and the ones used by the observed teachers in promoting critical thinking skills in EFL learners?

### **3.3 Research hypotheses**

As for the hypotheses underpinning this study, the following ones are in line with the research questions mentioned above:

- a- It is hypothesized that Ticket 2 English may or may not fully incorporate students' CTS.
- b- It is assumed that Ticket 2 English may or may not significantly contribute to the development of students' CTS.
- c- It is supposed that Ticket 2 English may focus on both low-order and high-order critical thinking skills, and its alignment with the demands of the globalized world requires further investigation.
- d- It is hypothesized that the teaching methods suggested in Ticket 2 English and used by the observed teachers may have varying levels of effectiveness in promoting the development of critical thinking skills in EFL learners.

### **3.4 Research Approach**

The current study adopts a quantitative research approach to investigate the research problem at hand. This methodological choice is made with the objective of systematically collecting, analyzing, and interpreting data to gain a comprehensive understanding of the research problem (Creswell & Creswell, 2018). By employing a quantitative approach, the study aims to gather numerical data through surveys, questionnaires, or numerical measurements.

### **3.5 Target Population and sampling**

The present study limits the population it seeks to investigate to EFL textbooks and teachers in Morocco. Hence, since it is a case study, the focus will be on Ticket 2 English as an EFL textbook used in Moroccan secondary schools, and five EFL teachers at Omar Elkhayam highschool in Taza, who are using this textbook.

The selection of the "Ticket 2 English" textbook is grounded in its widespread usage within Moroccan secondary schools as a primary resource for teaching English as a foreign language (EFL). This textbook has been chosen due to its significant presence in the EFL curriculum of Moroccan educational institutions, making it a representative example for investigation within this context. Additionally, by focusing on a widely adopted textbook like "Ticket 2 English," the study aims to provide insights that are applicable and relevant to a substantial portion of EFL educators and learners in Morocco. Thus, the choice of this textbook aligns with the study's objective of examining prevalent practices and challenges associated with EFL education in Moroccan secondary schools.

### **3.6 Research instruments**

Since this study adopted a quantitative approach, it employed a textbook content analysis grid to measure the extent to which the targeted textbook incorporates and boosts students' critical thinking skills. This grid is based on Bloom's taxonomy six levels of critical thinking, and it is adapted from different frameworks. Additionally, a classroom observation grid is also used to investigate whether or not the observed EFL teachers develop and incorporate critical thinking skills in their teaching practices.

#### **3.6.1 The textbook content analysis grid**

A structured textbook content analysis grid was adapted from different frameworks (Richard & Linda, 2019) based on Bloom's taxonomy to measure the extent to which Ticket 2 English incorporates and develops students' critical thinking skills. It was created in accordance with the study's research questions. Actually, it was divided into six sections, each section contains one Bloom's taxonomy level. This grid is used to evaluate the critical thinking skills in Ticket 2 English by looking at the types of



questions and activities they provide at each level of Bloom's taxonomy. It was quantitatively analyzed and displayed in tables for descriptive purposes. This grid focused mainly on the four skills: reading, listening, speaking and writing of the ten units as they appear in Ticket 2 English textbook.

### **3.6.2 The classroom observation grid**

To assess the extent to which EFL teachers at Omar Ekhayam High school in Taza are promoting critical thinking skills in their classrooms, a grid was developed from different frameworks (Richard and Linda Elder, 2019) based on Bloom's Taxonomy. The grid is used to evaluate the teaching instructions, teaching activities, teaching environment, teaching methods, teaching techniques, and teaching strategies of five EFL teachers who are using Ticket 2 English at Omar Elkhayam high school. The observation occurred regularly and took more than one month. The researcher tried to observe the five EFL teachers on different units of the textbook.

### **3.7 Data collection procedure**

Understanding the objectives of this study and looking at comparable prior research makes it clear that using a mixed-methods data collection procedure would be the most suitable. For this study, which seeks to investigate the extent to which Ticket 2 English incorporates and boosts students' critical thinking skills, this approach of data collection would be sufficient. Therefore, as stated above, in this explanatory design, quantitative data will be first collected and analyzed. Initially, the researcher started collecting quantitative data using a textbook content analysis grid to investigate the extent to which the target book incorporates and boosts students' critical thinking skills. Having done so, the data was analyzed using descriptive statistics, namely frequency test and cross tabulation test. Then, to validate and triangulate the findings, the researcher collected another set of quantitative data using a classroom observation grid. After, analyzing the data, using descriptive statistics too, the researcher moved to the final step, which is interpreting both data in order to measure the extent to which the targeted textbook and the observed EFL teachers incorporate and enhance students' critical thinking skills.

### **3.8 Data Analysis**

The collected data underwent a rigorous process of coding and entry into statistical software such as SPSS. This allowed for not only the description of the data through techniques such as generating descriptive statistics but also its analysis, which included methods like cross tabulation. By employing different quantitative analytical approaches, researchers can uncover nuanced insights, triangulate findings, and provide a more robust understanding of the phenomena under investigation.

### **3.9 Ethical considerations**

In conducting this study, it is imperative to underscore the ethical considerations that guide our research practices. Firstly, regarding participant consent, we ensured that all individuals involved, including both teachers and students in the classroom observations, were fully informed about the purpose and procedures of the study. Prior consent was obtained, emphasizing the voluntary nature of participation and the assurance of confidentiality regarding their identities and responses. Additionally, measures were taken to protect the privacy and confidentiality of all data collected, adhering to stringent data protection protocols and ensuring that any identifiable information remains securely stored and anonymized throughout the study process.

Furthermore, we acknowledge the potential biases that may influence our research outcomes and have taken steps to mitigate them. Transparency regarding our own perspectives and affiliations, as well as any pre-existing relationships with participants, is paramount. By openly addressing these biases, we uphold the integrity and credibility of our findings, maintaining a fair and impartial approach to data collection, analysis, and interpretation. Through these ethical considerations, we affirm our

commitment to the responsible conduct of research, prioritizing the well-being and rights of all participants involved in this study while upholding the highest standards of academic integrity.

#### 4. Data description and analysis

This section is dedicated to the description and analysis of the results of quantitative data obtained from the textbook content analysis grid and classroom observation grid, which were designed and administered in accordance with the approach revealed in the section devoted to the study's methodology. This section is based on the concepts, theoretical perspectives, methods, and strategies discussed in the review of literature, in addition to the problem of the study.

Tables were used to present the data that was gathered from the textbook content analysis grid and the classroom observation grid. The analysis of the results was done in connection to the literature review and the research problem.

##### 4.1 Results from the textbook content analysis grid:

The data collected through the textbook content analysis grid was used to answer the questions and test the hypotheses outlined previously in the methodology chapter. The results were presented the following table that makes it easy to compare and contrast the findings.

Table 1: lesson and blooms skill Crosstabulation

Lesson	reading	Count	Blooms_skill					Total
			Remembering	Understanding	Applying	Analysing	Evaluating	
reading	Count	3	5	2	0	0	0	10
	Expected Count	2,8	4,0	1,3	1,5	,3	,3	10,0
	% within lesson	30,0%	50,0%	20,0%	0,0%	0,0%	0,0%	100,0%
	% within blooms_skill	27,3%	31,3%	40,0%	0,0%	0,0%	0,0%	25,0%
	% of Total	7,5%	12,5%	5,0%	0,0%	0,0%	0,0%	25,0%
listening	Count	4	4	0	2	0	0	10
	Expected Count	2,8	4,0	1,3	1,5	,3	,3	10,0
	% within lesson	40,0%	40,0%	0,0%	20,0%	0,0%	0,0%	100,0%
	% within blooms_skill	36,4%	25,0%	0,0%	33,3%	0,0%	0,0%	25,0%
	% of Total	10,0%	10,0%	0,0%	5,0%	0,0%	0,0%	25,0%
speaking	Count	2	4	1	1	1	0	9
	Expected Count	2,5	3,6	1,1	1,4	,2	,2	9,0
	% within lesson	22,2%	44,4%	11,1%	11,1%	11,1%	0,0%	100,0%
	% within blooms_skill	18,2%	25,0%	20,0%	16,7%	100,0%	0,0%	22,5%
	% of Total	5,0%	10,0%	2,5%	2,5%	2,5%	0,0%	22,5%
writing	Count	2	3	2	3	0	1	11
	Expected Count	3,0	4,4	1,4	1,7	,3	,3	11,0
	% within lesson	18,2%	27,3%	18,2%	27,3%	0,0%	9,1%	100,0%



	% within blooms skill	18,2%	18,8%	40,0%	50,0%	0,0%	100,0%	27,5%
	% of Total	5,0%	7,5%	5,0%	7,5%	0,0%	2,5%	27,5%
Total	Count	11	16	5	6	1	1	40
	Expected Count	11,0	16,0	5,0	6,0	1,0	1,0	40,0
	% within lesson	27,5%	40,0%	12,5%	15,0%	2,5%	2,5%	100,0%
	% within blooms skill	100,0%	100,0%	100,0%	100,0%	100,0%	100,0%	100,0%
	% of Total	27,5%	40,0%	12,5%	15,0%	2,5%	2,5%	100,0%

This table presents a crosstabulation of the lesson types (reading, listening, speaking, and writing) and the Bloom's taxonomy skill levels (remembering, understanding, applying, analyzing, evaluating, and creating). For instance, the "Count" column represents the number of occurrences where a specific combination of lesson type and Bloom's skill level is observed. For example, there are 3 occurrences where the lesson type is reading and the skill level is remembering. Additionally, Percent within Lesson: The "% within lesson" row displays the percentage distribution of each Bloom's skill level within each lesson type. It shows the proportion of each skill level relative to the total number of occurrences within a specific lesson type. For instance, within the reading lesson type, 30% of the occurrences are related to remembering, 50% to understanding, and so on. Moreover, Percent within Bloom's Skill: The "% within blooms skill" row indicates the percentage distribution of each lesson type within each Bloom's skill level. It represents the proportion of each lesson type within the total occurrences of a specific skill level. For example, within the remembering skill level, 27.3% of the occurrences are related to reading, 31.3% to understanding, and so on. In a nutshell, Percent of Total: The "% of Total" row represents the percentage distribution of each combination of lesson type and Bloom's skill level relative to the overall total occurrences.

In a word, this table provides a comprehensive overview of the distribution of lesson types and Bloom's skill levels. That's, it gives a crystal-clear image of the extent to which Ticket 2 English textbook incorporates and develops critical thinking skills. Accordingly, all units of the book incorporate 27.5% of the remembering level, 40% of understanding, 12.5% of applying, 15% of analyzing, 2.5% of evaluating, and 2.5% of creating. Simply, based on these statistics, it is obvious that Ticket 2 English incorporates and enhances only low order thinking skills, namely 'remembering', 'understanding', and 'applying' at the expense of high order thinking skills: 'analyzing', 'evaluating' and 'creating', which are more or less clearly neglected.

#### 4.2 Results from the classroom observation grid

The data collected from the classroom observation grid was also used to answer the questions and test the hypotheses outlined previously in the methodology chapter. Most importantly, it was employed to validate and give more credibility to the data collected from the textbook content analysis grid. The results were also presented in tables that make it easy to compare and contrast the findings.

##### a. Teaching Instructions

Frequency		Percent	Valid Percent	CumulativePercent
Valid	low order skills	3	60,0	60,0
	high order skills	2	40,0	100,0
	Total	5	100,0	100,0

Table 2: teaching instructions

This table presents the distribution of teaching instructions categorized as "low order skills" and "high order skills." It shows that the majority of the observed teachers, their teaching instructions (60%) focused on "low order skills," while the remaining teachers, their instructions (40%) emphasized "high order skills." Therefore, it is obvious that the teaching instructions of the observed teachers mainly include elements of the low order thinking skills, whereas high order thinking skills are used only to a limited extent.

#### b. Teaching Activities

	Frequency	Percent	Valid Percent	CumulativePercent
Valid	low order skills	4	80,0	80,0
	high order skills	1	20,0	100,0
	Total	5	100,0	

Table 3: teaching activities

This table shows that the majority of teaching activities (80%) of the observed teachers focused on "low order skills," while a smaller proportion (20%) emphasized "high order skills." Therefore, the teaching activities of the five observed EFL teachers are not varied. That's, the teachers used only the activities which develop students' low order thinking skills at the expense of those which boost students' high order thinking skills.

#### c. Teaching environment

	Frequency	Percent	Valid Percent	CumulativePercent
Valid	low order skills	3	60,0	60,0
	high order skills	2	40,0	100,0
	Total	5	100,0	

Table 4: Teaching environment

These statistics, as indicated in this table, show that the majority of the teaching environment of the observed teachers (60%) focused on "low order skills," while a smaller proportion (40%) emphasized "high order skills." Hence, this table obviously indicates that the observed teachers created an environment in their teaching practices which mainly targets students' low order thinking skills.

#### d. Teaching methods

	Frequency	Percent	Valid Percent	CumulativePercent
Valid	low order skills	4	80,0	80,0
	high order skills	1	20,0	100,0
	Total	5	100,0	

Table 5: Teaching methods

These statistics again shows that the majority of teaching methods of the observed teachers (80%) focused on "low order skills," while a smaller proportion (20%) emphasized "high order skills." Simply, the five EFL teachers adopted some methods which only are geared towards developing students' low order thinking skills, whereas the ones that boost students' high order thinking skills are more or less marginalized. Hence, it is obvious that there is an imbalance in terms of Bloom's taxonomy in the teaching methods used by the observed EFL teachers.

### e. Teaching techniques

Frequency	Percent	Valid Percent	Cumulative Percent
Valid low order skills 5	100,0	100,0	100,0

Table 6: teaching techniques

This table indicates that all the observed teachers' teaching techniques were associated with "low order skills" and did not focus on boosting students' high order skills at all. Therefore, it is crystal clear that high order thinking skills are totally marginalized in the teaching techniques employed by the observed teachers.

### f. Teaching materials

Frequency	Percent	Valid Percent	Cumulative Percent
Valid low order skills 5	100,0	100,0	100,0

Table 7: teaching materials

These statistics again showed that all the observed teachers' 'teaching materials' were associated with "low order skills" and did not focus on boosting students' high order skills at all. Hence, the materials which are intended to develop students' high order thinking skills are totally marginalized. Briefly, there is a total focus on the materials which incorporate mainly low order thinking skills.

As a conclusion, the results from the classroom observation grid, which was employed to investigate whether the observed EFL teachers incorporate and boost their students' critical thinking skills or not based on six criteria: teaching instructions, teaching activities, teaching environment, teaching methods, teaching techniques, and teaching materials obviously indicate that the majority of teachers incorporate and enhance only low order thinking skills at the expense of the high order ones. Moreover, the teaching techniques and materials used by the observed teachers focused mainly 100% on developing students' low order thinking skills.

Seen from this perspective, this chapter presented the results that were generated from both instruments: the textbook content analysis grid and the classroom observation grid. They were displayed in tables to reveal the frequencies and percentages of critical thinking skills in Ticket 2 English as well as in the teaching practices of the observed EFL teachers. As it was shown, it is crystal clear that Ticket 2 English incorporates and boosts only low order thinking skills: 'remembering', 'understanding' and 'applying'. That's, high order thinking skills: 'analyzing', 'evaluating' and 'creating' are more or less completely neglected. Likewise, the teaching practices of the five observed EFL teachers also incorporate and develop students' low order thinking skills. That is to say, the teaching instructions, teaching activities, teaching environment, teaching methods, teaching techniques, and teaching materials obviously focused on the low order thinking skills, whereas the high order thinking skills were plainly ignored in the teaching practices of the observed teachers.

## 5. Discussion of findings

The findings from the research on "Ticket 2 English" can be summarized as follows:

**Incorporation of Critical Thinking Skills:** The textbook primarily focuses on lower-order thinking skills such as "remembering," "understanding," and "applying," which are fundamental but don't fully engage higher-order thinking skills. High-order skills like "analyzing" are included but only in about 33.3% of the content, indicating that while there is some critical thinking element, it's not extensively integrated.

**Development of Critical Thinking Skills (CTS):** Ticket 2 English does include critical thinking skills, but its development of higher-order skills is limited. The textbook's teaching practices, observed in

classrooms, mainly emphasize low-order thinking skills, suggesting the need for modifications to enhance critical thinking development.

**Emphasis on Types of CTS:** The textbook emphasizes low-order critical thinking skills more than high-order skills. Skills like "remembering" and "applying" are prevalent, while "analyzing," "evaluating," and "creating" are minimally incorporated. This limited focus on high-order skills might not fully prepare learners for the complexities of the modern, globalized world.

**Effectiveness of Teaching Methods:** The teaching methods in the textbook and those used by observed teachers primarily promote low-order thinking skills. To better develop critical thinking in EFL learners, a shift towards methods that encourage higher-level cognitive processes like analysis, evaluation, and creativity is necessary. This shift should include inquiry-based learning, problem-solving activities, collaborative learning, scaffolding, and reflection/metacognition.

**Suggestions for Enhancement:**

Update content to include more real-world issues.

Integrate higher-order thinking activities and collaborative learning.

Emphasize inquiry-based learning.

Provide guidance for teachers on fostering critical thinking.

Incorporate assessments that evaluate critical thinking skills.

Utilize technology resources to enhance learning.

Offer teacher support and professional development.

To wrap up, while Ticket 2 English does incorporate some critical thinking skills, there's a predominant focus on lower-order skills. For a more balanced development of critical thinking, the textbook needs to undergo significant enhancements and modifications to better align with the requirements of a globalized educational context.

## **5. Conclusion and Limitations**

This study investigated the integration of critical thinking skills in "Ticket 2 English," an EFL textbook used in Moroccan secondary schools, to understand how it develops these skills in students. The research revealed that the textbook primarily focuses on lower-order thinking skills like 'remembering', 'understanding', and 'applying', with only limited emphasis on higher-order skills such as 'analysing', 'evaluating', and 'creating'. The study underscores the need for textbooks and teaching methods to go beyond rote memorization, promoting more critical thinking, problem-solving, and cross-cultural understanding, which are essential in a globalized society. It suggests that teaching methods should be more student-centered, incorporating inquiry-based learning, collaborative activities, and technology to enhance critical thinking. Overall, the research emphasizes the crucial role of critical thinking in EFL education and curriculum development, advocating for enhancements that prepare students for the challenges of the 21st century.

The study's limitations encompass a relatively small sample size and a narrow focus on a single EFL textbook and a limited number of teachers at Omar Elkhayam High School in Taza, Morocco. While providing insights specific to Moroccan EFL education, this restricted sample may not fully represent the diversity of teaching practices and student experiences across the country. The reliance on two research instruments, the textbook content analysis grid and the classroom observation grid, also presents limitations as they may not capture all relevant aspects influencing critical thinking development. Moreover, the study's predominantly quantitative analysis approach, while valuable for numerical data interpretation, may overlook nuanced aspects best uncovered through qualitative methods. These limitations emphasize the need for future research to employ larger and more diverse samples, diverse research methods, and to consider additional contextual factors for a comprehensive understanding of critical thinking instruction in EFL education in Morocco. Such efforts are crucial for

enhancing the quality of EFL teaching and learning, thereby better preparing students for the demands of the 21st century.

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## Moroccan Education: Bridging the Gender Empowerment Gap for Women's Social and Economic Resilience

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**Abstract:** Like many other countries, Morocco has long-standing gender gaps in education that limit women's access to opportunities and exacerbate social inequality. Through a variety of measures, such as curriculum revisions, teacher training programs, and awareness campaigns, recent educational reforms in Morocco have sought to address these gaps. These programs aim to give female students the agency, information, and resources they need to negotiate societal biases and financial difficulties. Nonetheless, these measures are seen as Band-Aid strategies at best by scholars. (Jenkins, 2023; Žvan-Elliott, 2015) This study explores the opinions and experiences of Moroccan female students using qualitative research techniques such focus groups, document analysis, and interviews. It reveals how pervasive structural and societal barriers are impeding Moroccan women's attainment of social and economic agency and resilience. The results of this study add to the conversation about gender empowerment, education, and resilience as well as our understanding of the Moroccan context. This study highlights the multidimensional nature of empowerment, spanning economic, social, and psychological dimensions, by utilizing Kabeer's and Stromquist's empowerment frameworks. The study emphasizes the value of gender agency initiatives in educational systems as crucial tools for closing the gender empowerment gap and promoting a more inclusive and fair society.

**Keywords:** Economic Agency, Women's Empowerment, Moroccan Education, Social Resilience, Societal Barriers

### 1. Introduction

Education stands as a pivotal agent of transformation, inspiring social, political and economic change and catalyzing nations' ascent from poverty and fostering individual resilience, thereby generating value for both individuals and societies. (Prioletta, 2023; Uwineza et al., 2023) Globally, education and learning have served as a conduit for women's empowerment and social and economic development, leading in substantial shifts in gender dynamics and mitigating and reducing pervasive male dominance through enhanced capabilities and know how. (Sadiqi, 2008) Nonetheless, while Morocco has witnessed notable changes in women's legal and societal role and protection mechanisms, as evidenced by transformative legal and societal changes over the past two decades, gender parity and equality remains an elusive goal. (Kerras et al., 2023) Despite remarkable achievements in legal, political, social, and educational domains, Morocco's position on the Gender Equality Index, ranking 143 out of 153, is in decline (Ennaji, 2021) and does underscore persisting disparities.

In Morocco, rural areas are disproportionately disadvantaged and seldom served by welfare services such as healthcare and education. This does not only create discrepancies between urban centers and rural communities in terms of wealth, but it also exacerbates disparities between urban and rural women. (Bogaert, 2018; Ennaji, 2021) Indeed, the educational landscape in Morocco perpetuates gender inequities, directing rural and poor girls toward less prestigious and economically viable disciplines with limited professional prospects. In addition, societal norms often imposed by patriarchal ideology and customs often condone girls' dropout rates, fostering, and most often leaving the perception that marriage serves as a viable alternative for economic security. (Žvan-Elliott, 2015a, 2015b) It is within this context that this study aims at exploring the lived realities of underprivileged educated women, particularly those in and from rural settings, who are often lacking requisite



resources to engender economic and social resilience. By shedding light and unveiling their often-neglected realities, this research seeks to dismantle patriarchal dominance and reductionism of women's role in Moroccan society.

Amidst prevailing research on the economic status of Moroccan women, this study aspires to explore the role of education creating economic and social resilience among rural, underprivileged women's statuses. Indeed, a large number of studies predominantly focus on a neoliberal income generation framework for bettering women's lives (Evrard, 2014; Hoffman, 2009; Nicholas, 2018), neglecting structural underpinnings that impede women's advancement such as the dismantling of patriarchal political and societal rules, property ownership and social and legal reforms. In effect, education, coupled with access to healthcare, represents a conduit for the improvement of the lives of numerous Moroccan women, yet it also imposes vulnerabilities on said women, constructing a gendered glass ceiling in Morocco's educational system. As argued by authors such as Kerras et al. (2023) and Laghssais & Comins-Mingol (2023), significant shifts in Moroccan women's status in the 21st century took place, nonetheless, societal pressures compel women into low-paying or atypical jobs, perpetuating stereotypes and impeding professional pursuits, especially among women in rural areas.

Existing research, while focusing on economic resilience and the need for underprivileged women to be integrated into the economy for better rights and political representation, still largely overlook social and psychological dimensions integral to true women's empowerment, especially vis-à-vis what makes a truly empowering education. In this context, the research question posed by this research is: How can education, within the Moroccan context, facilitate both women's economic and social resilience, transcending prevailing socio-cultural barriers to true empowerment?

Employing theoretical frameworks by Naila Kabeer (1999, 2005) to explain what does empowerment mean for underprivileged women and Nelly P. Stromquist's (2015) dimensions of empowerment in education, this study seeks to delineate and investigate the interplay between Moroccan public education and economic and social resilience of underprivileged women. It endeavors to contribute to the educational discourse by exploring the specific dimensions necessary within Moroccan education to authentically empower this large category of the Moroccan population. By delving into this under-researched realm, this study endeavors to make important contributions (1) to the field of education and literacy (2) assess the important elements Moroccan education must possess to be truly empowering to underprivileged women (3) delve into a topic that is rarely researched, which is the effects of public education on the economic and social well-being of underprivileged women, especially that education is being promoted as a lever of economic and social change and prosperity for women, and finally, the study aims to add to the theories proposed by Kabeer and Stromquist by ascertaining the role of different dimensions, in combination, of empowerment for education to produce economically and socially resilient women. The ensuing sections will present a literature review, outline the methodology employed in this study, delve into findings, and culminate in discussions on implications, limitations, and avenues for future research.

## **2. Literature review**

The academic discourse surrounding women's resilience and empowerment through education whether in Morocco or other parts of the world intersects with various scholarly ideas and concepts. Such viewpoints add to the complexities of socio-economic and cultural landscapes surrounding such notions and adding to the complexity of separating empowerment from resilience. As a case in point, scholars such as M. Nutsa Kobakhidze (2023) highlight the government's rhetoric of empowering students in different educational processes, such as online education, while ignoring critical societal issues that are affecting said empowerment process. This discrepancy between official narratives of empowerment and resilience and the lived realities of students is most witnessed in rural areas, where access to internet and devices for education remains a challenge and still a privileged reserved to the most well off in rural communities, undermining the claimed success of distance education and

lowering students' chances of success and attaining economic and social resilience since an important part of the learning process is missing. The issue of resilience and education is also discussed by Teresa Pozo-Rico et al. (2023) in the context of teachers. The authors explain that teacher resilience and socio-emotional skills in the face of global educational challenges is of extreme importance, especially vis-à-vis the protective role this trait brings to the profession and particularly in supporting students with special educational needs.

Nonetheless, in direct relation to developing resilience in rural women, especially towards economic empowerment in Ethiopia, Berhanu Kuma & Abebech Godana's (2023) study reveals that educational level, amongst other factors such as participants' perception toward economic empowerment, income generation and decision-making in daily life, significantly affect women's economic empowerment and thus increase their economic resilience and ability to face hardships and not depend on a male figure for sustenance. On the same line of argument vis-à-vis the importance of resilience, Anlimachie et al. (2023) explore the cultural assets most needed for promoting rural students' learning aspirations and increasing their resilience vis-à-vis hardships encountered in educational settings. Indeed, their study underscores the importance of strong home cultural values in shaping successful learners within rural communities, be it male or female students'. Tiffani Apps et al. (2022) also emphasize the role of resilience and grit as instrumental resources for working-class students, especially those from underprivileged settings, more importantly, they highlight the role resilience play in developing strength of character in facing hardships in higher education settings. Toward this end, they accentuate the significance of resilience in managing uncertainty, more notably, they point out the need to develop such personal characters to face unfamiliar academic fields. Authors such as Penny Jane Burke et al. (2023) also argue the necessity for women to arm themselves with tenacity and resilience in dealing with different issues arising in higher educational settings, more so in light of challenges imposed by neoliberal paradigms in Ghanaian society, since neoliberalism intersects and empowers patriarchal code of conducts which construct and view women in reproductive terms. In this regard, Raewyn Connell (2013) stresses the role of resilience in education, especially against forces of neoliberal rule. The author contends that this trait acts as a force grounded in social needs and which cannot be suppressed.

These scholarly perspectives collectively underscore the importance of resilience, especially for women from underprivileged socioeconomic backgrounds to stand against marginalization and neoliberal economic trends that disempowering educational settings, rendering them incapable of empowering students. These scholars argue for critical reevaluations of institutional and educational norms and practices to bring true and long-lasting empowerment and resilience among students, especially women from marginalized settings. However, as aptly argued by Kerras et al. (2023), societal judgments constantly pressure women in Morocco into conformity, pushing them to fit in roles of 'good mothers' and 'good daughters' for social acceptance. In this context, the prevailing focus of the literature on women's economic empowerment and income generation as a mean to reach socially acceptable standing and resilience, as evidenced by studies such as those conducted by Kuma & Godana, fails to adequately address the intricate societal pressures faced by women in rural and marginalized settings. Although the literature on women's empowerment and resilience is varied and offer multiple insights into the importance of the development of this critical trait, critical gaps still persist, especially vis-à-vis the social side of resilience and empowerment.

### **3. Theoretical framework**

The conceptual frameworks provided by Kabeer and Stromquist provide insights and guidance in terms of data collection and analysis. Indeed, these theories impart this research with insights into how empowerment and resilience is gained, particularly in relation to education. Kabeer's (1999, 2005) definition of empowerment is pivotal for the understanding of resilience and what it takes for underprivileged women to become empowered. According to the scholar, for a woman to become



empowered, she has to be disempowered first. Kabeer argues that choice and agency are crucial in the definition of empowerment and that disempowerment is a lack of choice in life. She contends that to become empowered, a shift in terms of economic, knowledge and social decisions and choices has to occur, otherwise, individuals, especially women, will remain dependent on a more powerful/empowered figure, usual men in the case of women, for fulfilling their basic needs. In this regard, empowerment is an expansion of life's choices as figure 1 shows.

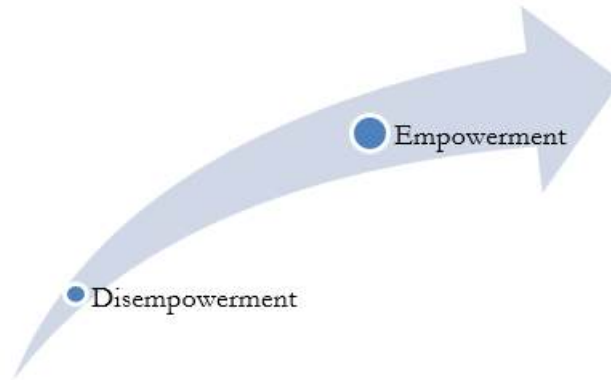


Figure 1 An illustration of the empowerment process according to Kabeer.

In contrast, Stromquist's (2015) theory of women's empowerment through education challenges the traditional viewpoints that put focus on emancipatory knowledge, which is an education that focuses on imparting women with knowledge for countering certain practices such as early marriage. Stromquist contends that such knowledge, although has its own merits, does not cause long lasting empowerment, and is in fact limiting in terms of choices offered to women and girls since it does not focus on essential empowerment dimensions that girls and women necessitate for transforming their lives and making deliberate choices that will advance benefit them and their cause. To Stromquist, an education which does not focus on the economic, political, psychological, knowledge and social dimensions, as figure 2 shows, of empowerment is limiting in terms of transforming the lives of women and causing long lasting empowerment. Without focusing on these dimensions of empowerment, an education, according to the scholar, does not possess the potential to break the cycle of disempowerment and would impede resilience development in individuals.

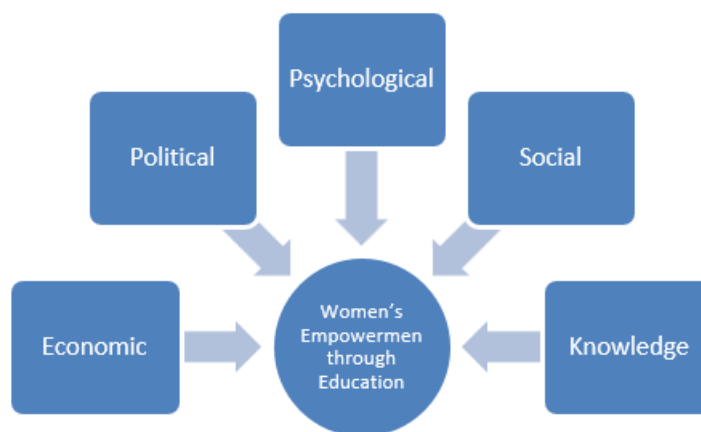


Figure 2 Dimensions of empowerment through education according to Stromquist.

Relating these concepts to creating resilience and empowerment in underprivileged women in Morocco through education, Kabeer's perspective and definition of empowerment offers an overview

of the disempowerment process underprivileged women in Morocco go through, where they are limited in terms of life choices and are always dependent on male and societal approval. Stromquist on the other hand argues that for an education to be empowering, it has to focus on not just imparting knowledge, but to also focus on key empowerment dimensions that would bring long lasting effects on underprivileged women. This applies to this study since, due to restriction by male figures and societal rules, underprivileged women are lacking educational support in terms of imparting these necessary dimensions of empowerment and would find themselves in a vicious cycle of disempowerment and limited choices available to them.

## **5. Methodology**

### **5.1 Procedure**

To collect data from participants, this research employs qualitative experience-centered narrative approach since this data collection method aims at delving deeper into the collective experiences and life changing events the participants experienced during their educational journey.(Andrews et al., 2013) This method helps in bringing the participants to discuss their feelings more deeply and to delve into various aspects of their experiences with societal pressures from important figures in their lives, such as their fathers, brothers and mothers.(Spector-Mersel, 2011) This method also allowed for more open and emotionally charged discussions of their experiences as women from rural areas with ethnicity, poverty, precarity and exclusion.

### **5.2 Participants**

This study includes 28 graduate female students, recruited via snowball sampling (Ackerly & True, 2020) in rural and impoverished area near the city of Fez, Morocco, as well as via various social media platforms. Participants were first contacted via Facebook Messenger then WhatsApp mobile application to set the interview date. All participants are female graduate university students belonging to poor rural areas. All participants speak English. In order to keep participants anonymous, their identities were hidden while the interviews were taking place and random numbers were assigned to their audio files and transcripts.

### **5.3 Research Tool**

Semi-structured interviews were employed during the data gathering process.(Andrews et al., 2013; Weaver-Hightower, 2019) The structured nature of the questions and overall interviews shifts from the conventional interviewee-interviewer process to a format of mainly listening to the interviewees and allowing them to share their experiences and marking events during their education in different public establishments in Morocco.(Denzin & Lincoln, 2013) Such data gathering process allowed for more open conversations where participants were encouraged to share everything and anything on their experiences in different educational settings in Morocco.

The interview process was split into two distinct phases.(Spector-Mersel, 2014) In the first one, the interviewees were encouraged to recount their experiences in their hometowns, communities and villages while focusing more attention to their communities, educational settings and experiences during their schooling, this narrative process made participants more open to share emotionally charged events. During the second phase, targeted questions were asked to better explore different events and emotionally charged events arising from the participants' narratives.

### **5.4 Data Analysis**

Analysis of the gathered data involves a narrative exploration where central themes would emerge and evolve through research stages.(Andrews et al., 2013) Flexibility is also adopted to accommodate the interviewees' world views and to explore their educational experiences which ranges from primary school to university. The analysis focuses on interviewees' 'small stories' to better examine how they construct their narratives.(Bamberger et al., 2019) Thematic analysis, employing the hermeneutic

circle methodology,(Andrews et al., 2013) is used in the research to code and compare multiple units of texts until thematic saturation is reached.

### 5.5 Research Reliability

Reliability measures were undertaken, especially in using ethical recruitment procedures via social media platforms such as Facebook and WhatsApp and consent was sought from participants before conducting the interviews and recording begins. This process ensures trust and transparency in terms of the collected data which contributes to the overall reliability if the findings made throughout the study.

### 6. Findings

The research explores how Moroccan public education is influencing the lives of Moroccan women from rural areas and poor backgrounds. It also explores its ability to empower and develop resilience in female students to pursue productive and fulfilling careers and social lives and thus increasing their economic and social resilience to better defend their rights and better their choices. Two themes emerged from the interview analysis: 'Limited Mobility' – female students encounter difficulties moving out of the family circle out of fear of dishonoring their loved ones, and 'lack of educational facilities' – thus condemning them to remain with little educational perspectives and perpetuating the cycle of the feminization of poverty. By applying Kabear's concept of empowerment and Stromquist's theory of empowering education, this study distinguishes two Moroccan educations with two different tones/speeds,(Boutieri, 2012) one where female students are geographically restricted and cannot leave the communal boundaries without being labeled as dishonoring her own family and community and an urban/private education where women are given a limited voice, which mainly concerns the economic dimension of empowerment. Participants' geographic location is a determining factor to their economic and social resilience; however, they always remain under scrutinizing eyes. This perpetuates a vicious cycle where women from poor backgrounds, often rural, are restricted geographically, which restricts educational resources such as having access to better schooling which leaves them vulnerable economically and socially as well as shown in figure 3.

Limited mobility exacerbates women's economic and social situations and leaves them vulnerable to domestic and care workload which immobilizes both their economic and social statuses.



Figure 3 Limited Mobility and Educational facilities

Women from rural and often poor backgrounds are bound geographically due to fear of dishonoring the family and their communities. Participant 13 explains that in

*...Moroccan society, there is a strong belief that a girl must maintain her honor at all costs, she must remain a 'bent', a virgin so that her family is not shamed by her behavior and that her future husband's family sees her as pure and of good family standing. This leaves girls unable to fulfill many aspects of their lives among which is education ... she is denied this right... once a girl finds herself born in a rural community, it would be near impossible for her to fulfill any educational or economic aspirations... most if not all small villages and rural communities are only equipped with small and often secluded primary schools which leaves girls' fathers lost when they reach secondary level, since these small villages do not have such educational facilities (secondary schools)... yes, there are girls' shelters, what is referred to as 'home for female students' but often these establishments are far from the watchful eyes of the family and away from her family's protection... for male children, all fathers do not see any harm in them being away from the family nest, most fathers and mothers would say something like "nothing will happen to him..."*

This situation leaves fathers and guardians no choice but to deny girls their basic rights of education and free movement and only allow such rights to male offspring. In fact, according to participant 3 *...boys are allowed free movement since this does not harm their families in terms of social standing, the family's honor would be preserved, and nothing would happen to their social moral and standing in front of the community.* The focus on girls to stay 'bent' until their marriage keeps them locked in restrictive geographical locations and limit their opportunities. Nonetheless, many families see that this is a price worth paying since it preserves the honor of the family and maintains their social standing within relatives and community.

Such a restrictive situation may not be as obvious in cities and urban centers as in rural communities. Nonetheless, a constant guardianship and monitoring by families and patriarchal figures is vital to maintain the families' honor and to also preserve the image of the girl as being 'bent' and 'untouched' by a man. As a case in point, participant 5 contends that:

*...even in large cities, girls are always monitored, and every movement scrutinized to keep them within constant check and supervision... very few girls are allowed free movement... we cannot compare both girls and boys in terms of education, there is a difference... a girl has limited options, she can either study close to home or leave school once and for all. A boy on the other hand can study in remote cities and locations without being questioned about his movements and constantly checked to preserve his honor... a male student can even leave Morocco for another country to study and never once be judged or seen as 'easy' and sexually frivolous... Can a girl do that? I don't think so... very few families would allow for their daughters to leave the family nest for another country to study abroad...*

On the topic of limited economic options, participants agree that both men and women do not share the same plight. As a case in point, participant 19 argues that:

*... jobs are most often far from home, especially if you come from a rural area, you only have limited options... as a girl, you can either work in a small private school for less than 1000 dirhams a month if you have a university degree or work in farming doing manual labor... good paying jobs are often in large cities which bare a heavy burden on a girl's honor and reputation in her community... whereas a man can leave anytime he wants and pursue his own dreams... how many women have you seen trying to illegally*

*immigrate to Europe? Not many... even if you have tolerant parents, they can never allow that you work late and stay away from home for long period of time... after all, getting a job is not the best outcome for a respectable woman... the most important goal for a woman is to be a good wife and mother, to settle down and have children...*

## **7. Discussion**

In this paper, I delved into the topic of Moroccan public education and its ability to both social and economically empower female students in rural areas, thus lifting them from poverty and social precarity to income and social security and recognition. Through analyzing the collected data, two themes emerged, reduced mobility and lack of educational facilities in rural areas. The findings of this study reveal that rural female students in Morocco tend to associate their geographical location with their inabilities to find proper employment opportunities and educational facilities. This geographical limitation thus contributes to their limited mobility, since they are faced with patriarchal societal rules that dictate the behavior mode of females in rural communities. Drawing on the conceptual framework advanced by Kabeer and Stromquist, I examine the various expression of being a rural female student within the framework of resilience and female empowerment. This indicated the powerful grip patriarchy has on social values and modes of viewing education and female empowerment.

The theme of “limited mobility” showcases the lived reality of many parents and female students who face harsh geographic seclusion and are doomed to remain locked in economically and socially restrictive environments. As a case in point, participants argue that having a high school or middle school in rural communities can have a large impact on not only parents of female students, but also on the educational achievements of these students since most, boys and girls, are faced with large distances and long hours of commute in precarious means of transportation, or a stay in a girl’s hostel away from the protection, care and the watchful eyes of their families as argued by Žvan-Elliott (2015b). In addition, such restrictive location may be hindering to educational and economic achievements, but on the other hand, it may be empowering to patriarchal rules since in the absence of physical support and guardianship for rural female students, parents and other patriarchal figures, such as elders and their community member, have a free will on their destinies and aspirations. Nonetheless, such restrictions are near inexistent in the case of male students since they are seen by their parents and communities as not shame-riddled and thus cannot harm the reputation of their families. In such scenarios, and as conceptualized by Kabeer in her theory and definition of empowerment, female students are bound to gain power in their communities, nonetheless, this rests on the increase of freedom from their families, since according to Kabeer, to be empowered, a person or a group has first to lose power and to be disempowered.

The theme of ‘lack of educational facilities’ demonstrates the superficiality of empowerment and resilience programs on rural female students in Morocco. It not only restricts educational opportunities for female students, but also empowers patriarchal grips on them and their futures. This situation creates a two-speeds educational system in Morocco (Boutieri, 2012) where on the one hand, exists rural, geographically secluded, understaffed and under-equipped schools and on the other hand, an urban school, most often private and teaching in demand subjects. This recreates the dichotomy between a useful Morocco, urban in this case, and a useless Morocco.(Bogaert, 2018) the experience shared by female participants in this study resonate with Stromquist’s theory of empowering education whereby for an education to be truly empowering for female students, it has to encompass not only the economic dimension of this phenomenon, but also its psychological, knowledge, political and social dimensions. In the case of rural female students in Morocco, the lack of educational facilities stands as a burden and an insurmountable obstacle in light of family and community restrictions. It also shifts the focus of education from one which focuses on resilience to an education that focuses mainly on instilling emancipatory knowledge.



## 8. Conclusion

In conclusion, this research shed light on the complex topic that is Moroccan public education and its role in empowering female students from rural and poor areas. The themes of limited mobility and lack of educational facilities reveal the inability of education to improve the lives and futures of rural female students. On the other hand, it reveals a deep cleavage between rural education and the urban education in Morocco. It also reveals the strength and limits of the theories advanced by Kabeer and Stromquist vis-à-vis education and its role in empowering female students. These findings offer highly crucial insights into two of the main obstacles that prevent rural women from gaining economic and social resilience.

The narratives presented in this paper showcase an ingrained patriarchal societal and cultural ideology that dictate every move of women and reduce their role to a mere reproductive and care one. The narrative explored and presented in this research also uncovers structural barriers Moroccan education suffer from vis-à-vis women's empowerment and resilience. It showcases the importance of political will to improve women's social and economic statuses in Morocco, in fact, it directs the attention from a focus on the content of education to one where the mere presence of educational infrastructures plays the utmost significant role in changing girls' lives and futures. In this regard, the author of this research believes that it is vital for future research to explore effects of neoliberal economic and political doctrine on Moroccan education and its role in limiting funding and resources allocated to rural educational settings. A focus on the intersection of various variables such as gender, ethnicity and geographical location should be further explored and studied.

The study's limitation vis-à-vis its methodological framework is that the interviews were mainly focused on adult female students from rural areas, whereas diversifying data collection and observing participants such as school children in rural areas and interviewing their families and communities could produce a more detailed description of their lived experiences and realities.

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## L'enseignement à distance dans le système éducatif marocain : un accommodement nécessaire pour garantir la continuité pédagogique

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**Résumé :** *L'intégration des ressources numériques dans l'enseignement au système éducatif marocain est devenue depuis quelques années une préoccupation majeure de l'État marocain. L'espace TICE (Technologies de l'Information et de Communication pour l'enseignement) semble une invention pédagogique dans la mesure où les outils numériques sont considérés comme un vecteur du développement humain et d'accès au monde de l'informatique et des connaissances. Avec la propagation de la pandémie COVID 19, le ministère de l'éducation nationale s'est trouvé dans l'obligation d'assurer une continuité pédagogique en vue de garantir des apprentissages sans défaillances dans les trois cycles : primaire, collégial et qualifiant. Afin d'éviter la contamination, les responsables ont mis en place une autre option pour assurer la continuité pédagogique : l'enseignement à distance. Cette modalité inhabituelle dans un système éducatif classique a généré des défis aux niveaux de la planification pédagogique, de l'évaluation des apprentissages et de la gestion des apprentissages. Des enseignants ne sont pas formés en l'intégration des TICE dans l'action pédagogique se trouvent perdus devant les difficultés majeures que pose l'enseignement à distance. Dans cette communication, nous essayons de montrer les différents enjeux qu'a connus l'enseignement à distance aux niveaux de la planification des apprentissages, de la gestion des classes virtuelles et de l'évaluation, notamment les examens certificatifs.*

**Mots-Clés :** *Espace pédagogique, enseignement à distance, pandémie COVID 19, ressource numérique, continuité pédagogique, action pédagogique, apprentissage*

### 1. Introduction

Toute crise est un moment où l'ancien, l'habitus et le monotone s'estompent cédant la place *stricto sensu* au nouveau, à l'inédit, à l'extravagant et au bouleversant. Et toute mutation ou transition qui s'opère dans la vie de tout un chacun aurait la sensation, en premier lieu, d'appréhension voire d'hostilité. L'inconnu qui surgit de nulle part pourrait nuire à notre vécu et changer notre mode de vie pour le meilleur ou le pire. Cette image reflète parfaitement l'état de l'enseignement au Maroc. État d'urgence sanitaire, dû à la propagation de la pandémie du COVID-19, qui impose sa loi et *presto illico*, met en place une autre option pour assurer la continuité pédagogique qui n'est autre que l'enseignement à distance (Désormais EAD). En effet, afin d'éviter la propagation de l'épidémie ; crèches, écoles et universités marocaines sont fermées jusqu'à nouvel ordre, un dispositif de cours à distance a été mis en place par le ministère de l'éducation nationale. Pour faire face à cette situation problématique, le système éducatif marocain connaît depuis quelques années une nouvelle dynamique visant à améliorer la qualité de l'enseignement national à travers la mise en place d'un programme d'urgence<sup>4</sup> mettant l'apprenant au centre de l'action éducative, et intégrant les outils de télécommunication en enseignement et en formation dans le cadre de la stratégie nationale. Certes, cette nouvelle formule d'enseignement sera la seule et incontournable solution pour gérer cette crise mais il n'en demeure pas moins que son implantation subite et sans préavis pourrait avoir des conséquences indésirables et fâcheuses.

<sup>4</sup> Le programme d'urgence :

[www.ibe.unesco.org/.../IBE\\_ICE\\_Workshop\\_1D\\_Presentation\\_FR\\_Minister\\_Education\\_Morocco\\_Nov08.pdf](http://www.ibe.unesco.org/.../IBE_ICE_Workshop_1D_Presentation_FR_Minister_Education_Morocco_Nov08.pdf)

Suite à cette crise sanitaire qui a impacté sans trêve la fonction de l'école comme espace d'apprentissage, la notion de l'espace pédagogique évolue vers d'autres horizons plus virtuels. Les plateformes créées dans un cadre pédagogique avaient l'objectif de garantir une continuité pédagogique pour éviter tout hiatus dans le processus d'apprentissage des apprenants. L'âge d'apprentissage, garanti normalement par l'école, n'accepte pas d'arrêt causé par n'importe quel facteur interne ou externe, sinon il y aurait le risque de l'effondrement total des connaissances construites auparavant. Ceci dit, l'espace virtuel s'impose pour prendre la relève bénéficiant de l'évolution de la technicité dans le domaine de l'informatique.

De nouvelles cultures d'apprentissage sont apparues avec des pratiques enseignantes plus innovantes dans des espaces plus virtuels que physiques. Aujourd'hui, dans des situations propres à l'apprentissage, se sont imposés de nouveaux mots simples ou dérivés- *présentiel, distanciel, hybride, comodal, distanciation, pandémie, coroniser*- et de nouvelles manières d'exercer l'enseignement avec l'intégration de toute une panoplie d'outils numériques pour dynamiser les cours ; qu'ils soient intégrés ou non aux nouvelles technologies.

Ainsi, comme question de recherche, nous nous sommes interrogés sur la part de l'espace pédagogique, physique ou virtuel, dans les opérations didactiques et pédagogiques pour installer la modalité hybride dans le processus d'enseignement-apprentissage et sur les changements possibles à opérer pour réussir la pratique enseignante.

Comme hypothèse de recherche, nous supposons que l'espace pédagogique virtuel aurait pu garantir la continuité curriculaire si les intervenants dans l'action pédagogique (inspecteurs, directeurs d'établissements, enseignants, parents...) avaient préparé les conditions favorables de réussite dans les trois dimensions : la préparation des projets modulaires, la gestion des apprentissages à distance, l'évaluation adaptée à la modalité de l'enseignement à distance.

À la lumière de ceci, bon nombre de questions méritent d'être soulevées :

- Quelle acception du terme "espace" paraît plus opérationnelle pour aborder la question pédagogique ?
- Quel dispositif doit-on mettre en place pour assurer la continuité pédagogique et comment optimiser la pratique enseignante dans un espace virtuel ?
- Est-il possible de réussir l'acte d'enseignement-apprentissage sans interactions réelles garanties par l'espace physique, étant donné que le critère majeur de favoriser un climat d'apprentissage est complètement absent ?

## 2. La notion de l'espace pédagogique virtuel :

La définition de l'espace suggère une étendue où la notion de lieu exprime un mouvement délimitant un déplacement d'un corps d'un point de repère à un autre. C'est un domaine d'appartenance d'un objet ou d'un être, ce qui induirait une matérialité existante où le lieu sera considéré comme un construit qui « implique une indication de stabilité » ( De Certeau, 1990, p.173). Il importe de préciser que « l'espace donné est celui qui préexiste à toute utilisation, qui par ses contours matériels contient un type d'action. L'espace construit est cet espace qui se définit par le déplacement que le sujet peut opérer dans une étendue. » (Didier Paquelin, 2021, P. 377). De plus, d'un point de vue étymologique, le morphème "espace" est présenté dans le GR<sup>5</sup> comme suit :

« ÉTYM. V. 1160, « moment, durée » ; spaze, v. 1190 ; surtout « espace de temps », av. le xv<sup>e</sup>, et souvent fém. ; du lat. spatium, d'abord « champ de course, arène », puis abstraitement « espace ».

Ainsi, l'espace s'avère à la fois physiologique et représentatif. Il est tout d'abord physiologique du fait qu'il est considéré comme un repère pour mesurer et le temps et le mouvement ; les corps sont situés par rapport à leurs déplacements temporalisés dans l'espace. Nous parlons dans ce cas d'un cadre

<sup>5</sup> Le Grand Robert électronique (2020)

spatio-temporel. Il est aussi représentatif étant donné sa capacité à symboliser les rapports de différentes sensations avec les objets perçus : nous parlons de l'espace visuel (relatif à la vue), de l'espace tactile (relatif au toucher), etc. Dans ce sens

« *L'espace représentatif, sous sa triple forme, visuelle, tactile et motrice, est essentiellement différent de l'espace géométrique. Il n'est ni homogène, ni isotrope ; on ne peut même pas dire qu'il ait trois dimensions (...) L'espace représentatif n'est qu'une image de l'espace géométrique, image déformée par une sorte de perspective, et nous ne pouvons-nous représenter les objets qu'en les pliant aux lois de cette perspective. Nous ne nous représentons donc pas les corps extérieurs dans l'espace géométrique, mais nous raisonnons sur ces corps, comme s'ils étaient situés dans l'espace géométrique.* » (H. Poincaré, *la Science et l'Hypothèse*, p. 74.)

Quoique l'approche géométrique demeure plus opérationnelle pour clarifier la notion de l'espace, la délimitation de son champ définatoire nécessite de la traiter aussi d'un point de vue morphologique. C'est pour cette raison que le champ dérivationnel<sup>6</sup> du morphème "espace" semble important pour unifier davantage les spectres de cette notion. Pour ce faire, le champ dérivationnel du morphème *espace* se présente comme suit :

(1) : Espace : [spacieux]<sub>adj</sub>, [spatial]<sub>adj</sub>, [spatialement]<sub>adv</sub>, [spatialité]<sub>N</sub>, [spatialiser]<sub>v</sub>, [spatialisation]<sub>N</sub>, [Spacieusement]<sub>adv</sub>, [spaciologie]<sub>N</sub>, [espacer]<sub>v</sub>, [espacement]<sub>N</sub>, [espacé]<sub>adj</sub>

En évoquant cette série de mots dérivés par suffixation, il nous est difficile de déterminer laquelle des deux racines en est la base commune : est-ce *espac-* ou *spac-* ? La première forme basique engendre des mots dérivés comme "*espacer*", *espacement* et "*espacé*", alors que la seconde forme crée des mots tels que "*spacieux*", "*spacieusement*", "*spaciologie*", etc. Dans ce cas, s'agit-il d'une allomorphie de la base *espac-* qui a changé de forme en *spac-* sans modification de sens ? Ou est-il possible de les considérer comme de deux bases autonomes différentes ?<sup>7</sup> De plus, les mots : *spatial*, *spatialement*, *spatialité*, *spatialiser* et *spatialisation* sont formés par dérivation affixale avec allomorphie de la base du fait que le son /s/ change de graphie de [c] en [t].

D'un point de vue morphologique, les deux adjectifs *spacieux* et *spatial* sont dérivés de la même base *espac-* par dérivation suffixale. Le suffixe *-eux* est ajouté à la base allomorphique *spac-* pour former l'adjectif *spacieux* qui signifie "*qui a une grande étendue*". Pourtant, le suffixe *-al* est ajouté à la même base allomorphique *spac-* pour former *spatial* qui signifie "*qui se rapporte, qui est relatif à l'espace*". Néanmoins, un locuteur natif pourrait induire un rapprochement de sens entre les deux adverbes *spatialement* et *spacieusement* alors qu'ils ont deux sens différents : *spatialement* signifie "*relativement à l'espace*" sans précision du degré de sens/de la manière lié(e) naturellement aux adverbes français, mais *spacieusement* signifie "*d'une manière spacieuse*" avec précision de la manière liée aux adverbes.

L'importance donc de l'étude du champ dérivationnel de la notion de l'*espace* réside dans le fait de cerner ses différentes acceptions possibles et ses extensions sémantiques utilisées dans différents domaines afin de rapprocher sa fonctionnalité dans un contexte pédagogique. Ainsi, l'espace pédagogique est le local dans lequel se déroule une activité pédagogique soutenant des structures pédagogiques. C'est un lieu qui n'est pas nécessairement physique ; il est plutôt fonctionnel dans la mesure où la pratique pédagogique s'y trouve canalisée. D'autant plus, étant donné l'évolution des infrastructures, des moyens et des plateformes numériques, le rapport à l'espace pédagogique a été modifié pour se démarquer par rapport à une représentation purement matérielle. Il s'agit d'un

<sup>6</sup> D'un point de vue morphologique, le champ dérivationnel se compose de tous les morphèmes qui sont issus de la même base dérivationnelle. Ils ont généralement des formes proches et des sens interdérivationnels ; c.à-d. sont liés étroitement par des liens morphologiques souvent grâce aux règles d'affixation.

<sup>7</sup> Étymologiquement, d'après le GRE (2020), le mot *espace* est créé en 1160, alors que *spacieux* est paru pour la première fois en 1379, ce qui valide l'hypothèse que l'adjectif *spacieux* est dérivé du nom *espace*.

nouveau territoire consacré à l'agir enseignant identifiant *ipso facto* une nouvelle identité apprenante. Ce territoire numérique ne cesse d'évoluer au détriment de l'espace physique bénéficiant du développement des techniques de l'échange numérique. Dans ce sens, Didier Paquelin, (2021, p. 388) montre que « ces lieux deviennent par la pratique des tiers- lieux, un entre-deux entre le domicile et les lieux académiques et/ou professionnels. ». Nous assistons à un déplacement des rôles accomplis par l'espace d'apprentissage ; l'espace virtuel s'est mobilisé pour rejoindre l'apprenant partout où il existe, notamment en dehors de l'espace physique déterminé classiquement par le contexte scolaire : la classe, l'amphithéâtre, laboratoire, etc.

### **3. L'adoption de l'enseignement à distance au Maroc : pour un avenir éducatif prometteur**

Le 16 mars 2020 est une date qui restera gravée dans l'esprit de tous les Marocains : des acteurs pédagogiques, des parents et des élèves. Il était question de la mise en place, au premier plan par rapport à l'enseignement présentiel, du projet de l'EAD dans l'école marocaine. Le ministère de l'Éducation Nationale, de la Formation professionnelle, de l'Enseignement Supérieur et de la Recherche Scientifique s'est investi, tout outil mobilisé, pour l'introduction de cette nouvelle forme d'enseignement avec les moyens de bord dont il dispose ; mais quels moyens ! Certes, tout début est piétinant mais par la suite, le département ministériel a su instaurer un tant soit peu dispositif de la gestion de la crise. Une adhésion unanime de tous les acteurs du champ éducatif, qui se sont mobilisés pour faire réussir cette nouvelle expérience : les enseignants, constituant le « *front de bataille* », ont produit des ressources numériques et ont pu établir quotidiennement des contacts avec leurs apprenants via les différents réseaux sociaux ; le staff administratif, de son côté, tente de se procurer le logistique nécessaire, des caméras et d'autres appareils pour filmer des séances d'enseignement qui seront par la suite diffusées sur les chaînes de télévision ; enfin les inspecteurs qui se sont retroussés les manches pour l'exercice de leurs tâches à savoir l'accompagnement, l'encadrement, la formation et l'évaluation des séquences pédagogiques conçues pour l'enregistrement. Il faut reconnaître que l'effort fourni en si peu de temps et dans le sens d'une continuité pédagogique est colossal, puisque l'EAD bénéficie d'une image ambiguë. Il jouit en tant que « nouvelle technologie d'éducation » d'une image favorable dans l'air du temps que reçoivent opportunément les nombreux points de vue basés sur la satisfaction des élèves. C'est une pratique où les étudiants jugent qu'il est plus aisé d'étudier avec un nouveau média qu'en face à face avec un enseignant. Bref, tout le monde a fait preuve de responsabilité, de volontarisme, d'abnégation et de sens de patriotisme dans telles circonstances délicates. Toutefois, le degré de la réussite de l'EAD demeure en deçà des attentes car plusieurs paramètres d'ordre politique, technique et socio-psychologique entrent en jeu et nuisent à la continuité séante de l'acte de l'enseignement-virtuel-apprentissage.

L'expérience de l'EAD est problématique ; elle exige dorénavant un éventail d'approches didactique, sociologique et psychologique... Notre perspective se penchera, uniquement, sur le volet psychopédagogique et didactique de cette nouvelle forme d'enseignement.

### **4. L'enseignement didactique et le prisme du triangle pédagogique**

Le triangle pédagogique de Jean Houssaye (1988) illustre parfaitement cette relation triadique dont les pôles sont : le savoir, l'apprenant et l'enseignant. Dans l'économie de l'enseignement présentiel, le triangle pédagogique revêt une importance cruciale car il contribue à l'optimisation de la pratique enseignante. En effet, dans le continuum de ce modèle se tissent des relations didactique-pédagogiques et socio-affectives qui favorisent une interchangeabilité garantissant la fluidité de l'enseignement-apprentissage. Cette articulation n'est pas toujours flexible dans l'enseignement présentiel, alors comment se définit l'EAD ?

Historiquement parlant, l'EAD se définit par le signe de transmettre un message de l'enseignement matérialisé dans un média. Ce média, texte, vidéo, site Internet, plateforme, permet l'enseignement à distance, c'est-à-dire que l'enseigné et l'enseignant ne sont pas à proximité. Une inédite situation d'enseignement/ apprentissage qui s'impose et qui remet en question la forme géométrique du triangle pédagogique. L'apprentissage constitue, alors, l'épine dorsale d'un environnement de

formation et constitue un fil conducteur pour les apprenants et les enseignants. L'absence d'un scénario d'apprentissage et d'un scénario d'accompagnement explicites a limité l'usage des outils de communication sur la plateforme que ce soit entre l'enseignant et les étudiants ou entre ces derniers. Ce qui s'est traduit par l'absence d'un cadre commun et d'un espace formatif entre apprenants et formateurs, et, donc, d'une véritable collaboration au sein des équipes d'étudiants. En effet,

*« depuis le tout début, l'enseignement à distance a connu un processus de médiatisation croissante. Le terme médiatisation se réfère à une application systématique de divers médias dans le développement de cours modulaires et diffusés à distance, ce qui a pour résultat un niveau variable de substitution médiatique du professeur auprès de ses étudiants. » Michael Power (2002, p. 63)*

Désormais, plusieurs facteurs entrent en jeu et partant, acquièrent une importance considérable dans le processus d'EAD.

#### **4.1 L'espace-classe : un lieu sans interaction**

Par définition, l'espace-classe est le lieu où se structure la construction des apprentissages, lieu où convergent une panoplie de relations socio-culturelles et socio-affectives, lieu d'interaction et d'apprentissage par excellence. Bernard Charlot (2001, p. 315) le souligne en avançant : *« l'école au quotidien, c'est d'abord et avant tout la classe »*. La question de l'espace d'apprentissage est souvent traitée sous une perspective physique voire architecturale dont les composants sont en rapport avec les lieux de la dominance d'interactions pédagogiques entre l'enseignant et les apprenants amenant à construire un savoir scolaire. L'approche architecturale liée à la transmission des connaissances détenues par l'enseignant qui ne fait qu'aménager un contexte spatial pour favoriser une bonne conduite des interactions linéaires allant souvent de l'enseignant à des apprenants souvent passifs, rend plus rigides les structures de construction des savoirs. Dans ce sens, la salle de cours avec une estrade archaïque et une disposition des tables classique fige en quelque sorte le processus didactique adopté pour transmettre un savoir. Cet espace-classe constitue l'image d'un modèle pédagogique fondé sur le contenu unifié et sur la normalisation des gestes pédagogiques redondants accomplis par le maître qui adopte des postures transmissives intimement liées à un programme préalablement établi sans prendre en compte les besoins et les attentes réels des bénéficiaires. Cet espace-classe transmissif légitime la prédominance de la pédagogie du contenu et néglige par conséquent toute pédagogie active qui favorise plus un paradigme d'accompagnement et d'animation voire de guidance réfléchi dont les options spatiales forment le noyau sur lequel tourne toute la pratique enseignante.

L'étude de l'espace d'apprentissage ne date pas d'hier. Nombreuses sont les approches pédagogiques qui ont inscrit l'espace comme une dimension fondamentale dans la praxis enseignante en vue de créer un climat d'apprentissage plus favorable et plus optimal. A titre indicatif, la pédagogie Montessori<sup>8</sup> considère l'espace comme un composant nécessaire par rapport aux postures enseignantes responsables de la mise en œuvre d'un déroulé pédagogique. Dans ce sens, Lipmann (2010, p. 2) voit qu'à travers un espace bien aménagé que les élèves sont motivés à *« explorer leur environnement dans le cadre d'activités d'apprentissage autonome ou collaboratif »*. Cet aménagement spatial réfléchi et raisonné favorise sans aucun doute un apprentissage optimal et bienveillant. Chemin faisant, le développement durable des apprentissages sera garanti si l'instance pédagogique aménage un espace consciencieusement sélectionné selon des objectifs d'apprentissage explicitement formulés.

D'autant plus, le paradigme spatial est intimement lié au paradigme pédagogique adopté dans un système d'enseignement ou de formation qui ne doit pas se cantonner dans une seule vision spatiale sans élargir la fonction de l'espace notamment l'intégration des apprenants dans une atmosphère plus distinguée : l'établissement scolaire, la société civile, les structures culturelles et artistiques, les

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<sup>8</sup> La pédagogie Montessori est destinée à former une personne dans son intégralité et à tout niveau : physique, intellectuel, social et spirituel. En effet, l'ultime objectif de cette pédagogie est d'aider l'apprenant, surtout à un âge précoce à se construire pleinement, de manière autonome pour devenir un adulte confiant et responsable.



médias, l'association des parents, etc. Ainsi, la prise en compte de la dimension spatiale ne peut qu'inscrire l'opération éducative dans un alignement pédagogique garantissant une qualité permanente dans le développement des compétences. C'est une unanimité de constater que l'environnement influence positivement ou négativement sur le rendement d'apprentissage. Selon cette optique, Leijon & Lundgren (2019, p.15) montrent que « *les espaces affectent notre façon d'interagir, mais les espaces peuvent également être perçus comme négociables et conçus en interaction avec les participants de l'espace* ».

Dès lors, est-il possible de garantir le maintien de ces composantes (relationnelle et interactive) fort indispensables et inhérentes à toute pratique enseignante, dans une classe virtuelle ? Malgré les progressions qu'ont connues les plateformes électroniques utilisées actuellement pour assurer des cours aux apprenants hors la salle de classe, les notions de proximité, d'interaction effective, du socio-affectif et culturel s'effritent, cédant la place à une classe-morte, une classe démotivante ennuyeuse et soporifique.

#### **4.2 L'enseignement en binôme : enseignant/ parents**

Dans un contexte imposé par les circonstances sanitaires, la fonction didactico-pédagogique est accomplie par les parents. Ces derniers, vu leur incompétence dans le domaine d'enseignement, qui sollicite une compétence professionnelle certifiée, ne peuvent certainement pas remplacer l'enseignant mais ils fournissent plutôt un soutien psychologique pour favoriser un climat d'apprentissage serein et sain. Ainsi, la nouvelle posture de l'enseignant s'opère indirectement dans une étroite collaboration avec des parents-élèves afin d'assurer convenablement la continuité pédagogique : le premier, facilitateur, transmetteur, accompagnateur, orienteur et évaluateur et le deuxième, de l'autre rive, entretient l'espace d'apprentissage de son enfant avec le logistique nécessaire (électricité, connexion internet, outils informatiques...) et tâche de garantir un climat d'apprentissage. Les parents, dans une optique de suivi pédagogique, s'évertuent à encourager, motiver, assurer l'assiduité de leurs progénitures, veiller à écarter tout parasitage qui pourrait impacter négativement l'acquisition des savoirs, et à renforcer l'indépendance de leurs enfants ... autant d'atouts qui traduisent une complicité saillante visant l'opérationnalisation et l'optimisation de l'enseignement virtuel. Pourtant, lancé pour assurer la continuité des enseignements, le dispositif de cours à distance laisse, toutefois, perplexes les usagers en pointant déjà les failles.

On pourrait citer celles qui pointent par l'index le volet informatique. D'abord, les efforts déployés depuis des années au niveau informatique restent insuffisants tant sur le plan quantitatif que qualitatif. Les établissements scolaires demeurent moins équipés en matériels informatiques. D'autres failles constatées, c'est que les apprenants n'ont pas les moyens pour acquérir un smartphone, une tablette, un ordinateur ou une connexion Internet. De plus, également du côté de certains enseignants, malheureusement ils n'intègrent pas régulièrement les technologies de l'information et de la communication dans leurs pratiques enseignantes. S'ajoute à cela une autre difficulté, c'est que les apprenants n'avaient pas l'habitude d'exploiter, de façon formelle, ce nouveau mode d'apprentissage à distance. Ils se trouvent bombardés de ressources numériques.

#### **4.3 L'asynchronie du processus didactico-pédagogique**

Nul ne peut nier l'importance majeure des ressources numériques et de l'outil informatique dans notre époque. Conçus comme des médiateurs incontournables, ces moyens occupent le devant de la scène dans l'EAD ; ce qui influencera le processus tant didactique que pédagogique, et comme l'affirme Jacquinet :

*« Les systèmes de communication éducative médiatisée articulent du technique, du social et du symbolique et ces interrelations obligent à repenser la relation pédagogique et, en conséquence, la formation de ceux qui auront à la maîtriser ».*  
Jacquinet Geneviève (2002, p. 118)



Ce faisant, la transmission du savoir et l'objectivation de la dimension interactive se font par le biais de la numérisation ; néanmoins, le contact entre les inter-actants se veut froid, directif et apathique. En effet, ces *médiateurs éducatifs* parasitent le côté relationnel et interactif et par conséquent biaisent un tant soit peu l'acte d'enseignement-apprentissage. Pour garantir une continuité pédagogique, le ministère de l'Éducation Nationale veille à la mise en œuvre des mesures pour garantir un continuum normal dans l'apprentissage scolaire pour les apprenants aux moyens de ressources numériques et audio-visuelles via des plateformes : « *Telmide TICE* » et les chaînes de télévision « *Arrabaaa, Assadissa*, etc. ».

### **5. Étude de cas, résultats et perspectives didactiques**

Dans un contexte pandémique sévère, la modalité de l'EAD s'est avérée comme une rénovation curriculaire pour permettre aux apprenants de se ressourcer du savoir à distance, de poursuivre les cours, et de rester en contact permanent avec leurs professeurs. Elle est considérée comme l'alternative la plus appropriée pour assurer la continuité pédagogique. Le ministère d'Éducation Nationale, par le biais de la note ministérielle N° 420/21 consacrée à la gestion de l'année scolaire 2020/2021, sollicite le corps inspectoral de proposer des scénarii curriculaires réalisables et adaptés pour réussir la continuité pédagogique. De ce fait, la coordination régionale de l'AREF de Casablanca-Settat se réunissait pour proposer un scénario convenable pour mettre en œuvre le programme de la langue française dans les lycées de la région. Répondant à cette sollicitation, j'ai formé une équipe de recherche-action au niveau de la direction provinciale (DP) d'Elbarnoussi pour proposer un scénario réaliste, réalisable et facile à dupliquer par la suite dans les lycées de la direction provinciale. Ainsi, cette équipe est formée de cinq enseignants accompagnateurs sous la direction de moi-même, étant l'inspecteur principal de la zone pédagogique.

Les actions accomplies, dans ce sens, portent sur trois axes principaux : la planification pédagogique hybride, la gestion des apprentissages dans deux espaces différents présentiel et virtuel, l'évaluation adaptée des apprentissages. Nous avons commencé tout d'abord par préparer des scénarii possibles des programmes adaptés des trois années du cycle qualifiant, de préciser les tâches à accomplir par les apprenants dans trois situations d'apprentissage : en présentiel, à distance et en autonomie. Ensuite, nous avons passé à animer des ateliers de formation et d'accompagnement des enseignants de français de la DP en vue de mettre en exergue les scénarii conçus. Par la suite, j'ai effectué des visites d'observation et d'encadrement dans les classes pour rédiger des bulletins de visite (BV) en vue de discuter la réussite de notre scénario provincial lors des rencontres au niveau de la coordination régionale. Dans cette étude, faute de temps et d'espace accordé à notre article, nous nous contentons de traiter seulement l'aspect spatial dans les scénarii que nous avons proposés comme alternative de l'enseignement présentiel. Pour ce faire, deux corpus seront étudiés comme cas représentatifs de ces scénarii : les projets modulaires conçus par les enseignants accompagnateurs sous ma coordination, et les BV que j'ai rédigés suite à la mise en œuvre des scénarii conçus.

Nous avons opté pour une démarche priorisant l'analyse hybride combinant les aspects quantitatifs et les aspects qualitatifs du corpus. Il est question de procéder par une collecte d'énoncés représentatifs à partir de quatre projets modulaires, et une vingtaine de BV. Par la suite, nous avons essayé de relever les différentes manifestations de l'espace pédagogique dans les deux corpus étudiés en vue d'explicitier les contraintes et les enjeux à relever pour réussir une pratique pédagogique hybride.

#### **5.1 Analyse et traitement des données**

Il s'agissait d'un recueil des quatre projets pédagogiques suivi d'une observation participante qui s'est manifestée pendant les discussions menées avec les enseignants vers la fin des visites ou pendant les rencontres pédagogiques, ce qui nous a permis d'arrêter sur des remarques réflexives par rapport au sujet traité. L'étude quantitative des deux corpus peuvent être présentée comme suit :

### 5.1.1 Les projets modulaires :

Intitulé du projet modulaire	L'œuvre intégrale	Niveau scolaire	Durée de la mise en œuvre	Différents type de l'espace pédagogique	Modalités de mise en œuvre
Lire et étudier une Nouvelle réaliste	Aux champs, <i>Maupassant</i>	Tronc commun	8 semaines	Classes, Telmid-Tice, Teams, chez-soi	Présentiel, À distance, En autonomie
Lire et étudier un roman autobiographique	La Boîte à Merveille, Ahmed Sefrioui	1 <sup>ère</sup> année bac	10 semaines	Classes, Telmid-Tice, Teams, Chez-soi	Présentiel, A distance, En autonomie
Lire et étudier une tragédie moderne	Antigone, J. Anouilh	1 <sup>ère</sup> année Bac	10 semaines	Classes, Telmid-Tice, Teams, Chez-soi	Présentiel, À distance, En autonomie
Lire et étudier un roman maghrébin d'expression française	Il était une fois un vieux couple heureux, M. KHAIREDDINE	2 <sup>ème</sup> année bac	10 semaines	Classes, Telmid-Tice, Teams, Chez-soi	Présentiel, A distance, En autonomie

En ce qui concerne les modalités de mise en œuvre, le contexte sanitaire actuel avec toutes ses répercussions pédagogiques et éducatives nous impose de repenser nos modalités d'enseignement et d'adopter une nouvelle forme de transmission de savoir et savoir-faire. Il était question d'adapter une forme qui continuera à perpétuer le cordon ombilical entre l'enseignant et l'apprenant afin de mieux gérer cette période de crise où les priorités se déplacent. Deux modalités réfléchies sont proposées pour gérer cette situation de crise au sein des établissements scolaires :

1. Enseignement à distance jugé impertinent avec un rendement d'apprentissage très faible<sup>99</sup>, mais avec une sécurité très élevée contre Covid-19,
2. Enseignement en alternance ; Présentiel/Auto-apprentissage pour optimiser le rendement d'enseignement-apprentissage et minimiser les risques d'apprentissage.

Dans la planification des séquences pédagogiques inclus dans des projets modulaires, les directives prises en compte lors de la conception des projets modulaires sont les suivantes :

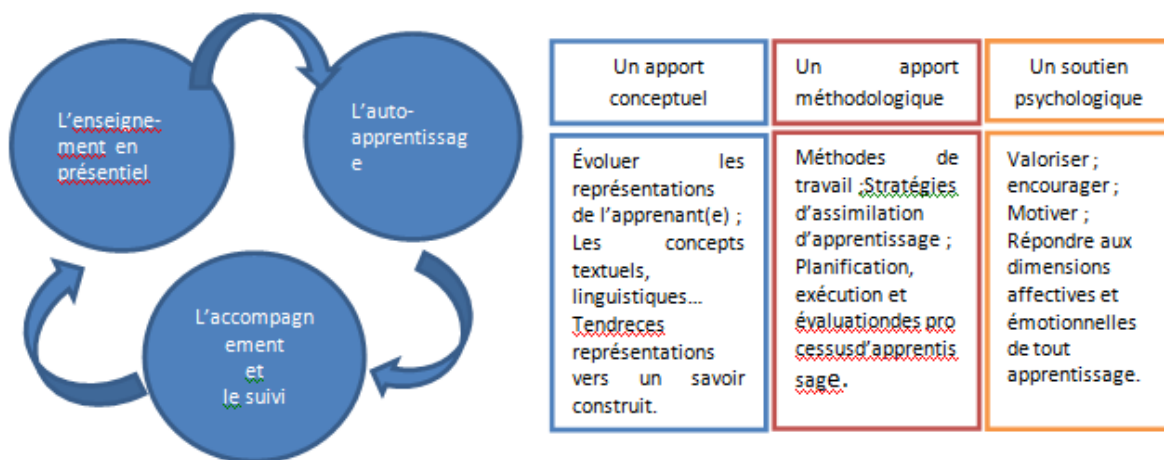
- La scénarisation des séquences proposée gravite autour du projet pédagogique qui est toujours mis en avant.
- La pertinence du découpage chronologique des séquences en termes d'heures prend uniquement en considération des périodes de travail effectif excluant les jours fériés et les vacances intermédiaires.
- La fusion de certains contenus jugés complémentaires.
- La priorité de certains objectifs et contenus jugés plus pertinents à la lumière du profil de sortie et du cadre référentiel de l'examen régional

<sup>99</sup> D'après les rapports de visite rédigés par l'instance inspectoriale.

- La fixation des séances d'arrêt-bilan et d'évaluation comme parties intégrantes du processus d'enseignement-apprentissage.

Ces principes directeurs qui sous-tendent la conception des fascicules relatifs aux projets séquentiels convergent tous pour assurer la cohérence cyclique alternant l'enseignement présentiel et auto-apprentissage comme choix pédagogique institutionnel. En effet, l'enseignement en présentiel a des avantages indéniables :

1. L'adaptation du discours pédagogique et stimulation des apprenants au temps réel puisque l'enseignant (e) est en contact direct avec ses apprenants.
2. Un accompagnement individualisé sur mesure tout en s'appuyant sur la pédagogie différenciée.
3. L'interaction entre les apprenants, la mise en commun et socialisation de leurs productions, l'apprentissage en autonomie ou « l'auto-apprentissage », s'il est bien mené, peut également contribuer au développement des savoir-faire et savoir-être des apprenants dans la mesure où il peut accroître l'efficacité du temps de présence en classe et attribuer un rôle plus actif aux apprenants en favorisant leur responsabilisation.
4. Conscientiser les apprenants de leur travail collectif. Tout l'enjeu réside, par conséquent, dans cette manière d'assurer l'articulation entre les deux modes d'enseignement pour accompagner l'apprenant (e) dans son cheminement vers l'autonomie. C'est pourquoi le soutien spécifique apporté par les enseignants à l'apprenant (e) s'avère crucial dans cette logique d'autonomisation. Il l'aide à développer ses critères, ses savoirs et savoir-faire qui lui permettent de décider de ses démarches méthodologiques et organisationnelles, de construire son projet d'apprentissage et de s'engager dans sa réalisation. Dans ce sens, le processus planificateur adopté dans les différents projets modulaires pourrait être schématisé comme suit :



Ainsi, cette modalité d'apprentissage n'est pas synonyme de la liberté absolue, de l'isolement, de l'individualisme ou de la débrouillardise. Il s'agit plutôt d'un changement de posture et de réflexes pédagogiques visant à intégrer en douceur les pratiques autonomisantes dans la pratique enseignante. Dans ce sens, les activités proposées aux apprenants dans les différentes scénarisations d'apprentissage s'inscrivent dans cette perspective et correspondent aux spécifiés de cette modalité d'apprentissage dans laquelle l'apprenant est accompagné dans la prise en charge de son projet d'apprentissage. Avant ou après chaque activité, l'apprenant (e) sera sollicité à effectuer des tâches en aval et /ou en amont (recherches documentaires préparant une activité ; tâches intermédiaires pour réaliser un projet séquentiel ou de classe ; un 2<sup>ème</sup> jet d'une production écrite ; un exercice d'application et de transfert des ressources ; la compréhension globale d'un texte de lecture ; préparation d'un jeu de dramatisation ; mémorisation d'un poème ; lecture expressive d'un extrait ; des auto-évaluations à l'aide des grilles critériées...)

Il appartient aux enseignants de choisir des activités et des tâches à effectuer par les élèves en dehors de la classe. Ces activités ou tâches doivent couvrir, chaque semaine, les deux heures de français réservées à l'auto-apprentissage. Qu'elles soient données en amont ou en aval, ces activités auront pour objectif ou de consolider des acquis ou de préparer d'autres activités qui se dérouleront en classe sans oublier celles qui se rapportent au projet de classe. Leur programmation hebdomadaire ou directement après chaque séance en présentiel est obligatoire et prendra en compte les insuffisances et les lacunes à combler.

Pour relever les différents défis rencontrés lors de la mise en place de l'enseignement hybride (présentiel/autonome), les enseignants proposent les pratiques suivantes :

1. Il s'avère important de changer les modalités de la construction des apprentissages. Dans ce sens, il est recommandable de penser autrement le fait apprenant : À quel moment doit-on adopter une modalité au détriment d'autres ? Enseignement hybride, mixte, en alternative ou en spirale ?
2. Le système formel se trouve devant la création d'une nouvelle instance enseignante : la famille enseignante. Dans ce contexte, comment réorganiser l'espace familial réservé à l'apprentissage ? Comment gérer le temps d'apprentissage ? Les parents sont-ils formés pédagogiquement et didactiquement pour assurer des cours ? Quelles sont les ressources à mobiliser au sein de la famille pour optimiser le rendement d'apprentissage ?
3. Le temps d'apprentissage est réparti entre trois modalités : En présentiel, à distance et autonomisant. Quelle est l'instance responsable de la gestion de ce temps : la famille ou l'école ?
4. L'approche pédagogique à adopter : nombre de facteurs à tenir en compte à savoir l'organisation des contenus, les priorités, la structure des modules, des séquences et activités, la responsabilité de l'enseignant, de l'apprenant, de la famille.
5. Dans la modalité de l'apprentissage à distance, l'apprenant sera-t-il plus autonome ? Qui fait quoi ? Les parents-enseignants, enseignement par pair, suivi des apprentissages, conditions d'apprentissages.

### **5.1.2 Les rapports de visite/BV**

Le corpus se constitue d'une vingtaine de rapports de visite ou d'inspection rédigés pendant la pleine propagation de Covid19<sup>10</sup>. L'étude quantitative de ce corpus porte sur un relevé des énoncés qui traitent la question de l'espace pédagogique telles qu'elle est pensée par les enseignants accompagnés. En tant qu'un inspecteur de la zone pédagogique, j'ai essayé de mettre plus le focus sur la manière de gérer l'espace pédagogique par les enseignants dans les trois modalités d'enseignement : présentiel, à distance et auto-apprentissage. Pour ce faire, j'ai consulté tout d'abord les projets modulaires planifiés par ces enseignants, puis j'ai observé quelques séances d'apprentissage animées par eux-mêmes et aussi lors de l'entretien nous avons entretenu sur la question de la gestion de l'espace pédagogique en rapport avec le déroulé des cours et leurs objectifs fixés. Le fruit de cette série de tâches inspectorales était des rapports sous forme de BV concrétisant les différentes pratiques supervisées. En conséquence, j'ai rédigé une vingtaine de rapports de visite. Dans ce qui suit, je me contenterai d'étudier seulement les recommandations explicitées dans ces BV liées à l'espace pédagogique. Nous allons essayer de voir comment les enseignants gèrent l'espace dans ses différentes dimensions : présentielle, à distance et virtuelle. Nous avons donc relevé les recommandations suivantes :

- Les enseignants doivent planifier à la fois des contenus à présenter en présentiel et des contenus à donner sous forme de consignes aux apprenants pour les préparer hors-classe ;
- Les apprentissages à construire en classe doivent constituer la pierre angulaire du programme du niveau scolaire concerné, alors que ceux donnés à distance pourraient être subsidiaire et complémentaires ;

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<sup>10</sup> L'année scolaire 2020/2021

- Les consignes données dans le cadre de l'EAD doivent être claires, accessibles et faciles à comprendre. Elles sont expliquées en classe par l'enseignant avec suivi régulier en cas de besoin via les réseaux sociaux ;
- Les étapes de construction des sens langagiers sont à mettre en œuvre en classe, alors que les exercices d'application doivent être inscrits dans un projet séquentiel où le suivi parental paraît fondamental ;
- Le programme scolaire prescrit doit être abrégé et ne doit contenir que les savoirs nécessaires et fondamentaux pour développer les compétences disciplinaires du niveau scolaire concerné ;
- L'évaluation sous forme de contrôles continus concernera à la fois les apprentissages donnés en présentiel que ceux donnés en autonomie ;
- Encourager l'enseignement par pairs et l'enseignement explicite et inversé, les apprenants doivent être vus comme les vrais acteurs de leurs apprentissages ;
- Créer des outils didactiques pour faciliter l'auto-apprentissage comme les cartes conceptuelles, les schémas de connaissance, les tableaux récapitulatifs, etc.
- Encourager les apprenants à surfer sur le Net pour chercher des cours, à suivre des chaînes télévisées où se présentent des cours à distance, à échanger avec les apprenants d'autres sphères pour enrichir leurs horizons de connaissances ;
- Le soutien et la régulation doivent être planifiés sous forme de projets spirales et décloisonnés par rapport aux projets d'installation des connaissances ;
- Au niveau de la même activité ou binôme la réflexion sur la méthodologie est intéressante : travailler la séance sous forme d'un bloc en 1h ou étapes réparties entre mode Présentiel et mode Autonome. Exemple, la lecture méthodique sera répartie en deux phases ; en mode Présentiel on entame l'identification, la mise en situation, et les lectures consignées, et en mode Autonome, les axes de lecture doivent être travaillés sous forme de consignes, synthèse et réactions ;
- Priorisation des contenus sur d'autres en procédant par choix efficient des ressources-constructrices notamment celles qui auront une incidence directe sur le processus des acquis pour les niveaux suivants.

## 5.2 Résultats et conclusions

L'adoption du mode hybride ne va pas sans embûches. D'ailleurs, ce mode d'enseignement est perçu comme un pis-aller ainsi qu'une ultime solution pour garantir la continuité des apprentissages ainsi que le droit à l'éducation aux apprenants. Dans cette perspective, l'école marocaine est amenée à relever plusieurs défis. Et ce pour honorer ses engagements vis-à-vis de la société à travers : la réduction de l'enveloppe horaire des apprentissages suite à la répartition des groupes classes en sous-groupes dans l'esprit du protocole sanitaire en vigueur, la perturbation des pratiques enseignantes, les difficultés d'adaptation au nouveau mode d'enseignement, la transgression de l'égalité des chances, credo du système éducatif marocain à tous ses niveaux. Il en résulte une ambiance d'appréhensions, d'hésitations, voire de tergiversations qui plane sur le système éducatif : l'enseignement hybride, faisant alterner le présentiel et le distanciel, où l'auto-apprentissage devient une planche de salut, pendant cette conjoncture où un enseignement ordinaire devient une chimère. La gestion de l'espace pédagogique était le défi le plus difficile à relever. La présence physique de l'enseignant est primordiale dans un système classique tel le nôtre. Pourtant, tous les acteurs pédagogiques étaient conscients sur le fait que la crise sanitaire nous a obligé de revoir profondément notre conception de l'espace d'apprentissage. Certes, la classe est l'espace le plus propice pour un enseignement-apprentissage plus efficient, mais l'espace virtuel incarné par les réseaux intermédiaires et les plateformes créés spécifiquement pour l'affaire pédagogique comme *Telmid-Tice*, pourraient remplir efficacement la fonction pédagogique. Les conditions de réussite ne sont pas seulement liées à une bonne planification des projets modulaires et des séquences d'apprentissage, mais aussi à une bonne gestion des interactions constructives animées normalement par l'enseignant. Réussir l'enseignement à distance nécessite d'installer un système de contrôle du déroulement d'apprentissages. Les parents devraient

jouer ce rôle notamment dans la conjoncture du confinement pendant lequel les enfants étaient plus exposés aux dangers cybernétiques comme le harcèlement sexuel et les mauvaises idées idéologiques.

Tenant compte de l'espace virtuel, les enseignants s'accordent sur le fait que toute la pratique planificatrice doit prendre en considération le facteur espace comme composant angulaire qui doit fédérer tous les autres composants comme les contenus, le temps et les techniques d'enseignement. L'enseignement autonomisant s'avère lui aussi une modalité où l'apprenant se délibère des contraintes spatiales. Pour planifier les apprentissages autonomisants, bon nombre d'entrées sont possibles : entrée par compétences, entrée par espace d'apprentissage, entrée par consignes multimodales, etc. À titre indicatif, l'entrée par activités consiste à prendre comme point de départ les différentes activités composant la discipline (Lecture, langue, oral, production écrite...) renvoyant aux quatre compétences ciblées (réception et production de l'écrit et réception et production de l'oral). Prenant en considération le contexte actuel, le présentiel reste privilégié non forcément dans la théorie didactique, mais plutôt dans la réalité de sa mise en œuvre. Ainsi, programmer une activité souvent dans le présentiel au détriment d'une autre faite en auto-apprentissage pourrait constituer un traitement privilégié pour la première activité. Ainsi, l'organisation des activités pourrait se faire en plusieurs modalités :

« Traitement égalitaire » des activités : Comme l'étiquette l'indique, là, on opte pour un traitement égalitaire des activités. Toutes les activités se valent et, par conséquent, nous divisons le temps alloué au présentiel et à l'auto-apprentissage entre les activités sans privilège. Par exemple, si on parle de deux heures de présentiel et de deux heures d'auto-apprentissage, on aura 30 minutes de présentiel et 30 minutes d'auto-apprentissage pour chaque activité. On fait donc les quatre activités importantes en consacrant à chacune 30 minutes et en guidant l'apprenant à faire certaines étapes de chaque activité en auto-apprentissage pour faire face à la réduction du temps réservé à la séance en présentiel.

Par « Rotation » des activités : Le principe de rotation s'inscrit également dans un traitement égalitaire tout en respectant la durée réservée aux séances. Par exemple, deux heures de présentiel seront réservées chaque semaine à deux activités différentes à tour de rôle en appliquant le principe de rotation. À la fin du module, les heures du présentiel réservées à une activité ne diffèrent pas beaucoup de celles mises au service d'une autre activité.

*Semaine 1* : l'activité de lecture et l'activité de production écrite en mode présentiel/l'activité de l'oral et l'activité de langue et de communication en mode d'auto-apprentissage.

*Semaine 2* : l'activité de langue et communication et l'activité de l'oral en mode présentiel/l'activité de lecture et l'activité de production écrite en mode d'auto-apprentissage.

*Semaine 3* : Lecture et langue en présentiel/Oral et production écrite en auto-apprentissage.

*Semaine 4* : Oral et production écrite en présentiel/Lecture et langue en auto-apprentissage

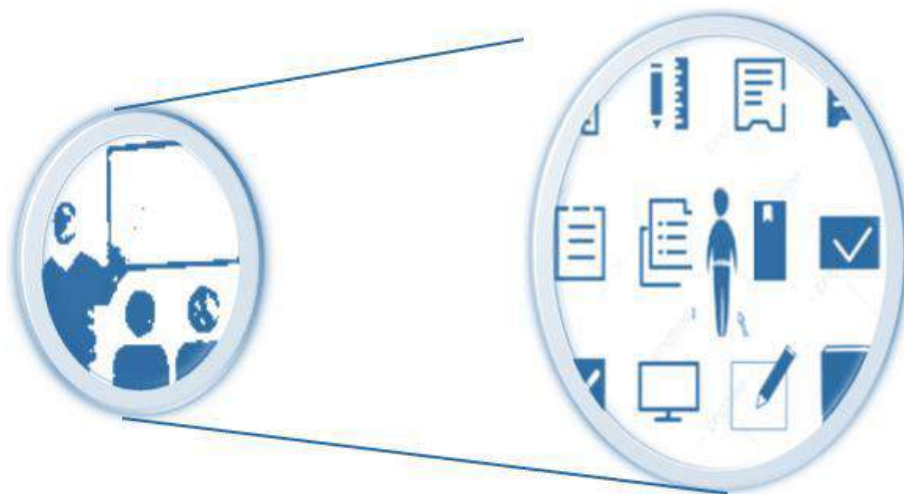
Par « Intégration » (deux activités différentes) : En principe, on intègre une activité dans une autre qui peut l'englober. On peut donc intégrer l'activité de « langue » dans celle de « lecture » et l'activité de « production orale » dans l'activité de « production écrite ». Les faits de langue seront des moyens au service de l'analyse des supports dans la réception de l'écrit et les discussions orales autour d'un thème précis serviront d'alimentation d'idées pour travailler également la compétence rédactionnelle.

### **5.3 Vers une didactique de l'alternance spatiale**

La logique du changement d'un enseignement unimodal à un enseignement bimodal impose un changement de la didactique adoptée. On n'apprend pas de la même façon dans la didactique de l'alternance. De même, on n'enseigne pas de la même façon. Classiquement dans l'enseignement en présentiel, l'enseignant assure le rôle de médiateur, de facilitateur, de concepteur et d'évaluateur. Or, dans ce mode mixte, il ne lui reste parfois que la casquette de concepteur d'outils aux moments d'auto-apprentissage. D'où l'importance des outils conçus pour encadrer et accompagner l'apprenant dans son travail autonome. Ces outils assurent à sa place la médiation, la facilitation et l'orientation. Ne



pouvant plus réajuster à temps ni intervenir, l'enseignant compense son absence physique lors de l'auto-apprentissage par la conception d'outils (documents, cartes mentales, tableaux, schémas, images interactives, PDF interactifs, auto-évaluations numériques...) renvoyant à une didactique de l'autonomie. Cette absence doit être comblée par le guidage de l'apprenant qui doit être capable de savoir apprendre (apprendre à apprendre).



#### **5.4 Principes à respecter**

En plus des principes habituels respectés en mode présentiel, d'autres s'ajoutent en relation avec cette articulation bimodale. Nous en citons :

- Couverture du programme : pour des raisons curriculaires, les contenus du curriculum doivent être respectés. On peut les affecter dans la colonne réservée au présentiel ou à l'auto-apprentissage. Mais, on ne peut les écarter de notre planification. Chaque contenu participe à la construction d'une compétence dans une logique de progression bien précise.
- Le respect de la représentativité des contenus par rapport aux deux composantes de l'alternance : on ne peut faire un contenu présent massivement horizontalement et verticalement au niveau curriculaire uniquement en auto-apprentissage. Cette présence lui vaut plutôt une place de choix dans le présentiel.
- La pondération du temps de travail en classe (en présentiel) par opposition à celui effectué hors classe (en auto-apprentissage).
- La faisabilité et l'applicabilité des fusions et des intégrations des activités : Se poser toujours la question (est-ce que la fusion des leçons est possible ? Est-ce que l'intégration d'une leçon dans une autre est possible ?)
- Homogénéité et cohérence des cours dispensés en présentiel et en auto-apprentissage.
- Exploitation et profit tiré de la charge hebdomadaire de travail allouée à la discipline (au moins quatre heures par semaine réparties entre les deux modes selon la filière) avec modération (pas plus de 8 heures pour le présentiel et l'auto-apprentissage selon la filière) en pensant à occuper l'apprenant en respectant l'efficacité, la motivation et la cohérence.
- Annonce claire et explicite des compétences et des objectifs d'apprentissage et du mode adopté pour les enseigner. Donner des consignes claires et précises de préférence par écrit pour encadrer les travaux d'auto-apprentissage.
- Prise en considération dans sa planification des différences des rythmes de travail en classe et à la maison qui dépendent du degré d'autonomie des apprenants, de leur accès à certains moyens utilisés en auto-apprentissage et de l'environnement social (familles, zones géographiques...).



L'usage de la technologie favorisé par la conjoncture permet aux apprenant (e)s d'accéder aux contenus pour développer les compétences fixées au niveau des cours présentiels. Si chaque apprenant (e) peut accéder aux contenus sélectionnés par l'enseignant, la classe a moins besoin de fonctionner comme un ensemble et les apprenant (e)s sont en mesure de prouver leur compréhension de manière plus personnelle et authentique. Si l'on se réfère au constructivisme de Piaget et au socioconstructivisme de Vygotsky, l'apprenant doit être le pivot de tout processus d'enseignement/apprentissage. En classe, l'apprenant mobilise ses connaissances, ses capacités pour en construire d'autres, plus élaborées. Hors classe, il peut demander à ses parents, à ses camarades, à ses frères ou sœurs de l'aider à faire ses travaux et exercices. C'est ainsi qu'il se forge un profil, fruit d'un répertoire de compétences ou de connaissances.

Le groupe-classe se retrouve ainsi réparti en deux sous-groupes. Il faut donc réserver une place importante dans la planification, la mise en œuvre et finalement dans l'évaluation à l'auto-apprentissage pour le 2<sup>ème</sup> sous-groupe qui est loin d'être en vacances au moment de la présence du 1er sous-groupe en classe. L'opposition est plutôt d'ordre contextuel et ergonomique. Ni l'espace, ni les moyens et les milieux ne sont les mêmes. La complémentarité réside dans les objectifs et les finalités de l'apprentissage. Tous les deux, présentiel et auto-apprentissage, servent à former l'apprenant. La complémentarité est donc le mot d'ordre. Avec la formule pédagogique faisant de l'auto-apprentissage une composante essentielle prônant le développement de l'autonomie et la responsabilisation, il est intéressant que les apprenants réussissent à porter un jugement pertinent sur leurs performances, à ce qu'ils aient l'habitude de reconnaître leurs réussites, d'identifier leurs lacunes et difficultés, de repenser leurs stratégies et leurs démarches et de proposer des solutions alternatives à des situations de blocage qui surgissent dans leurs parcours. Le changement affectant le mode d'enseignement confirme l'intérêt à porter également à l'évaluation.

Un travail de conception des outils, qui permettent d'impliquer fortement l'apprenant dans ses apprentissages et de développer chez lui les stratégies d'auto-évaluation et d'autorégulation, s'impose. Ces outils et instruments sont d'un intérêt indéniable dans la pratique enseignante. Il faut réserver une place importante à l'auto-apprentissage dans la planification et sa mise en œuvre et, également, dans l'évaluation. L'apprenant travaille de plus en plus en l'absence physique de l'enseignant. Comme nous l'avons déjà mentionné, cette absence doit être comblée par le guidage de l'apprenant qui doit être capable de savoir apprendre (apprendre à apprendre). Ce guide contient des outils de planification, de gestion et d'évaluation pour les enseignants, des outils-types ou modèles pour accompagner l'apprenant, certains sont à réaliser et d'autres à personnaliser en fonction de l'activité, de la leçon, de l'objectif et du niveau de l'apprenant. Ainsi, des cartes mentales/heuristiques et des fiches d'auto-apprentissage (modèles ou personnalisées) propres aux différentes activités (langue, oral, étude de texte, production écrite, travaux encadrés...) peuvent servir d'encadrement du travail fait à la maison.

### **5.5 Des perspectives didactiques**

Encourager une posture autonomisante et responsabilisante n'exclue pas de prévoir des techniques permettant de contrôler et d'évaluer l'exécution des tâches proposées en autonomie. De ce fait, l'enseignant peut toujours consacrer, par exemple 10 minutes de chaque séance en présentiel, au contrôle des activités effectuées par les élèves dans le cadre de l'auto-apprentissage.

Si l'on reformule plus opérationnellement dans le champ de l'ingénierie de la formation à distance, notre attention sera amenée à se porter plus pragmatiquement sur l'évolution des modalités de formation, des planifications des programmes et des modules, des cadencements des séquences d'enseignement, de la formation et accompagnement des parties prenantes, du comptage du temps de conception et de suivi, de la distribution des rôles des enseignants et des personnes supports (ingénieurs pédagogiques, etc.) dans les différentes étapes de l'ingénierie pédagogique, du rôle et de l'implication de l'institution à s'emparer des problématiques de conception, de médiatisation des ressources, de diffusion avec des infrastructures pédagogiques et organisationnelles à la hauteur des

enjeux. Malgré les difficultés rencontrées, nous pourrions proposer les recommandations didactiques suivantes pour la mise en œuvre de la modalité présentiel/autonome en classe de français au lycée marocain :

Au niveau de la gestion des apprentissages :

- Un rapprochement virtuel : Un outil numérique adéquat pour l'enseignant et les apprenants s'avère une priorité de première nécessité. Avec coordination entre collègues si possible ;
- Aligner les objectifs et les méthodes sur la nouvelle réalité pédagogique ;
- Concevoir un projet remanié et adapté qui, tout en gardant les grandes lignes du projet original, prévoit de prendre en considération les nouveautés inhérentes à l'auto-apprentissage qui s'imposent ;
- Sélectionner les ressources/contenus qui suscitent de l'intérêt des apprenants et par conséquent contribuer à leurs autonomies/auto-apprentissage. Ces ressources doivent être adaptées au niveau des élèves et répondre à leurs attentes. Éviter la surcharge cognitive ;
- L'essentiel étant de responsabiliser l'élève face à la notion du « devoir » (enseignement par consignes) et l'acheminer vers une forme de l'autonomie ;
- De la clarté des consignes dépend la réussite de l'activité : Donnez des consignes claires et précises pour éviter toute ambiguïté. Préciser bien les délais, les temps de travail à accorder au compte-rendu.

Au niveau de l'évaluation des apprentissages selon PA :

- Évaluer en présentiel : en classe ; Précisez les contenus appris sur lesquels portera l'évaluation ;
- Énoncer des consignes très précises et complètes, précisez le temps de passation, les modalités de rendu, les critères d'évaluation ;
- Diffuser largement ces consignes : Cahier de cours, du descriptif de l'épreuve, par mails, sur les réseaux ;
- Envisager des modalités d'évaluation qui seront simples à mettre en œuvre pour Enseignant/apprenants ;
- Calcul du temps et des risques : Construisez des évaluations qui limiteront les opportunités de fraude ou le risque que l'exercice en question sera fait par un tiers ;
- Choisir des modalités qui limiteront vos temps de correction (genre QCM, exercice à trous...) ;
- Utiliser une grille de correction pour aligner vos objectifs pédagogiques et votre évaluation, et pour rendre plus rapide la lecture des travaux ;
- De l'importance du suivi : Il serait plus préférable de procéder par un suivi par paire (Groupe 1/Groupe2), faciliter la communication entre les apprenants des deux groupes dans des consignes communes ou des projets communs ;
- Insister sur un suivi des travaux des élèves sauf en cas d'évaluation sommative, peut-être, pour éviter la fraude et permettre l'harmonisation des notes ;
- Sans ce suivi, le travail du professeur reste tronqué : un enseignement qui ne trouvera pas un feed-back dans l'apprentissage des élèves est un effort qui n'a pas servi à grand-chose ;
- Ne passer à la phase d'enseignement/ apprentissage suivante qu'après avoir tout bâti sur des bases solides (soutien et remédiation sont des pièces maîtresses).

Exemples de consignes à programmer en auto-apprentissage :

- Diversifier les approches lectorales surtout : la lecture cursive, la lecture tabulaire, le GT, la lecture consignée et la recherche documentaire ;
- Des exercices d'application, d'entraînement et de transfert ou de réinvestissement ;
- Des exercices d'imitation selon un canevas donné, de combinaison, de composition ou de mémorisation ;
- Des exercices de réflexion, de compte rendu, d'analyse et de synthèse ;
- L'intelligence et la créativité didactique et pédagogique du professeur sont très sollicitées.) ;

- Le QCM (confectionné par le professeur en prenant en considération le niveau des élèves et leurs rythmes d'apprentissage) ;
- Le texte à trous que les élèves s'évertueront à remplir suivant ce qui est dicté par voisinage langagier et contexte thématique ;
- Des tableaux à remplir. Exercice destiné aux niveaux les plus élémentaires.

## 6. Pour ne pas conclure

L'EAD est une nouvelle expérience qui est à son stade embryonnaire, elle mérite, donc, d'être développée, généralisée et pérennisée. Somme toute, c'est le moment ou jamais d'accorder plus d'intérêt aux recherches scientifiques et académiques relevant du domaine éducatif qui est évidemment le tremplin de la réussite de tout projet sociétal. Alors, offrons à nos progénitures un avenir meilleur grâce à un enseignement équitable et qualitatif.

L'espace pédagogique virtuel quoiqu'il soit une nécessité actuellement pour garantir un enseignement pour tous, dans un contexte pédagogique exténué par des crises successives notamment le surcharge des classes qui dépassent parfois 50 apprenants et des amphithéâtres encombrés surtout en première année, se présente comme une alternative prometteuse pour sauver le système d'éducation et de formation d'une chute verticale. L'explicite qui pourra, la crise sanitaire était une opportunité pour réfléchir l'espace d'apprentissage autrement. C'était une occasion favorable afin que tout le monde, décideurs, enseignants et parents utilisent les technologies dans les actions pédagogiques. D'ailleurs, c'est la seule solution pour maintenir un EAD et garder par conséquent le contact avec les apprenants. Toute instance pédagogique commence à comprendre actuellement l'utilité des technologies qui certes ne pourraient jamais remplacer l'enseignant de l'école, mais elles restent quand bien même un véritable atout pour résoudre partiellement des problèmes dans un pareil contexte de crise pour assurer la continuité pédagogique.

Somme toute, on assiste à l'instauration d'une nouvelle culture éducative basée sur un changement de comportement de la part de tous les acteurs du système éducatif. Comment sommes-nous passés de l'urgence de crise à la remédiation aux dysfonctionnements curriculaires pour n'aborder que l'essentiel du changement qui s'imposait à nous et à le transformer en réussite ? L'expérience d'apprentissage doit être donc redéfinie à la lumière des espaces diversifiés et complémentaires comme l'a rappelé pertinemment Giorgini (2016, p. 186-187) « nous passons d'un monde du lieu à un monde des lieux. Lieux matérialisés et espaces dématérialisés s'enchevêtrent, s'interpellent, s'enrichissent mutuellement, se confondent et se confrontent. » Nous assistons donc à une intégration permanente de l'espace physique à une digitalisation accélérée.

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# **CHAPTER TWO**

# **SOCIAL IMPACT AND RESILIENCE**



## Influence of Heuristics on Donations

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**Abstract:** *One of the most intriguing aspects of societal behaviors is the choice to donate to charity. There are wide differences in how many people participate in charity and how much they donate. The following study helps identify how age and other factors that accompany it, such as income and job status, contribute to how much an individual donates to charity. Participants in this study were given \$100, then notified of necessary payments and the cost of living. Finally, each participant was given either ten seconds or ten minutes to make a decision about how much to donate to charity. The results show that younger participants donated significantly less than older adults did. Furthermore, both age groups donated more when they had more time to reach a decision. These differences can be caused by the fact that older adults tend to have a larger and more stable income, leading them to be more generous with their spending than younger adults, who generally testify to living paycheck to paycheck. Older adults also have a higher influence of oxytocin, the hormone for happiness or satisfaction, when they make donations. In addition, both age groups could have donated more when they had more time available, because they have more time to justify their costs and assess the benefits more proportionately. This study can be extremely beneficial to charitable organizations in deciding target audiences, fundraising strategies, etc., to raise more for their cause.*

**Keywords:** *Societal behaviors, impact factors, donations, charity*

### 1. Introduction

The average person has to make many daily choices. What type of coffee would you like today? Where do you want to go for lunch? What brand of cereal do you want to buy? The most common response to these types of questions is the 'regular'. The regular happens to be what an individual is accustomed to, a safe option that will be satisfactory. Choosing the 'regular' option is an example of a heuristic. A heuristic is a rule-of-thumb that can allow one to make everyday decisions quickly. However, using heuristics might not always lead to choosing the most efficient choice. For example, another brand of cereal could be cheaper, healthier, better tasting, etc. However, testing out and comparing all the brands of cereal the grocery store offers would be too expensive and time consuming, costing a lot more than the marginal difference between them. No one wants to use full brain power on every decision. Therefore, people rely on heuristics, or their safe choice, to save their time, brainpower, and money.

Heuristics can not only influence everyday decisions such as ordering restaurants or choosing a font for an assignment, but also not-so-regular spending decisions, such as donating to charity. Generally, people do what they are expected to do. A generous person is expected to donate more, and they usually do. The same can be said for ungenerous people who are expected to donate less. This judgment of people can be made primarily from a person's everyday activities, which also affect their heuristics. It is important to keep in mind the importance of a person's habits influencing every decision they make.

People differ in their heuristics due to the different proportions of costs and benefits for each person. "People are impatient - they like to experience rewards soon, and delay costs until later" (O'Donoghue and Rabin, 1999, p. 1). The paper by O'Donoghue and Rabin introduces the concept of time disproportion. People generally do what gives them the most happiness immediately, regardless of the costs that they might face later. The concept of instant gratification causes people to choose the option that makes them the happiest in the moment, even if it is detrimental to them in the long run. For example, many eat junk food despite wanting to maintain a healthier diet in the long run, because junk food provides them with more instant utility rather than a healthier diet, which proves useful far in the future. This time disproportionality is not only present in food, but in most transactions in which humans are presented the choice between pay now or pay later. Many try to overcome this blindness by overestimating their future costs when they spend, which can also be detrimental to maximizing utility in purchases. Charity gives people a sense of satisfaction or happiness, providing them with the motivation to donate. This utility varies within people, further leading to the large differences of donations.

Although heuristics and disproportion of costs vs benefits play an important appeal to those making decisions on the spot, it is important to consider how the increased time given to decide affects one's thought process as well. Before making large purchases or investments, many people often request for time to think through their options and reasoning whether the buy is worth it. This time either allows them to justify their purchase before following through or causes them to back out of the transaction as the reality of other financial burdens or better investments becomes more prominent. The following study focuses on how increased time to make decisions affects donor behavior, measuring the amount of money donated from each age group. The study can help provide insights about how different ages value charity, and how general spending behavior across the different age groups can also contribute to the decision they have to make in the study.

## **2. Hypothesis**

When people are presented with rapid decisions, they tend to make more mistakes. They rely on their heuristics to make split-second decisions. On instinct, people tend to underestimate or overestimate their costs and disproportionately assess present rewards vs future costs. In the case of charity giving, there is extrinsic and intrinsic motivation to donate. Internal happiness and feelings of self-satisfaction (intrinsic) or image motivation (extrinsic) are possible factors that can cause people to donate. When someone decides to give to charity, these are the rewards that people receive. The cost is the monetary value the person has given. At the moment, when people are asked to make split-second decisions, these monetary costs might not seem as high, as the opportunity costs for them at that moment are not as high - there is not much one can do with that money at that exact time. However, the opportunity costs are higher in the future, when that money could have been used for other transactions, such as grocery shopping, or going to the movies. Therefore, when people are presented with a very short amount of time to make their decision, they will instinctively only consider the opportunity costs of that moment. However, if they have more time to decide, the opportunity costs of the future will also weigh in on their decision, causing them to balance the total costs and benefits more proportionately, and consequently donate less. Many people often try to beat this principle by overestimating their future costs.

The fear of running out of money is also very prominent in mindsets. As most of society is raised on the principle that saving money is better, people tend to spend as little as possible on non-essential transactions. As they grow older however, the budgeting and allocation fears become less prominent as they become more aware of how much money they really spend and understand that more can be spent



on non-essentials. Therefore, the decision of amount to donate could also be affected by age and experience, as older individuals have a better idea on how to allocate their finances, even under a time restraint, as they have much more experience doing it. A study by Josh Harden, Ian Jukes, and Paul Joyce shows that younger adults are less likely to donate, due to their smaller paychecks and general spending habits. Young adults spend very little on non-essential items every week, and this heuristic carries over through donating behavior too - they generally donate less than older adults. The fear of not having enough money is more prominent in younger adults, who do not have as much experience budgeting, than in older adults (Harden et al., 2015).

Furthermore, older adults, as shown in a study by Paul Zak, are more likely to donate due to the higher influence of oxytocin. Oxytocin is a hormone that can induce anti-stress results, such as lower blood pressure, cortisol, and stimulates feelings of satisfaction and positive social interactions. The study shows that more oxytocin is released in older adults after donating than in younger adults, proving that older adults have more utility, or satisfaction from donating. Older adults also donate more regularly than younger adults, and spend more on non-essential items each week, highlighting the different heuristics used in their everyday lives. Therefore, it can be predicted that older adults are expected to donate more on impulse than younger adults are. However, as both groups have more time to think and budget, perhaps the amount donated will become closer to being equal as the balance between costs and rewards becomes more proportionate.

### **3. Experiment**

This experiment was designed with the intent of measuring the discrepancy of time available and age when making decisions within younger and older adults. The sample size included individuals who (for the most part) earned their own money through part-time or full-time jobs. Adults who were reliant on others' money were excluded from this study, because the true cost contemplation and mindset of budgeting are not as distinguished. The sample was taken through random selection in a common public restaurant. The participants were asked for gender, age, and job status to validate and categorize them into the test groups. 16 adults aged from 19 to 57 were split into four groups. The first and second groups consisted of 4 adults each aged 19 to 27. The third and fourth groups consisted of 4 adults each aged 28-57. The four groups were nearly identical in gender distribution. The number of part-time and full-time workers differed within age groups, but the ratio stayed the same within each age group. Each participant was given \$100 and the following instructions: "You have this \$100 to sustain you throughout this month. Your costs include: rent = \$20; groceries/toiletries = \$20; other bills = \$10. You have \$50 to spend however you want: the movies cost \$5, going out to a nice dinner costs \$8, a day trip costs \$15, etc. Some of this money you can choose to donate to a charity (of your choice)." The first and third groups were then asked to donate to charity on the spot and given 10 seconds to put the money in the donation's 'box'. The second and fourth groups were asked to donate to charity as well, but they were given ten minutes to decide the amount and donate. The amount that each person donated in both groups was not announced to the rest of their group, taking away the extrinsic image motivation, and therefore studying solely the balance between intrinsic motivations and the monetary costs of donating.

## Results

<b>group one</b>	young adults	10 secs			
gender	female	male	male	female	
age	23	20	27	19	22.25
job	full time	part time	full time	part time	
amt donated	\$8.00	\$5.00	\$7.00	\$5.00	\$6.25
<b>group two</b>	young adults	10 minutes			
gender	female	male	female	male	
age	24	24	20	25	23.25
job	full time	part time	part time	full time	
amt donated	\$10.00	\$8.00	\$9.00	\$12.00	\$9.75
<b>group three</b>	old adults	10 secs			
gender	female	male	male	female	
age	42	28	52	50	43
job	full time	full time	full time	full time	
amt donated	\$15.00	\$8.00	\$20.00	\$17.00	\$15.00
<b>group four</b>	old adults	10 minutes			
gender	male	male	female	female	
age	57	30	41	37	41.25
job	full time	full time	full time	full time	
amt donated	\$20.00	\$10.00	\$20.00	\$18.00	\$17.00

The data displayed in the chart is the raw data taken from the participants. The last column shows the average age and money donated from each age group. Note that the gender distributions of each group are identical, and the job status within each age group is as well.

### 4. Reasoning

After documenting and analyzing the results, it is clear that the hypothesis proved to be true. When the results for the four test groups were averaged out, substantial differences were noted. Firstly, focusing on the 19-27 age group, the quick decision group donated notably less than the group that had more time. This could be due to the reasons mentioned earlier, due to the disproportionality of the costs and benefits, along with the fear of running out of money to spend by the end of the month. The result of younger adults donating less does not necessarily relate to being less generous or charitable. It could be the result of less available money, lower spending habits, etc. When people start out at the beginning of their career, they typically earn smaller paychecks and live on a stricter budget. A large majority of people who have just started their careers live 'paycheck to paycheck', making them more conscious of everyday spending, and cutting back as much as they can in order to save for the future, as most of society has been taught. Social norms express that spending is commonly associated with negative results, such as going bankrupt, etc. Saving is encouraged from a young age. Therefore, when people who do not have as much money or experience to make their everyday decisions, they fall back on the one thing they believe will never fail them: saving.

People are also taught and warned more about the costs of monetary transactions, rather than the benefits it might bring, canceling out the principle mentioned earlier about disproportionate costs in the now vs later. These lessons play an important role in the habits of young adults. However, as they get older, the value and habits of money change. Older adults not only have more money, not only moving away from the paycheck-to-paycheck lifestyle, but also making more non-essential transactions. It can be assumed that older people do not see saving as much money as possible the main goal, and instead balance utility and costs more proportionately. Therefore, it can be assumed that older adults are more likely to spend more on things such as charity. This is supported by the results of the study, which show that on impulse and with ample time to decide, they donate more than younger adults.

However, contrary to the hypothesis, older adults did not donate less when they had more time; they donated more. A possible reason could be the same as younger adults, that they figured that they could bear to part with more money and still survive until the end of the month. Perhaps it could be the saving habits and nature still in play to a certain extent, causing people to spend less on impulse. When people have more time, it also helps them justify spending their money to a greater extent, making them willing to spend more. This is evident especially in large transactions, such as buying an expensive television, or a new phone. On impulse, when people see the price tag, they are unwilling to buy the product. However, when they have more time, it allows them to justify the money spent, whether it be a quality investment, a necessity, for a good cause, etc. In this study, more time allowed people to justify donating more money towards a good cause. Overall, it is evident that varied everyday spending habits, lessons, and disposable income played an important role in the different choices that the participants made.

The findings in this study can be extremely important for charitable organizations, helping them find more receptive target audiences and raising more money for their causes. The results of this study encourage charities to appeal more to older audiences, who donate more, on impulse and after contemplating, than younger adults. The results of this study also encourage organizations to give people more time to make their donations to receive larger donations, perhaps providing an online platform or informing the individual that the donation can be made later on, after they had an opportunity to think it through.

## **5. Conclusion**

Despite the strong reasonings found in this study, it is crucial to note that these characteristics might not apply to all of society due to the many limitations of the study. The small sample size, along with discrediting race, family characteristics, etc, in the sample collected can cause biased results in this study. In future repetitions of this study, a larger sample size is recommended. Furthermore, all participants in the future should be given both decision times, first making the ten second decision and then being given ten minutes to review and possibly change their donation. Other factors that might influence a person's decisions in this study, such as family donating behavior, mood at the time, and differences in salary and work should also be taken into consideration to study what really causes people to donate more or less.

To conclude, the results of this study, though limited, can be highly beneficial to the many causes that people support in charity, providing them with strategies that will help them raise more funds. Simply put, it was found that older people tend to donate more, because they generally have a higher disposable income, and gain more happiness from donation than younger adults do. This study highlights how heuristics and everyday spending habits can play a large role even in non-regular decisions that many people make. With further studies in the future, it is evident that more information, in addition to age, will be found relating to the causes of the discrepancies in donating to charity.

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## Community Interpreters in a Changing World: The Resilience Factor

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**Abstract:** *As the world becomes more interconnected, the demand for community interpreters rises to help to bridge communication gaps. Community interpreters, also known as public service providers, facilitate communication within societies with culturally diverse groups. Working in demanding settings requires community interpreters to possess many skills, including stress management and an awareness of mental health risks. Recent studies have shown that these interpreters often face emotionally challenging situations, highlighting the need for resilience as a key skill. Integrating resilience training into interpreter education is essential. This paper aims to explore the concept of resilience in the context of community interpreting and assess the gaps and best practices in community interpreting education in Turkey. The study involves an examination of the curricula in 66 Turkish universities offering translation and interpreting diplomas in nine languages and 23 associate degree programs in applied translation and interpreting in two languages, concluding that community interpreting courses, considering their historical increase in numbers, must be multiplied and personal well-being endeavors for community interpreting specifically must be included in training to prevent future complications in community interpreters.*

**Keywords:** *Community interpreting, resilience, interpreter education, intercultural communication*

### 1. Introduction

In our technologically driven, interconnected world, clear communication is essential as cultures and people merge globally. Community interpreters are crucial for integrating the increasing number of migrants and refugees, with UNHCR's 2022 report noting 58,457 resettlements and 6.6 million people gaining residency (UNHCR, 2023). These interpreters not only facilitate language translation but also bridge cultural divides, promoting mutual understanding and tolerance in diverse societies. Their role is key in ensuring access to services, fostering shared values, and contributing to peaceful communities.

Community interpreting, or public service interpreting, involves linguistic and cultural translation in local settings like police stations, health centers, and schools, essential for addressing personal and critical issues (Wadensjö, 1998; Kurultay & Bulut, 2012; Şan, 2021). In Turkey, this practice is prevalent in health, legal, sports, disaster response, and migrant assistance (Doğan, 2015). Unlike conference interpreting, community interpreting is deeply personal, occurring in environments where individuals tackle significant life matters (Hale, 2007, p. 26). It caters to the needs of diverse communities, aiding in the accessibility of public services in multicultural societies, which is vital due to the global impacts of migration and globalization.

Community interpreting, prevalent in many countries, holds importance in Turkey, not just for linguistic diversity but also due to its unique vulnerabilities. Turkey's geological and geographical characteristics predispose it to severe natural disasters like earthquakes, wildfires, landslides, and floods. It stands 113<sup>th</sup>

on the World Risk Index and is third worldwide in earthquake-related deaths. The nation's susceptibility was highlighted in 2021, when 299 wildfires devastated its southern and western parts, leading to a \$176 million allocation in 2022 for firefighting helicopters. Furthermore, the frequent seismic activities, with a substantial earthquake every five years and at least a magnitude five annually, accentuate the indispensable role of AFAD (Disaster and Emergency Management Authority) in disaster management and readiness (Okumuş, 2022). In addition to natural disasters, the European Civil Protection and Humanitarian Aid Operations (Türkiye, 2023) reports that the country is currently hosting the largest refugee population in the world with close to 4 million people, who mostly live outside camps (Türkiye, 2023). From this perspective, the number of studies on community interpreting in the literature has begun to increase in recent years as help in large scale disasters throughout history have shown that usually they move from the west to the east (Kurultay & Bulut, 2012, p. 9).

To that end, existing studies concerning community interpreting heavily focus on the contexts of disaster relief, reviewing the practices in the field. Kurultay and Bulut (2012), revisit community interpreting under the light of Emergency and Disaster Interpreting (Afette Rehber Çevirmenlik/ARÇ) as a type emerging from Turkish experience, observed after 1999 Marmara and Bolu/Düzce earthquakes when foreign search and rescue teams arrived to assist. Doğan (2015) examines The Disaster Guiding Interpreting Organization, integrated under the AFAD (Disaster and Emergency Management Authority) strategic framework, underlining the need to have a team of community interpreters who are well-trained, certified, and have participated in drills, and ready to mobilize swiftly when disaster strikes (p. 65).

Doğan (2012) surveyed ARÇ volunteers post the 1999 Marmara earthquakes, highlighting training initiatives by academicians with Turkish Civil Defense and the Turkish Translation Association. Approximately 300 individuals completed a 100-hour training, with another hundred unable to finish due to time constraints. ARÇ's human resources include variously trained individuals, from basic trainees to seminar attendees and active organization members (Kurultay & Bulut, 2012, p. 13). Doğan (2023) later explored community interpreting's impact on social change, emphasizing its vital role beyond mere language translation, as articulated by Arı (2014). In disaster scenarios, community interpreters are crucial for effective aid distribution, facing unique challenges due to the demanding nature of their work.

Turkish studies have shown that voluntary services for interpreters often lack specific training except for need and event-based cases. However, there is a clear and pressing need for such training. Interpreting roles, particularly in public services and disaster relief scenarios, present numerous challenges that underscore the importance of preparation. After all, the key factors necessary for ensuring accessible and comprehensive interpreting services in the public sector have been listed as (1) the state's dedication to the provision of interpreting services, (2) the necessary legal arrangements introduced for this purpose, (3) a (preferably university-level) training regime, (4) a certification system and (5) professional associations that lay down standards of professional conduct (Ozolins, 2000; Ozolins, 2010; Pöchhacker, 1999; Mikkelsen, 1996; Conker, 2020). Similarly, Hale (2008) argues that lack of recognition for the need for training, absence of a compulsory pre-service training requirement for practicing interpreters, shortage of adequate training programs and quality and effectiveness of the training represent the fundamental issues surrounding community interpreting (p. 163).

Sandrelli (2001) differentiates between professional and basic interpreter training. Professional training often comes from non-academic bodies, involving collaboration with experienced interpreters and other professionals in the field. In contrast, academic institutions usually provide basic training, either as a



standalone elective or as an introduction to more advanced Conference Interpreting. While these categories describe most European Community Interpreting courses, it's not a universal standard, especially outside Europe. Some university programs offer a mix of practical and theoretical training, occasionally with external certification (Sandrelli, 2001; Hale, 2007; Niska, 2005). In the Turkish context, however, a realistic assessment in practice shows that most community interpreters in Turkey have not received any training in translation or interpreting to the extent that in various studies on community interpreting, it is emphasized that people who do not know the language of the country are often accompanied by spouses, relatives, neighbors, friends and even children in community services (Bahadır, 2015, p. 48; Ross, 2018, p. 285; Salman, 2007, p. 252; Şan & Kahraman-Duru, 2020, p. 821; Turan, 2016, pp. 221-126). Şan (2021) also declares that in Türkiye, the sudden need has not been met with professional translators but with the assignment of people who know the language in a study they conducted with community interpreters, who specifically work with mental health services provided to refugees. There is a cross-cultural collaboration in this sense as the cultural facilitator role of the interpreters are highlighted. Given this reliance on often-untrained individuals and the significance of the interpreter's role, there is an urgent need to establish and promote formal community interpreter training programs. Introducing structured training would ensure that interpreters are equipped with the skills and knowledge necessary to bridge linguistic and cultural divides effectively and professionally.

In their meta-analysis of community interpreting in Turkey, Şan & Koçlu (2020) found only 39 publications, with a notable increase post-2017, likely due to migration and multiculturalization trends. However, only three focus on community interpreting education, just eight percent of the total. Despite the evolution of academic translation and interpreting education in Turkey, reflecting market and academic changes, community interpreting courses remain scarce. Helalşah (2021) notes this training gap, suggesting content for syllabi. Erkırtay & Kınca (2021) highlight healthcare interpreters' feelings of underappreciation and disrespect. Polat Ulaş (2020) discovered that out of 34 non-professional interpreters at SGDD-ASAM, only 14 had training, with unspecified formality. Eryılmaz & Demez (2021) discuss risks court interpreters face, including public access to their information, potential violence, dress code for identification, and psychological stress (pp. 143-144).

Many community interpreters lack formal training, raising concerns about their professionalism and the quality of their work. This deficiency can lead to misinterpretations, personal biases, terminology mistakes, language shortcomings, poor cultural understanding, and an inability to understand others' perspectives, as highlighted by Koçlu (2019, p. 177). A study from the University of Hamburg found that untrained interpreters, particularly in healthcare, can cause miscommunications due to altered translations (Slapp, 2004, p. 56). Alimen (2018) emphasizes the need for training in accuracy, transparency, ethics, confidentiality, direct communication, impartiality, professional boundaries, intercultural communication, and professional behavior, underscoring their significance in community interpreting (Bancroft, 2005).

In terms of community interpreting training in Turkey, Gürçağlar and Diriker (2004, pp. 74-75), in their study on the status of community interpreting courses in Turkey, state that there are courses on community interpreting at Istanbul University and Boğaziçi University, but that these courses lack the necessary skills for community interpreting. While the name of the course at Boğaziçi University is "Community Interpreting", at Istanbul University, under the title "Types of Interpreting", it is called "Guiding Interpreter in Disaster". Arslan and Durdağı (2018) conducted a descriptive study to detect the programs, providing interpreting training in Turkey, assessing the syllabi and course content of offered community interpreting courses. Accordingly, they found a total of 54 interpreting programs in 19 public and 15 private institutions.

The majority of community interpreters currently operating in the field are untrained and offer their services voluntarily (Angelelli, 2004, p. 51). This presents a significant challenge. While there's a clear necessity for structured community interpreting training, available programs remain limited (Roberts, 1997, p. 16). While achieving a comprehensive education in academic translation may be challenging, it's crucial to prepare future translators with a well-rounded and practical training. Effective lesson planning can ensure targeted training. Universities that offer translation courses play a pivotal role in shaping a translator's skills. The theoretical insights gained there significantly influence their professional conduct. Instead of just handing out set formulas, these academic institutions should equip students with adaptable skills. Given the evolving demands of society and the growing significance of "community interpreting" within the translation discipline, there's an evident need to revisit and refresh the curricula. To that end, this study aims to delve into the translation and interpreting curricula in the Turkish context to provide a fresh starting point for new regions, considering the country's immense experience with various economic, social, political roles and susceptibility to natural disasters, hence generating platforms for community interpreters.

## **2. Material and methods**

The study adopts a descriptive methodology. To that end, all undergraduate programs offered in Türkiye with the names "Translation Studies" and "Translation and Interpreting Studies" regardless of the languages were collected in a list. The list was prepared with the help of the website of Turkish Higher Education Council's index of undergraduate programs (YökAtlas, 2023). The population for the research is designated as the Turkish universities and the sample consisted of universities that offer associate and undergraduate degrees in translation and interpreting. The current programs were identified, before each program's website was reached through the corresponding university's website. The preliminary list reveals 23 universities for two-year associate degrees in two fields, which can be observed in Table 1. For the undergraduate programs, the sample was larger, and a more detailed view can be observed in Table 2.

Table 1. Two-year associate degree programs in translation and interpreting

Program name	Number of universities
Applied English Translation	22
Applied Spanish Translation	1

Table 2. Four-year undergraduate degree programs in translation and interpreting

Program name	Number of universities
Translation & Interpreting (English)	55
Translation & Interpreting (German)	8
Translation & Interpreting (Arabic)	10
Translation & Interpreting (Bulgarian)	1
Translation & Interpreting (Chinese)	1
Translation & Interpreting (Farsi)	1
Translation & Interpreting (French)	9
Translation & Interpreting (Japanese)	1
Translation & Interpreting (Russian)	4
Translation Studies	2

### 3. Results and Analysis

The analysis shows that while associate degree programs typically offer courses on basic and advanced interpreting skills, note-taking, and consecutive interpreting, with some providing simultaneous interpreting, only one university offers community interpreting as an elective. The absence of detailed syllabus information due to the unavailability of the Bologna package or online resources makes it difficult to assess these programs further. It's hypothesized that the omission of community interpreting may be tied to the pathway allowing associate degree students to extend their studies to a four-year degree, possibly covering community interpreting therein.

For undergraduate programs, the investigation was more thorough, focusing on whether community interpreting is included and the specifics of the course content. Among 92 programs across 66 universities, findings revealed that 35 universities do not offer community interpreting at all, six have it as a mandatory course, and 23 present it as an elective. Information on the curricula of two universities was missing. Universities offering translation and interpreting in multiple languages generally have consistent professional skills and theoretical courses, differing only in language offerings, leading to the exclusion of redundant programs from the analysis.

Out of the 6 compulsory community interpreting courses, one of them is named community interpreting in healthcare and one is offered in two cycles - community interpreting 1 and community interpreting 2. As for the elective options, the course is offered under different names; community and disaster interpreting; emergency and disaster interpreting; interpreting in public services; and court interpreting. Similarly, one university, which does not offer community interpreting as a course, has three separate elective options in the curriculum called sports interpreting, health interpreting and legal interpreting. Still, this item was excluded on grounds of the specific focus of this paper. In addition, the course content or Bologna packages, hosting the course details of 10 universities with elective or compulsory options of community interpreting, were unavailable. The 22 available course content and syllabi were analyzed and synthesized for practical purposes for this study and commonly observed themes are presented in Table 3.

Table 3. Recurring topics in community interpreting syllabi in Turkish universities

Fundamental concepts	Definition of community interpreting; duties and responsibilities; work ethics
Practical exercises	Classroom practice; role-playing; reenactments; case studies
Modes of interpreting	Note-taking skills; sight translation
Technical knowledge	Terminology; diverse language use; memory improvement; interdisciplinarity; cultural similarities and differences
Interpersonal and cross-cultural skills	Overcoming difficult situations; sensitivity to clients/different cultures
Application fields	Social services (housing), legal services (judicial proceedings, mediation, criminal acts), disasters (earthquakes, floods, hurricanes), healthcare (doctor's appointments, counseling, psychology and psychiatry interviews), education (parent-teacher meetings), emergency relief, conflict zones, sports, national and international organizations during disasters (NGOs, UN, UNHCR), business settings.

While almost all of the courses offered in various ways be it compulsory or elective, defining the profession, mentioning the work ethics and the roles community interpreters play appear to be included in all syllabi alongside note-taking skills. On the other hand, managing difficult situations is only mentioned in one syllabus and does not include any details. The implications of this finding will be discussed further below.

#### **4. Discussion and Conclusions**

The examination of community interpreting courses' availability and syllabi in Turkish universities can yield multiple inferences, but only two will be pointed out in this paper. First of all, the analysis shows that there are 23 community interpreting courses taught at 66 different universities across multiple languages. A similar study was conducted in Turkey by Arslan and Durdağı (2018), which concluded that there was a total of 54 programs in 34 universities and only 22 community interpreting courses. According to the findings of this study, the past five years increased the number of universities and translation degrees offered but increased the community interpreting course number by only one. Considering the natural proclivity and susceptibility of the country, the first observation is the emphasis on the need to increase the number of community interpreting courses across relevant programs at universities.

The second observation concerns course content. A synthesis of course content and syllabi reveals that community interpreting courses heavily focus on modes, techniques and manners. Hale (2007, p. 177) outlines the acknowledged necessary knowledge and skills for community interpreters, which encompass understanding of professional matters, proficient language abilities, exemplary listening and comprehension, superior memory capacity, sufficient public speaking and note-taking abilities, expert skills in simultaneous, consecutive interpreting and sight translation, and effective management skills (Dueñas Gonzalez et al., 1991; de Jongh, 1992; Laster and Taylor, 1994; Dunnigan and Downing, 1995; Edwards, 1995; Ginori and Scimone, 1995; Colin and Morris, 1996; Emerson Crooker, 1996; Gentile et al., 1996; Mikkelsen, 1996; Benmaman, 1997; Nimrod and Fu, 1997; Hertog and Reunbrouck, 1999; Sandrelli, 2001). According to the findings of the study, prepared course content in Turkish universities respond to all of them at different extents. Some even spare a week in the syllabus outline concerning how community interpreters can be more aware of their surroundings and clients. Yet, in current times when intercultural communication and global instability prevails, no information is explicitly provided as to how community interpreters can protect their mental health or taught wellness methods for the very challenging tasks they shoulder. Especially in countries such as Turkey, where economic, political and natural hazards are frequent, such matters should be more highlighted.

Community interpreters enter into people's private lives as part of their work. Often intimate matters that cannot be shared with anyone else are retold by the community interpreter in another language. From this point of view, community interpreting is a highly humanitarian job in which emotions and thoughts are often expressed (Başaran Eser, 2013, pp. 435-436). As a result, it might take its toll on interpreters. The emotional toll can manifest as burnout syndrome, with symptoms ranging from traumatic countertransference, anxiety, and stress to physical health issues and fatigue. Although scarce, there are studies in the literature that support the need for interpreters to take measures to protect their well-being and become more resilient.

In a survey they conducted with community interpreters in healthcare settings during COVID-19 lockdowns, Şan & Kahraman (2020, p. 841) found that 52.8% of interpreters were psychologically affected for different reasons such as having to deliver bad news, lack of physical proximity and social distancing with patients during the pandemic, long working hours, having to do other tasks in addition to interpreting, the potential

PTSD of their tasks as well experiencing frequent worry and fear. Stamm & Figley (2009 as cited in Bancroft et al., 2022) also argue that interpreters may develop some symptoms, which are very similar to those experienced by trauma survivors with whom they work. Valero-Garcés (2015) examines the preliminary studies to assess the impact of emotional and psychological factors on public service interpreters, while Loutan et al. (1999) found in their study that 28% of the interpreters who worked with the Red Cross were exposed to major traumatic events. Additionally, Baistow (2000) found that 55% of the public service interpreters in six different European countries report significant emotional stress, while 39% of them reported sometimes experiencing strong feelings of anxiety, irritability, fear, mood swings, confusion or feeling disturbed. Working in the field, community interpreters have reported psychological, physical, professional, spiritual and emotional trauma experiences (Ndongo-Keller, 2015). Thus, teaching future community interpreters how to cope is essential too. For example, Valero-Garcés & Tipton (2017, p. 217) summarize pilot studies, where interpreters learned techniques for stress management, such as grounding and diaphragmatic breathing. They were taught to handle silence and take rejuvenating breaks during sessions. Post-session, they could debrief, seek social support without breaching confidentiality, and use self-care rituals. After intense sessions, they were advised to rest and consider therapy if needed. Still, teaching interpreters to avoid developing vicarious trauma has been a great challenge in multiple locations and vicarious trauma in interpreters must therefore be addressed in training and practice (Valero-Garcés, 2017, pp. 213-214).

In community interpreting, challenges include clients' expectations of loyalty from interpreters who share their ethnic or religious background, compromising neutrality. One solution could be assigning separate interpreters for each party, though this increases costs (Pöllabauer, 2004; Gile, 2009, p. 35). Interpreters, particularly immigrants, may also face racism or discrimination. Erkırtay & Ünal (2021, p. 18) propose that sentiment analysis and opinion mining could enhance understanding of the emotional challenges interpreters face in this field.

A recent study by Palamarchuk & Vaillancourt (2021) highlights that a range of events and behaviors can serve as both minor and major stressors, leading to intense negative emotions such as fear, betrayal, confusion, and powerlessness, collectively referred to as psychological stress. These feelings can evolve into physical ailments over time. In such contexts, the idea of resilience becomes pivotal. Though the term resilience is characterized in diverse ways across various fields, its core essence remains consistent. In the broadest sense, resilience is viewed as the trait that protects the individual against the impact of an adverse event, a tool to help an individual recover from the impact of an adverse event, a process of adapting and recovering from the impact of adverse events (Hu, Zhang & Wang, 2015; Lewitus & Schartz, 2009; Lereya et al., 2016 as cited in van Schroyen Lantman et al., 2017; MacAslan, 2010). Common signs and symptoms of vicarious trauma can thus include social withdrawal, aggression, greater sensitivity to violence, sleep disorders, exhaustion, headache, nightmares, intrusive imagery, cynicism, numbness, sexual difficulties, eating disorders, helplessness, difficulty in relationships, among others.

Community interpreters, particularly those working with refugees and asylum seekers, may experience vicarious trauma when exposed to narratives of war, torture, and violence. Eser (2020, p. 92) acknowledges this risk, while Bancroft et al. (2022) provide a guide for interpreters dealing with trauma survivors, emphasizing the importance of acknowledging secondary trauma and promoting interpreter wellness. Healthcare professionals face similar risks of emotional and psychological stress, which can also affect interpreters, potentially impacting their work quality and efficiency (Blair & Ramones, 1996). Duman (2019, p. 181) notes that negative emotions can burden interpreters' cognitive functions. An Australian study



found that 60% of community interpreters regularly encounter traumatic content (Lai, Heydon, Mulayim, 2015), highlighting the need for preparedness in training programs. Swain (2011, p. 50) emphasizes the importance of interpreters conveying messages with accuracy and neutrality, including managing non-verbal cues. Despite the recognition of burnout and trauma in various professions, there is a gap in research specifically addressing community interpreters' experiences with trauma (Ndongo-Keller, 2015, p. 338).

Given these challenges, it is crucial to monitor and manage the emotional well-being of interpreters, especially in community interpreting where emotional encounters are frequent. Identifying and addressing negative feelings can help improve their mood, reduce the emotional strain, and in turn, enhance professional quality. By converting negative thoughts into positive ones and providing supportive environments, the mental and emotional health of interpreters can be safeguarded, ensuring better professional outcomes for every party involved.

### 5. Contributions and limitations

This study aims to examine the current Turkish pedagogical context with respect to community interpreting training on collegiate levels and the inclusion of resilience factor. Exploring the integration of the resilience factor in interpreter training as well as representing a starting point for potentially innovative and empowering pedagogical approaches were hoped to be provided. The study is limited with Turkish curricula specifically to provide a local outlook for potential future cross-cultural collaborations. Also, the research study is limited with online resources and Bologna packages available for public use. Future studies can include qualitative research methods including in-depth interviews with instructors or department heads to have a better understanding on the curricula for future development suggestions. Another recommendation for future studies is to use the current study as a starting point to compare the existing curricula with other regions in varying locations.

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## Stuck under the Rubble: How Stories from Disasters Shape Global Support

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**Abstract:** *This project examines the ways in which sharing experiences of death and means of coping with them can generate multiple facets of cross-cultural learning. I first review the inevitability of death as a primary ontological truth that binds humans together which is also a generally disregarded truism. I consider a range of texts, visual and written, pertaining to the Haouz earthquake in Morocco as well as other calamities around disasters that document the solidarity that local communities have demonstrated through substantial support of the victims. Local actions in favor of victims, once broadcast, become learning platforms for other communities in need. The distress of a single community afflicted by a disaster does not automatically translate into the distress of others by dint of empathy, but such rapport emanates from the unpredictability of natural phenomena, hence the unpredictability of mass deaths. Since “stories of disaster may work as both models for and models of social practices”, the wide circulation of such stories is not only informative but also instructive (MacManus et al., 2020, 65). The element of storytelling is important insofar as narrating a story entails a singularity specific to that story. While stories of human death are as normal and mundane as those of human birth, mass deaths are not the norm, which culminate in a state of emergency. Therefore, this research aims to construe of mass disasters, and the stories that emerge therein, as venues for cross-cultural identification and learning.*

**Key words:** *Disaster, death, story, resilience, cross-cultural collaboration*

### 1. Introduction

Death is an enigmatic part of human life. It speaks to the unknown and is a source of fear and awe. Given these existential crises, humans resort to classifications that could help alleviate the lack of understanding vis-à-vis the end-of-life and the after-life. Such categorizations cast adjectives onto death that become collective attitudes. In Morocco, for instance, which is my case-study in this paper, it is not uncommon to speak of a decent death, ‘mouta mestura’; an outsider to the local culture will most probably have a hard time understanding the reference of a ‘decent death’, the attitudes it refers to and the set of criteria that create such death. A ‘decent death’ could more or less be reminiscent of Kastenbaum’s (1988) conceptualization of good death. It is one that occurs within ‘favorable’ conditions. It entails the presence of family members, dying at home, absence of exhaustion or torture when dying, not a surprise death. It refers to the bare minimum of all the criteria that lead up to a good death. I mention the ‘good death’ because it is important to see its flouting as a ‘bad death’, rampant as it is during disasters.

However, such deaths are not always possible, especially when it comes to natural disasters. Throughout history, floods, earthquakes and epidemics have resulted in millions of deaths. While it may not have been graphic in the past, current day’s mass media has made of mass deaths a graphic content. In contemporary experiences, the COVID-19 has been a contemporary landmark of media’s thirst for scenes of mass deaths. Despite lockdown that was imposed in numerous countries that turn them into apocalyptic settings, images of mass deaths have found their way to social media posts. Mass burials that depicted endless rows

of coffins adjacent a large hole dug on the ground suggestive of a mass grave due to the incompatibility between the staggering number of deaths and the meagre graveyards available. Videos of bodies stacked waiting for a burial despite logistical constraints have also partaken in the archive. Rumors have spread saying that COVID-19-infected bodies are burned, which, for some religious and cultural groups, is an affront to the dead's dignity. The discourse soon shifted of ways of which we could prove resilience, ranging from staying at home to amplifying the voices of heroic groups such health care providers (Sbahi, 2023).

In this paper, my focus shift to the study of resilience in disaster that call upon collective resilience to not only save the victims, but also properly mourn them. I advance that resilience in the face of calamities, emblematic as it is in mass mobilization, is rooted not just in emotive affinities, but in the need to existentially win over death's mystery. I focus specifically on the example of the earthquake in Al-Haouz region in Morocco since it is fraught with social, cultural and political tensions. I argue that resilience is not to be seen as purely sympathy emanating from the onlookers and delivered to the victims as a token of human's high moral grounds, but rather as itself subject to political tensions, social and economic privileges and geographical proximity.

## **2. Methodology**

In terms of methods, this article has relied on data gathered from online posts as representative of current cultural concerns (Kellner, 2003). Media has offered the public the ability to "participate in this public spectacle of death" (2023). Within this framework, I have adopted narrative analysis as a means of analyzing the coded themes recurrent in the date. On a methodological note, storying, the act of telling a story, is not seen as the ability to narrate the past, but rather be a "skill". Yet aside from the technicalities of storying the past, Brockmeier emphasizes the practical side of remembering and forgetting for the larger society, which allow us to view both forgetting and remembering at a remove from the dyad that so often governs their relationship. We are then enjoined to approach human remembering and telling as based on "interpretative choice" that equate "selection" (Brockmeier, 2002, 21), for the purpose of maintaining the cohesion of a long-standing story about- in our present study- death and dying in Morocco. Through this prism, we can view narratives as "a process experienced not as a remembering of the past but as a continuous negotiation of a present with indeterminable links to the past" (Bennet, 2003, 33). Human memory as dependent on narratives fits within the Moroccan culture as one that is emphatically pinned within oral traditions, and shows how the incursions of memory into everyday life serves a practical purpose and upset our linear view of time since it manipulates the past to serve the present.

## **3. Disaster as narrative**

Human life is itself a story. It begins with birth, develops with growth and ends with death. Hence, it comes as no surprise that life, inclusive of events, is narrated in the form of a story, with a beginning, climax and a dénouement. The disaster is converted into a national story, the dénouement being the public's show of resilience in the face of an escalating number of victims and stories of loss. At this point, a shift from individualized narratives to broadly shared stories that become national events emblematic of collective sufferings occurs. My purpose through this presentation is to examine the motivations as well as the limits behind the term 'resilience' in relation to natural disasters. Individual deaths are microscopic narratives of a human reality.

The disaster is itself a grand story, it generates multiple microscopic stories from within. The current widespread use of the media, collecting victims' stories has now becomes recurrent with different and



varied natural catastrophes around the world. Such stories ground the disaster within particular lives that have many resemblances to the viewers' lives. Instead of a natural groundbreaking disaster, personal stories of people who have survived it and others who are now bereaved make possible a personalizing of the catastrophe. Thus, making of the otherwise faceless catastrophe, a fountainhead for personal stories. Reports becomes time-consuming and intimate details occupy more space on the media as piecemeal news about the number of deaths and the details of the events and the ensuing actions and solutions and international and national succor coordinated by the local authorities are no longer sufficient. The media's accounts of disasters are hungry for personal details, which at first cursory glance, might seem to be marginal for the public. The interaction that ensues that is epitomized in likes, comments, shares, replies and thumbs up and thumbs down removes the disaster from the realm of facts and numbers and becomes malleable for public opinion and reactions. The soaring number of deaths becomes a dry piece of information. To add more precarity to death, to extirpate from the realm of the physical, the focus shifts to stories.

Etymologically, Marie-Hélène Huet (2007) writes that the word disaster" comes from 'disastro', disowned by the stars, abandoned by the cosmos. The word describes situations in which the heavens seem to betray people who were born under an unlucky star, or who lived under a fateful conjunction of planets. " Disasters follow a "largely implicit story like or narrative structure of events" (Stein, 2002, 156). At first, the story begins by a normal flow of life. Second, a "ground-breaking" event occurs that abruptly stops the foregoing flow, which corresponds to the climax of the story construction. The final section is the dénouement, a part which we will have cause to remember later. Such narrative is about the suddenly destabilized flow of life.

Like the above-mentioned elements of storytelling, disaster anecdotes follow the same steps with the eruption of the event, for example, the earthquake, as the climax. While such is naturally the most highlighted part of the story insofar as the abruptness of the event is concerned, it does not morph into a story on its own. It involves pre- and post- stages that help construct the resilience scenario in the story. They create a sense of togetherness. Resilience recognizes the existence of suffering and weakness. It acknowledges the fallibility of human beings, thus, as Heidegger says, a "being-towards-death" (1967), despite their scientific progress and anticipatory preparedness. We should be wary of hastily capitulating to the lustrous connotations of notions such as resilience, since, however positive we may want to venerate them, they presuppose an unfavorable beginning. Resilience assumes that the community or the sub-community, is falling apart and is witnessing the collapse of some of its fundamental meanings, the ones on which the smooth continuation of life is based. It is a stage of collapse where death becomes an inevitable reality. Afterwards, comes the need for help. Yet, instead of focusing on the second phase, I choose to examine the less appealing phases of the event. While more examples lead to a greater degree of validity and in this presentation, and due to the time constraints, I would like to mention specifically on one example: the earthquake of Al Haouz in Morocco on September the 8<sup>th</sup>. This event is fraught with political, social and cultural dynamics: the facts are as follows: it occurred on the 8<sup>th</sup> of September in the region of Al-Haouz whose capital is Marrakesh at 11pm, the magnitude of which was 6.8 most affected areas are located in the outskirts of Marrakesh, small barely-heard of villages. Deaths occurred in an overwhelming majority in disadvantaged areas. What is of interest here is the state of precarity in which most victims already wallow in. Help from either the authorities or independent organizations was to a large extent difficult to reach remote villages and infrastructure was almost-non-existent. The help was then delivered through helicopters, which were also unable to land as most villages are located in

mountainous areas. Their solution was to throw tents, carpets and food from the aircraft onto the people desperately waiting for assistance.

#### **4. Resilience and a rhetoric of confrontation**

The mediatization of the earthquake forms what Kellner calls “media spectacle” (2003). The wide circulation of media productions “means that the programming of the culture industries must resonate with social experience, must attract large audiences, and must thus offer enticing products, which may shock, break with conventions, contain social critique, or articulate current ideas that may be influenced by progressive social movements or creators.” (Kellner, 2003). Shots of debilitated houses, dejected families in precarious situations, bereaved parents crying for their children have been widely circulated. The mediascape romanticizes the tragedy.

What most often accompanies an earthquake or any other natural disaster for that matter, in a massive media coverage is not only a feeling of shock and utter helplessness at the number of victims that follows the disaster, but also bewilderment as to the event, the utter disbelief as to how such horrible thing could ever occur. We are not only baffled by the number of deaths and injured, but also by the mere occurrence itself, which could correspond to the first stage of grief in Kubler-Ross’ model: denial, anger, bargaining, depression and acceptance, especially when such phenomena are rarely heard of. However, the question of ‘it is unheard of by whom?’ this is a point that Stein comments on. ‘Disasters are not infrequent, subjectively, disasters feel infrequent. More precisely, disasters rarely befall us, but only if the us is defined and bounded narrowly. Part of the issue is the unit of affiliation, that it, those who feel the disasters is or was theirs. Who owns it? Whose fire or flood, is it? How narrow or broader identification with, or influence by the disaster? (Stein, 2002, 156). Before we jump into the conclusion and scale of empathy that could be demonstrated upon the happening of the disaster, we should be wary of the relations of ownership and historical and political proximity that are involved in these solidarities. First, the country, as a political entity where the disaster has occurred becomes the owner of the disaster, the shower of grief and receiver of condolences. Who empathizes with victims depends not on empathy as a distinct animalistic trait, but partially as well on historical and political identification. The earthquake of Japan of 6.3 magnitude in the coast of Ishikawa may not have resonated so much in North Africa, yet the Earthquake in El Haouz region in Morocco, made and maintained the headlines in France. The origins of such disparity, be them geographical, historical, political or ethnic are not what we will attempt to rehearse in this presentation, but what I want to underscore is that the constraints on the radius of identification and pity is limited to those whom an a priori affinity already exists.

The event of dying is given more attention because it speaks to the exception in human life. It is the time when life comes to an end, when existence takes a different form, a process which makes the living question the importance they have attached to their lives by endowing it with secure meanings. Recounting the story of death extirpates death from the realm of the deferred, from a depersonalized event and converts it into human reality. Natural disasters and the collective emotions they provoke, with a careful use of the word collective, are reflective of a break in what Giddens calls “ontological security” (1991).

However, such certainty is camouflaged by humans’ unwillingness to abandon their “ontological security” (Giddens, 1991, 92). It refers to the stability of meanings that humans give their lives and latch onto to create a sense of uninterrupted resoluteness in their everyday. Human existence, as is already discussed above, is always assailed by an unavoidable extinction. Death, and its nearness, puts the sacredness of life

into jeopardy. Thus, recourse to varied activities such as sports and diets that promise 'longevity', and political parties and associations that give feelings of belonging and fighting for a cause greater than one's life, all aspire to achieve immortality, even if on a metaphorical level. The choreographed communal removal of death from the public sphere serves as an immunization from the horror that it instills. A similar thesis was elaborated by Ernest Becker in the 1970s arguing that humans' function for the purpose of suppressing the idea of death, which is summarized in the title of his book *The Denial of Death* (1973). Joining political parties and socializing in varied ways is humans' manner of finding everlasting causes to fight for. Because these perennial issues are to surpass the mortality of individuals, they promise a sense of mortality, a sense that their contribution to eternal concerns. As a consequence, humans have found an antidote to their anxiety towards death without actually putting in in succinct word. Political parties, gym memberships, social events are but few examples of the ways people create causes then hold onto them to make sense of their lives and shield them from the fallibility of the human condition which is that they are doomed to inexistence.

Disasters destabilize humans' faith in longevity. The earthquake was not only a physical calamity brought about by tectonic movements, but it was a positive litmus test to the veracity of an uninterrupted life. The initial shock signifies the dismantlement of a myth, that of "an ontological security". It is equally important to capitalize on the nature of the disaster itself. The earthquake is not man-made; in a culture where Islam is a rooted faith, natural disasters originate in the work of Divine Reality; it is God's will, unchallenged by mere humans. The disaster could not have been prevented in any way. Before the image of collapsed homes and fallen buildings, the fallibility of humans comes into full view. Scientific advancement, in various fields, has proved human achievement as unprecedented. Human species remain remarkable in their development. Diseases that once cut life short at a young age, are now easily dodged with vaccines and promise a longer life, at least, longer in comparison to its previous length. The scenario of immortality gets debunked at the outbreak of a disaster. However, natural phenomena bear more particularity as Katz and Liebes (2010) bring up the impossibility of pointing the finger to a perpetrator.

The tragedy has disallowed a 'decent death' (*mouta mestoura*), or in terms more in line with the literature of Death Studies, a good death. Within the Moroccan culture, a good death stipulates passing away surrounded by loved ones, at an old age, and without pain. In the context of a natural disaster, it does not take much foresight to conclude that the rule of the decent death did not occur. The uncontrollability over disasters coupled with the bad deaths they violently procure temper with the prevailing aplomb and aspiration towards a decent death. It was not only the unfortunate of an individual but rather thousands of people.

Resilience is a reflex response. As people who were once sheltered and fed now found themselves bereft of the slightest decent living conditions, everyone, in their own varying capacities, felt the responsibility of extending a helping hand; NGOs mobilized to send tents, food and clothes and the rest of the basic necessities to the victims, the government opened a bank account allocated to donations, a number of politicians gave up their salary for the same cause and foreign governments, offered their help. Massive mobilization on the part of individuals have played significant roles in locating demolished villages, where network is not available.

Before a complete submission to the divine will, epitomized in acceptance of the tragedy as a national affliction, stands a rhetoric of confrontation death. Against the clock, rescue teams worked to locate victims stuck under the rubble in recondite villages. On multiple occasions, netizens shared lists of villages

who had no received succor, its people stick under wreckage. The more people shared these posts, so the logic goes, the more chances the authorities had of reaching those remote places and actually saving lives.

This disaster has initiated a dialectic with bad death as a crisis. The two terms might seem synonymous, yet Boin and Hart (2007) clearly detect the nuances in their respective meaning as follow: A crisis is “when a community of people—an organization, a town, or a nation—perceives an urgent threat to core values or life-sustaining functions, which must be dealt with under conditions of uncertainty ». A disaster on the other hand is “typically, but not universally, defined in terms of an episode that is collectively construed as very harmful” (2007) Thus, I suggest considering forms of resilience that emerged upon the spasm of the earthquake as intertwined with an adamant refusal to show failure in the face of horrific and unexpected fatalities. The end. Of the story of this disaster had to be that of triumph over uncontrolled deaths. Before a towering catastrophe, effort to rescue were seen as detractors of a narrative of vulnerability in the face of bad deaths. The fight is not only existential but also socio-economic. In point of fact, the Morocco that was severely damaged due to the earthquake could be called ‘the forgotten Morocco’ (*al Maghrib al-mansi*). Destitution, isolation and unemployment run high in these regions, even with decentralization measures. The infirmity of habitation in such villages, that could not stand strong in the face of an earthquake with like scale. This socio-economic fragility increases damages. The mass mediatization of the rescue operations has narrowed down the focus on an awfully disadvantaged part of Morocco. Death, in similar areas, bogged down by invisibility, becomes a more immanent reality, disavowing the construction of death as purely existential and divorced from our lived realities. In these instances, fatality is linked to economic background and social standing, conveying the message that the more privileged one is, the more they can be sheltered from death. Therefore, unequal living is a denominator in unequal dying.

## **5. Conclusion**

It is important to view moment of resilience following a calamity as embodied in collective and individual mobilization as not just the practical and emotive translation of affinity, of others who stand as onlookers at the tragedy, expressing pity, but as involving supplemental bases that make of death a mystery undisciplined by our makeshift adjectives of good and bad. What further our handicap before death and calls for stronger measures of resilience is the demise of an already disinherited portion of the population which is less of a calculated result and more of evidence of our inequality before death.

In one of the main projects on resilience and the different shapes it takes in different societies, which also makes the case for the extirpation of resilience from the realm of the moralistically objective virtues, is Panter-Brick’s work that emphasizes the particular meanings that resilience takes in different societies. She writes: “A culturally grounded approach to resilience identifies which specific cultural goals are the leitmotiv that drives wellbeing trajectories towards specific pursuits” (2015, 237).

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## La psychothérapie et ses dimensions humanistes à l'époque actuelle : La thérapie centrée sur la personne comme alternative

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**Résumé :** *Cet article discute et analyse les fondements théoriques et les concepts fondamentaux dans le domaine de la psychologie humaniste, en fouillant ses racines profondes dans l'héritage et l'histoire de la pensée philosophique humaine, depuis l'Antiquité. Depuis la philosophie grecque jusqu'à la philosophie européenne moderne (la Renaissance et les Lumières). A l'époque de l'émergence et de l'établissement de ce domaine scientifique au milieu du XXe siècle avec le psychothérapeute américain Carl Rogers à travers sa théorie de la psychothérapie centrée sur le client en 1942 en se centrant sur les concepts clés ou termes phares et pratiques de cette thérapie. Les conclusions de cet article se sont basées sur la méthode qualitative clinique issue de la rencontre avec des sujets. L'objectif est de construire des études de cas qui témoignent de l'efficacité de la thérapie centrée sur la personne dans le traitement des problématiques psychologiques.*

**Mots-clés :** *Psychologie humaniste, méthode qualitative clinique, problématiques psychologiques*

### 1. Introduction

La vie à notre époque se caractérise par une certaine complexité, compte tenu des exigences nombreuses et variées de l'homme moderne, dont la satisfaction complète n'est pas facile. Dans ce contexte, l'homme d'aujourd'hui se retrouve souvent face à plusieurs inhibiteurs, voire en crise. L'Homme se retrouve face à plusieurs obstacles : dans des situations de crise lui causant la frustration et la peur. Le lien avec l'autre devient alors problématique. D'où la nécessité de s'ouvrir à ce genre de problème afin de le traiter.

Des situations de frustration, qui génèrent plusieurs problèmes de vie, et des difficultés psychologiques et sociales. Ici réside un paradoxe majeur, et il est indispensable d'y réfléchir : les contradictions de la vie humaine entre les possibilités de développement industriel et les moyens qu'offre, d'une part, le progrès technologique qui a facilité les moyens de vie quotidienne, en particulier les efforts acharnés que nous avons déployés, dans un passé récent, au niveau du travail, des transports, des achats et des communications..., et, d'autre part, par l'insuffisance de la satisfaction des besoins fondamentaux de l'homme moderne, qui souffre encore du manque et de la privation ce qui le conduit, dans de nombreux cas, à sentir la frustration et à se plaindre de ne pas avoir réalisé beaucoup de choses et d'aspirations dans sa vie.

Même s'il semble que cette privation soit de nature purement consummatrice et matérielle, elle a des racines environnementales et symboliques profondément ancrées dans l'existence et la culture humaine. Les besoins humains fondamentaux, tel que formulés et indiqués par le psychologue américain Abraham Maslow (1916-1972).

En fait, le progrès humain a contribué à élever le plafond des aspirations et des attentes qui placent



l'individu, dans la société contemporaine, devant un désir effréné de rechercher une réussite rapide et un profit matériel, pour accéder au luxe de la vie et pour prétendre se distinguer dans la consommation, en possédant des choses qui symbolisent le statut et le prestige en matière de classe ou d'affiliation sociale, se distinguer dans une vie de luxe et atteindre l'éclat de la renommée et de la célébrité.

Ce sont autant de manifestations matérielles de la vie quotidienne qui sont commercialisées, de jour comme de nuit et publiquement, par les médias de communication et par les réseaux sociaux. Au milieu de cette dynamique sociale et psychologique pressantes et accélérées, une anxiété existentielle accrue est générée chez la personne soulevant plusieurs questions fondamentales autour de sa condition humaine, son destin, son identité, et le sens et le but de sa vie.

Cette anxiété existentielle dans la vie de l'homme moderne engendre une autre anxiété, issue du modèle de vie et d'interaction avec les autres (Autre/Autruï), d'où émergent de nombreuses souffrances, douleurs et comportements déviants, nécessitant non seulement un diagnostic et une analyse, mais aussi le conseil et le traitement psychologique, du moment que cette dernière (psychothérapie) regorge d'orientations théoriques et d'outils pratiques, et que le thérapeute suit, sur le chemin de l'accompagnement du sujet vers la sortie du tunnel des problèmes dans lequel il patauge, l'éloignant de l'obscurité des crises et des difficultés qui obstruent le chemin de sa vie et l'empêchent de réaliser ses multiples ambitions et aspirations.

Problématique et questions de l'étude : Si l'on part de l'idée de se concentrer sur l'être humain, dans sa globalité, c'est-à-dire dans sa relation avec lui-même, avec la nature et avec les autres, alors on ne peut se détourner de mentionner ou d'évoquer la philosophie humaniste et ses extensions dans le domaine de la psychologie. Nous mentionnons ici spécifiquement la théorie de la psychothérapie basée sur la thérapie centrée sur la personne, ou théorie de la thérapie non directive, dont les fondements théoriques, conceptuels et pratiques ont été posés par le psychothérapeute humaniste américain Carl Rogers (1902- 1987).

Quelles sont les manifestations les plus importantes de la philosophie humaniste dans le conseil ou la psychothérapie, en particulier dans la théorie de Carl Rogers ? Comment cette perspective thérapeutique contribue-t-elle à aider les gens à surmonter les difficultés et les crises de la vie ? Quels sont les principes de base des concepts fondamentaux qui l'orientent ?

## **2. La pénétration de la philosophie dans le domaine de la psychologie : Les origines philosophiques de la psychologie humaine**

Semences élémentaires... dans la philosophie grecque et la Renaissance européenne : Si la psychologie a pour but de comprendre le comportement humain, elle doit prendre en compte les mécanismes internes qui conduisent divers processus psychologiques, qui sont représentés par des instincts, des motivations ou des tendances inconscientes, et des perceptions qui génèrent des actions pratiques ou des comportements apparents. À ce jour, nos connaissances sur l'humain sont encore très limitées, comparées à ce que nous savons sur les éléments de l'environnement qui nous entourent, c'est-à-dire le monde matériel et naturel. Au contraire, même cette petite partie de nos connaissances scientifiques sur les humains reste, dans la plupart des cas, inconnue d'une grande partie du grand public, à l'exception d'un petit nombre de spécialistes.

La psychologie est indissociable de l'existence humaine, et elle est issue de la philosophie qui a laissé

ses empreintes sur ses concepts fondamentaux et sur ses conceptions intellectuelles et théoriques, en particulier la philosophie humaniste, qui porte en elle un ensemble de points de vue philosophiques et moraux, lesquels se concentrent sur la valeur de l'être humain, sa capacité et sa compétence à se connaître lui-même, dans les différentes situations et chemins de sa vie et de son existence.

Depuis l'Antiquité, la philosophie grecque a commencé à orienter ses recherches vers l'homme, et le philosophe Socrate (470 avant JC - 399 avant JC) est parti pour essayer de connaître sa vérité, et cet ancien fragment de sagesse a été écrit sur le temple de Delphes : « Connais-toi toi-même. ». Ce que Socrate n'a pas tardé à adopter comme slogan et comme base de sa philosophie. Il n'y a rien d'autre que l'âme humaine qui mérite la recherche et l'investigation, et il n'y a aucun bien dans la connaissance qui néglige la connaissance de Soi.

Ainsi, la personne, ou l'aspirant, doit adopter la méthode de découverte du soi, et vivre selon cette conscience qui émane de l'intérieur et non de la connaissance qui lui vient de l'extérieur. C'est pourquoi Socrate et ses disciples considèrent l'éducation comme un traitement. L'âme a un sens plus large : car c'est un processus qui mène à la connaissance, puis à la bonté, et ainsi l'ignorance peut être considérée comme un obstacle à la liberté puisque le mode de vie libre, s'acquiert grâce à la connaissance et à la perspicacité. Par conséquent, les théories de la psychologie moderne, en particulier la psychologie positive, ont utilisé le concept d'Eudaimonia pour atteindre le bonheur individuel, le bien-être subjectif, la réalisation de soi et un sentiment de satisfaction et d'indépendance, qui peuvent être obtenus en adoptant un style de vie vertueux basé sur la méditation, se connaître soi-même, apprendre la morale et les valeurs nobles<sup>1</sup>.

La tendance philosophique humaniste appelle initialement à reconstruire les systèmes éducatifs en se basant sur ces morales et éthiques qui fournissent un idéal de comportement et de connaissance. Cette tendance s'est transformée en un mouvement humaniste lors du XVe et XVIe siècles après JC qui va affronter par la suite les idées de la religion chrétienne qui considérait la nature humaine comme étant incapable d'atteindre la vérité, contrairement à l'humanisme, qui misait sur la raison et l'être humain en le considérant comme une source de savoir et de vérité.

Racines fondamentales... au siècle des Lumières et dans la philosophie moderne : Des idées citées précédemment est née la philosophie des Lumières, notamment en France et en Angleterre (aux XVIIe et XVIIIe siècles après J.-C.). C'est une vision distincte de l'être humain, de sorte que l'homme est devenu un acteur fondamental et central dans la recherche de la vérité. Après avoir été un élément passif du point de vue de l'Église. En conséquence, la raison devient prioritaire dans l'exploration de multiples manifestations cosmiques.

Dans ce contexte, le philosophe Emmanuel Kant (1724-1804) considérait le siècle des Lumières comme une opportunité historique pour libérer l'être humain de sa position d'infériorité, c'est-à-dire pour sortir l'homme de l'état d'inertie dont il est lui-même responsable, à l'état de liberté et d'indépendance, grâce à l'utilisation de la raison.

La pensée des Lumières est un appel continu pour qu'une personne lève toute forme de tutelle sur elle-même, et vaincre sa peur d'utiliser sa raison. La devise de Lumière était « Osez utiliser votre propre

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<sup>1</sup> Russel, B. (2017) Histoire de la philosophie occidentale. Collection le goût des idées.

compréhension ». Le retour à soi était donc un slogan de la modernité intellectuelle et philosophique, fondé sur l'idée que l'homme possède un don d'aptitudes issues de la nature, qui le conduit à faire le bien, et que ces aptitudes restent en latence si l'homme ne les cultive et ne les développe pas.

En général, la philosophie humaniste considère l'homme comme étant la source ultime de la connaissance et que son salut réside dans la découverte de sa force, dans sa réalisation positive et dans son bon usage et son investissement. Cette idée philosophique éclairante constitue l'idée centrale de la théorie du conseil psychologique. Si la philosophie humaniste pense et réfléchit à l'existence de la valeur humaine, la théorie du conseil psychologique, et en particulier la théorie de la thérapie centrée sur le client avec Carl Rogers, a ouvert une nouvelle voie royale pour découvrir ce pouvoir intrinsèque chez l'homme et en tirer profit afin de le sortir du tunnel des problèmes.

### **3. Le counseling « psychothérapie comme outil pratique pour activer les principes de la philosophie humaniste » :**

#### **3.1 Carl Rogers : Du « patient » négatif au « client » positif :**

Le counseling ou la psychothérapie centrée sur le client, fondée par Carl Rogers, est considérée comme la troisième force ou vague de l'histoire de la psychologie, après la psychanalyse et le behaviorisme. Ainsi, cette psychothérapie se situe entre la psychanalyse et le courant comportementaliste, elle s'éloigne de l'approche fragmentaire de l'être humain basée sur le diagnostic, l'analyse ou le comportement, et tend à adopter une approche globale et compréhensive qui regarde l'être humain, en général, dans son ensemble (soi, personnalité, expérience et comportement).

D'autre part, elle considère l'être humain, non seulement comme un être malade et incapable d'agir, mais plutôt comme un être humain actif, capable de comprendre ses troubles et ses crises psychologiques, ou ses crises existentielles en général. Au milieu de cette situation de compréhension, le rôle du thérapeute se limite à créer l'atmosphère appropriée, pour que le client se sente confiant, en sécurité afin de faciliter les processus de révélation de ce qui est problématique pour lui. Ce qui le mène vers le chemin du salut.

Carl Rogers a remplacé le nom « Patient » par le nom « Client », soulignant le rôle actif et efficace de ce dernier, qui est devenu le début et la fin du processus de counseling ou du processus psychothérapeutique. Le client est le seul à savoir ce qui lui convient et ce qui ne lui convient pas, et c'est lui qui dirige le processus thérapeutique, car il joue un rôle auquel le thérapeute ne peut se substituer.

#### **3.2 Le client : de l'expérience et du cadre de référence... à la compréhension et au regard positif :**

« Le client est celui qui a la capacité de changer et de contrôler son destin, car il possède son propre cadre de référence interne, issu de son expérience unique qui contrôle ses pensées, ses émotions et ses comportements. Cela signifie que les expériences cognitives et émotionnelles qu'une personne éprouve acquièrent une signification particulière pour elle »<sup>2</sup>. En comprenant cette signification, le thérapeute aide et permet au client de comprendre sa personnalité et d'expliquer son comportement, puis l'oriente vers le chemin juste et correct. Le terme expérience se résume au concept de connaissance, de compétence ou de capacité à observer, de manière innée, spontanée et profonde.

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<sup>2</sup> Shere.C.Deron(2011), Approche Centrée sur la personne. Pratique et recherche, 1, 13, PP.23-55.

Rogers désigne tout ce qui se trouve à l'intérieur de l'individu à un moment donné, qu'il soit présent ou disponible dans la conscience ou la mémoire, et comprend un groupe d'idées, de besoins, de sentiments et de perceptions, en plus des souvenirs et des expériences passées qui sont actifs à ce moment-là. En s'appuyant sur la clinique et des séances de conseil et de psychothérapie humaniste, Carl Rogers a découvert que les humains ont essentiellement besoin d'amour et d'appréciation, ou de ce qu'on appelle un regard positif inconditionnel, une compréhension amicale et une compréhension des significations subjectives de leur expérience de la vie<sup>3</sup>.

Le Moi essaie de maintenir la cohérence du comportement, de sorte qu'il accepte des expériences qui lui sont cohérentes et homogènes, tandis qu'il considère les expériences incohérentes comme des sources qui le menacent et génèrent de l'anxiété. Une image de soi positive s'obtient grâce à l'acceptation et à la compréhension de soi, ce qui conduit à l'harmonie personnelle et psychologique. Par conséquent, selon Rogers, la meilleure façon de comprendre le comportement d'un individu est d'obtenir des informations à partir des auto-évaluations que l'individu déclare ou écrit selon son propre point de vue et à travers ses expériences. Après avoir compris le comportement de l'individu, le comportement erroné ou anormal peut être modifié en changeant la conception que l'individu a de lui-même, d'un concept de soi négatif qui conduit à une incompatibilité personnelle et psychologique, à un concept de soi positif qui le rend satisfait de lui-même et de l'autre dans son environnement familial ou professionnel.

### **3.3 Le client : du poids des frustrations à l'efficacité de la réalisation de soi :**

Carl Rogers reconnaît qu'il existe une motivation principale chez l'individu, qu'il appelle la réalisation de soi, car il possède une énergie qui tend vers la perfection ou l'idéal. Ainsi, le traitement des émotions antisociales ou négatives, comme la jalousie, l'envie, la haine et l'agressivité... ne doit pas se faire en les considérant comme des émotions automatiques qui doivent être contrôlées, mais plutôt comme des réactions résultant de la frustration de l'être humain qui porte en lui des besoins à savoir le besoin d'amour et d'appartenance, de sécurité et de sûreté. Par conséquent, la réalisation de Soi n'est pas une tâche facile, compte tenu des raisons liées aux circonstances ou aux conditions de l'existence humaine contemporaine caractérisée par la propagation de nombreux types de maladies et d'affections, en raison de la combinaison de systèmes complexes de changements, d'influences et les pressions qui prévalent dans la vie individuelle et collective.

Parmi ces maux : l'insomnie, l'anxiété, le stress psychologique, la dépression et l'épuisement, en plus des douleurs résultant d'autres maladies chroniques connues, comme le cancer et l'arthrite. Le modèle biomédical et la domination des technologies médicales et des fabricants de produits pharmaceutiques sont toujours incapables de faire face aux manifestations d'anxiété et de dépression. Cela renforcera le pari et la demande sociale sur les pratiques de médecine alternative et de traitement psychologique au détriment des modèles médicaux scientifiques modernes (biomédecine).

Dans ce contexte, des études prouvent que l'écart entre le niveau des aspirations et la réalité se traduit par de l'anxiété et un manque d'estime de soi (Rogers 1980). En se référant à l'étude de Rogers et Damon (1954), l'individu qui a une estime de soi positive se caractérise par le fait qu'il a rapproché le plafond de ses attentes de la réalité dans laquelle il vit, c'est-à-dire qu'il a rapproché l'idéal du moi réel, c'est ce qu'on appelle la congruence, qui lui permet d'endurer les échecs et les difficultés. Il affronte la vie

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<sup>3</sup> Hunboldt.S.von, (2016), L'approche centrée sur la personne : origines, développement et applications contemporaines. Pratique et recherche, 22, PP.74-90.

avec acceptation, car les attentes de l'individu dépassent largement ses capacités à travailler, à aimer et à traiter avec les autres<sup>4</sup>

Il convient de noter ici que Rogers avait publié son livre : *On Becoming a Person: A Therapist's View of Psychotherapy* (1961), dans lequel il résumait les changements survenus dans sa théorie depuis 1942, en disant à ce propos : « Dans les premières années de ma spécialisation en conseil et thérapie... Psychologiquement, je posais la question suivante : Comment puis-je traiter ou changer cette personne ? Maintenant, je reformule la question de cette manière : Comment puis-je créer une relation et un climat psychologique à travers lesquels cette personne peut atteindre le meilleur développement psychologique ?

Le développement personnel aide l'individu à faire face à diverses situations de vie difficiles et, dans ce contexte, Rogers résume les étapes du conseil psychologique du client pour l'accompagner et l'amener vers le traitement

" C'est envers lui, consciemment ou inconsciemment, qu'il doit devenir lui-même, dans le sens de se conformer à lui-même. Pour moi, en raison d'une combinaison d'un ensemble de difficultés, je trouve très utile d'essayer de construire une relation avec lui, à travers laquelle il se sent en sécurité et libre. Mon objectif est de comprendre sa façon de penser dans son propre monde intérieur, je travaille également pour l'accepter tel qu'il est et pour créer un climat approprié de liberté, à travers lequel il peut exprimer sa pensée, ses sentiments et son existence dans toutes les directions »<sup>5</sup>.

Rogers croit au pouvoir inhérent aux profondeurs de l'individu, ou à la confiance profonde dans la capacité d'une personne à se comprendre et à se connaître, sur la base de sa philosophie positive, qui croit qu'une personne est capable de faire face à diverses difficultés et problèmes, et une tendance à atteindre l'équilibre, basé sur certaines circonstances qui le guident, à se réaliser à travers lui-même. Comprendre le client nécessite donc de le rencontrer, mais aussi d'écouter avec douceur ses problèmes et de s'exprimer vers lui, mais aussi de s'immerger ou de plonger dans son monde privé et de ressentir ce qu'il ressent, comme s'il reflétait ses sentiments et ses émotions.

Cela signifie que le thérapeute ressent les sentiments, les émotions et les changements du client, tels que les sentiments de peur, de colère, d'empathie, de tristesse, de jalousie, d'amour et de joie... comme s'il vivait dans le monde de l'autre (le client) sans le juger au préalable. C'est ce qu'on appelle l'empathie, ou compréhension empathique, c'est-à-dire l'acceptation dans les séances de conseil, le thérapeute acceptant le client avec toutes ses actions et tous ses comportements, explorant ses sentiments à chaque instant, y participant et l'intéressant à résoudre ses problèmes.

Cas clinique 1 :

Mme S est une femme âgée de 37 ans, célibataire, fille unique des parents divorcés depuis 7 ans. Elle vit actuellement avec sa mère, son oncle et sa femme dans la maison du grand-père paternel ; son niveau d'instruction est de la troisième année du secondaire. Sa mère rapporte qu'elle était un enfant calme ; elle a intégré l'école à l'âge de 7 ans ; son niveau était au-dessus de la moyenne, elle a raté son baccalauréat deux années consécutives, puis elle a été exclue. Aussitôt Mme S a été victime d'une déception amoureuse qui a chamboulé toute sa vie.

Privée de toute occupation, elle passe sa journée à s'acharner contre sa mère et les autres membres de sa famille. Son entourage ne supporte plus son comportement violent qui serait le motif de la

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<sup>4</sup> Hunboldt.S.von et al (2012), Person Centred therapy and Older Adults'self estees A Pilot Study with Follower-Up.Vol 3NA..PP.1-10.

<sup>5</sup> Rogers,C.,(1961),*On Becoming a Person :A Therapist's View Psychotherapy*.California,Western Behavioral sciences institutes,PP.108-109

consultation.

Mes rencontres avec Mme S se multiplient, au fil du temps je la trouve plus souriante, elle arrive à exprimer des émotions qui ont accompagné les traumatismes qui ont traversé sa vie. Elle me confie qu'elle a été abusée par un oncle maternel à l'âge de 6ans. Ni elle ni sa mère n'ont jamais dévoilé ce secret. Un événement qui a tant impacté sa relation avec les hommes. Elle me rapporte qu'elle se sent apaisé en dévoilant ce secret dans un espace dépourvu de jugement et de culpabilisation. La prise de conscience du poids des complexes d'enfance sur sa réalité actuelle l'a libéré des sentiments de honte et de la culpabilité. Dorénavant elle s'estime apte à nouer des relations saines avec l'autre sexe.

Cas clinique 2 :

Mme N est une femme âgée de 40 ans, la benjamine d'une fraterie de (trois filles et de cinq garçons), divorcée, sans enfants, orpheline du père à l'âge de 15 ans et de la mère quelque temps plus tard.

Mme N est professeure dans un lycée. Suite aux complications psychologiques elle a dû quitté son travail il y a 1 an à cause des accrochages multiples avec les élèves. Elle est accompagnée à la consultation par sa sœur. Cette dernière rapporte que Mme N est devenue insomniaque très irritable et cassait la vaisselle pour la moindre contrariété.

Sa mère ne supportait pas la situation de sa fille comme femme divorcée, elle la critiquait et l'incitait à se marier. Le trouble s'est déclenchée à l'âge de 18 ans, lors des examens du baccalauréat : « je voyais tout tourner ; une peur effroyable s'était emparée de moi ; je frissonnait partout » Une insomnie et une agitation se sont déclarées en cette période de préparation pour les examens. Malgré ces complications, Mme N a réussi son Bac. Depuis lors, elle soupçonnait qu'un sort nuisible lui a été mis par ses sœurs « elles sont jalouse puisqu'elles n'ont pas pu obtenir leur Bac ».

Au-delà des explications fournies par cette cliente, les rencontres avec elle ont dévoilé plusieurs enjeux de son problème tels sa relation avec sa mère, ses sœurs, son mari et l'entourage d'une manière générale. L'écoute empathique, dans le cadre de la relation de personne à personne, était un élément clé qui nous a permis d'examiner ensemble d'autres aspects non déclarés de sa vie. Ce fait l'a amener à relativiser sa perspective concernant le sens donné à ses problèmes.

Le processus de conseil en psychothérapie est un voyage d'accompagnement de la personne dans son monde intérieur, afin d'ajouter ou d'éclairer les significations qui résonnent dans son expérience, ce qui oblige le thérapeute à mettre de côté ses normes et jugements, pour concentrer son travail et son attention sur les expériences, les sentiments et les cognitions qui acquièrent un caractère spécial pour le client, pour ensuite l'orienter ou le guider vers le chemin qui lui serait convenable, à travers une perspective positive, issue de l'idée que l'être humain est une entité vivante et unifiée, possédant des pouvoirs positifs et créateurs efficaces.

La croyance en l'idée de « pensée positive » envers soi et envers l'autre, de la part du thérapeute et du client ensemble, en tant qu'idée humaine éclairée, constitue le début et la fin du processus de conseil ou de traitement psychologique humain. Cette idée est à la base de ce que l'on appelle aujourd'hui le développement personnel, qui consiste à développer les ressources psychologiques qui donnent à une personne un sentiment de sa valeur, de son importance et de son statut. C'est une opportunité de se découvrir et de se connaître, de se comprendre et de s'accepter, et ainsi de bien gérer ses besoins et ses sentiments, et de les diriger et de les orienter vers le meilleur de la conduite, du comportement et du travail.



Nous trouvons le noyau de cette idée dans les replis des textes et de la culture du « bon sens » des anciennes civilisations humaines orientales, y compris notre culture populaire arabe et marocaine, dans laquelle reviennent des dictons et des termes familiers presque oubliés. Dans notre culture de connaissances savante ou spécialisées, telles que : « Niya » ou « intention », c'est-à-dire « bonne intention » qui affecte les âmes et les personnes et provoque les choses positives que nous attendons et qui font bouger les pouvoirs thérapeutiques, qu'ils soient médicaux ou spirituels, comme si nous étions confrontés à la projection de tout pouvoir sur les énergies spirituelles qui résident en la personne et qui restent suffisantes, principalement, en acceptant la méthode et le système de traitement, et en poursuivant ses différentes étapes jusqu'aux limites de la guérison et du retour à un état d'équilibre psychologique et comportemental.

Le concept d'« intention » coïncide inévitablement avec le concept de pensée positive dans le processus de conseil ou de psychothérapie centrée sur le client, qui comprend le client comme une personnalité et une identité en tant que projet de soi et de vie, plein de don et d'efficacité créative.

#### **4. Conclusion**

Nous concluons de ce qui précède que la thérapie centrée sur le client est une théorie psychologique thérapeutique profonde qui porte en elle les germes de la tendance philosophique humaniste, issue des époques historiques lointaines de la philosophie de Socrate et des enseignements et de l'éthique des stoïciens à travers les époques de la Renaissance et des Lumières européennes, jusqu'à l'époque de la philosophie moderne... qui est donc une théorie intégrative, caractérisée par cette vision globale de l'être humain, en tant que valeur, liberté et efficacité.

Notre époque actuelle est celle de la mondialisation et du post-modernisme, ou celle de la « modernité incomplète ou tardive », caractérisée par la désintégration ou la décomposition des liens sociaux<sup>6</sup>, ou encore celle de la modernité liquide, caractérisée par la désintégration ou la décomposition des liens sociaux par la propagation de la peur et la perte de sécurité et de sûreté. On touche dans ce contexte la nécessité de faire revivre les idées et les principes de la philosophie humaniste, afin de sauver l'humanité contemporaine des conséquences de l'absence d'une conscience psychologique. Aujourd'hui, l'homme moderne vit au milieu d'une société de doute et d'incertitude, et sous la pression de multiples crises sanitaires, ou des états de déséquilibre et de phénomènes pathologiques. C'est la société mondiale du risque, selon les mots du penseur allemand contemporain Ulrich Beck<sup>7</sup>.

Cette société se caractérise par la violence et les dangers, le terrorisme et l'agression, la diaspora et la migration, les maladies, la désintégration des liens sociaux, l'aliénation ou l'éloignement... autant de situations difficiles qui génèrent, sans aucun doute, de nombreux types de tensions et des troubles psychologiques et sociaux. Les sciences sociales et humaines, au premier rang la psychologie, les suivent au niveau du diagnostic, de l'analyse, de la compréhension et du traitement.

Evidemment, les degrés et les stimuli qui génèrent l'anxiété et la peur chez les gens augmentent de jour en jour, ce qui engendre du stress, de la dépression et d'autres types de crises et de maladies... qui nécessitent des approches humanitaires scientifiques compréhensives, telles la psychologie humaniste, et en particulier l'approche de la psychothérapie positive centrée sur le client, qui doit être établie,

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<sup>6</sup> Giddens, Anthony, (1994). Les conséquences de la modernité. Paris :L'Harmattan, Paris, P.44

<sup>7</sup> Beck, U (2009) La société du risque. Champs essais.

consolidée et adoptée, comme méthode humaine flexible de conseil psychologique, dans divers hôpitaux, cliniques, centres et institutions de traitement psychologique dans les pays arabes et du Maghreb.

C'est une méthode thérapeutique prometteuse qui redonnerait considération et appréciation à la place et à la centralité de l'être humain dans sa prise en charge, et contribuerait ainsi à « humaniser » les méthodes de conseil et de psychothérapie, et, d'une part, à les débarrasser de ces tendances scientifiques imprégnées de spécialisation et de fragmentation, et d'autre part, à se tenir contre les pratiques commerciales suspectes de la sorcellerie, qui ont commencé à marchander la douleur et la souffrance des gens, en leur promettant de trouver des solutions magiques et rapides à leurs problèmes difficiles et compliqués.

Il s'agit de pratiques répréhensibles et rejetées, qui aggravent et exacerbent encore la situation pathologique, et ne sont d'aucune utilité pour réconcilier le client/humain avec lui-même et son environnement. Les praticiens de la santé mentale aujourd'hui ont besoin de travailler avec ces valeurs humanistes.

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## The Poetics of Spatial Representations of Casablanca in Postcolonial Moroccan Cinema

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**Abstract:** *Casablanca, a Moroccan city, has recently attained a big deal of attention by both Moroccan and international cinema. It is noteworthy that the city and cinema are inextricably intertwined and inseparable. Within the framework of orientalist discourse, this paper examines how the city of Casablanca is spatially represented by postcolonial filmmakers. It seeks to unravel the dystopian and utopian visions of the city in Abdalkader Lagtaa's Bidauoa (1998) and Mustapha Darkaoui's Casablanca Day Light (2004). The proposed corpus is worthy of study by virtue of featuring the social paradoxes of the urban space of Casablanca and how these paradoxes are delineated and interpreted by Moroccan postcolonial filmmakers. This paper adopts a postcolonial theory. After the analysis of the selected films, it was found that Casablanca has been multiply represented as an Islamic and a fundamentalist city. Both films reveal that Casablanca is a dangerous place where innocent children and adults are turned into programmed bombs by the extremists. Casablanca is also represented as a place of fear due to fundamentalism. Interestingly, the two films about Casablanca superimpose the utopian space upon the dystopian space. Given the fact the dystopian space does not meet the subjects' expectations, the utopian space (i.e., dreams and fantasies) becomes an alternative for individuals to escape the daily life of the city. Casablanca has been, then, the core issue of postcolonial cinema owing to its multi-layered spaces.*

**Keywords:** *Casablanca, Space, Moroccan Cinema, Orientalism, Postcolonial Criticism*

### 1. Introduction

It goes without saying that the city of Casablanca has enjoyed considerable attention by national and international postcolonial filmmakers. Given a systematically interwoven relation between the city and cinema, Baudrillard states: "Where is cinema? It is all around outside, all over the city, that marvellous, continuous performance of films and scenarios." (Cited in Clarke, 1997, p.1) There are many reasons why national and international cinema has been fascinated with the urban city of Casablanca. It is considered to be a space where different ethnicities, identities, and cultures with their contrasting features interpolate. It is, Khayati (2005) adds, "a place of economic and financial growth, of opportunity and promise, and paradoxically a place of sprawling urbanization." (p.23) It is also a city which is "highly distinctive in its mixing of population; its people constantly refused by spatial segregation, whether defined in terms of religion, race, ethnic group, or class". (Graiouid, 2005, p. 164) Casablanca has been importantly seen as a modern city which "evokes both the north African city, Morocco's economic capital, and, in an apparently other realm altogether, cinematic history" (Edwards, 2005, p.8).

Much work has been conducted on Moroccan cinema, but a little academic interest has been given to spatial representations of the city of Casablanca in the postcolonial era. Early studies on spatial representations of Morocco include: Simour, 2009; Agliz, 2014 & 2015; Doron, 2019; Saissi, 2021 & 2022; Ghal, 2022, and Moussaoui, 2023. Given the review of literature, it is worth noting that much research was carried out on how Morocco is spatially constructed in imperial travel writing, but there has been no critical interest in postcolonial filmmakers' participation in the spatial construction of Morocco in colonial cinema.

This paper is then an attempt to fill this research gap. As stated by Clarke (1997): “the relationship between city and cinema has been neglected in both films and urban studies.” (p.1) This paper aims to examine how the city of Casablanca is spatially represented in Abdalkader Laqtaa’s *Bidauoa* (1998) and Mustapha Darkaoui’s *Casablanca Day Light* (2004) to hopefully bring to the fore the scholarly significance of studying ‘postcolonial space’ in contemporary Moroccan cinema. Specifically, this paper uncovers the interrelationship between the individual and space, between the dystopian and utopian spaces as a crucial cinematic component in the films under scrutiny. The choice of the suggested films is based on the fact that they chart much about the representation of the city of Casablanca, and also reveal much about the urban space which probes the continuous conflict between fundamentalism and liberalism, sacred and secular, the rich and the poor. The reading of Abdalkader Laqtaa’s *Bidauoa* (1998) and Mustapha Darkaoui’s *Casablanca Day Light* (2004) is immensely indebted to postcolonial theory. Stated differently, this paper analyses the politics of inscribing the city of Casablanca in the suggested films from the Third World point of view. Given the fact that the oriental space (city) has been mostly constructed in imperial writings as exotic, vacant, static, and low-rise, this paper aims to explore how Casablanca, as a ‘postcolonial space’, is imagined by postcolonial filmmakers. This paper is divided into two main parts. The first part is meant to theorize and negotiate the correlation between postcoloniality, space, and cinema; how ‘postcolonial space’ is constructed in cinema. The second part is designed to investigate the multiple representations of Casablanca included in Abdalkader Laqtaa’s *Bidauoa* (1998) and Mustapha Darkaoui’s *Casablanca Day Light* (2004), adopting a postcolonial theory. The focus is on the religious dimension of Casablanca as an Islamic and fundamentalist city.

## 2. Negotiating ‘Space’ Construction in Postcolonial Cinema

A notable set of theories has been developed with regard to the representation of space in literary genres starting from Michel Foucault, Marc Brousseau, Frederic Jameson, Michel de Certeau, Homi Bhabha, Sara Upstone and many others. For example, Foucault (1986) contends that “space has become recently the horizon of our concern, our theory, and our system. Space is not an innovation: space itself has a history in Western experience and it is not possible to disregard the fatal intersection of time with space.” (p.22) Space, for Foucault, is an aspect that cannot be separated from knowledge and power. These three concepts (space, knowledge and power) are interrelated; they are impossible to grasp and work out if they are to be dealt with in separable entities.

It has been argued that much focus has been given to history and philosophy since the nineteenth century. In *Spaces in European Cinema*, Konstantarakos (2000) argues that there has been a shift from history to geography as well as an increasing preoccupation with the study of space, landscape, and geography in literary works. Postcolonial theory has played a crucial role in examining ‘postcolonial space’ in imperial writings, including colonial cinema. It has contributed to the criticism and deconstruction of colonial assumptions and constructed binaries (such as core/periphery, inside/outside, self/other, West/East...). Homi Bhabha is viewed as one of the most important figures of postcolonial criticism associated with postcolonial space. He has managed to come up with new concepts such as hybridity, mimicry, irony, dialogism, heteroglossia, and ambivalence. Some of these concepts can be implemented to study and analyze how postcolonial space/city is imagined in postcolonial cinema. Because cities are ‘places of meeting’, they are places and spaces which are imbedded with multiple and powerful possibilities for the subversion and destabilization of imperial arrangement. (Cited in Jacobs, 1996, p.4) According to Bhabha, the existence of postcolonial politics of space is not a sign of being beyond colonialism, but it is a “reminder of the persistence, ‘neo-colonial’ relation within the new world order/city.” (Jacobs, p.25) In the same vein, Nalbantoğlu and Wong (1997) write:

The term “postcolonial space” is both a reminder of colonial past and a salutary gesture towards the future. It conveys both a negative moment that displays and displaces binary constructions and fixed categories and a positive one of a promise of becoming for new languages, new subject positions, and new mode of spatiality. (p.8)

Postcolonial space is characterized by the interplay between the local and the global; it is related to Edward Said’s “overlapping territories” and “intertwined histories” where unstable conditions of dwelling are produced. In this sense, postcolonial space is not only a physical space but also a cultural signifier. It holds new opportunities for women who seek freedom and emancipation as Elizabeth Wilson argues that “the city emancipates women more than rural life or suburban domesticity.” (Cited in Fenster, 2005, p. 223) Postcolonial space is also a space where new generations flock to and where they lead and reconstruct new ways of life:

Postcolonial urban generations are now more likely to be found in undocumented camps around border exit points awaiting the opportunity to ‘burn’ to Europe. Take Casablanca, for example: once ‘highly distinctive in its mixing of population; its people constantly refused by spatial segregation, whether defined in terms of religion, race, ethnic group, or class, the metaphor of *haraga* highlights the reality about the systematic denial of transnationality that the postcolonial experiences at border exist. (Fenster, p.164)

The interest in the study of space moves from literature and other literary genre to cinema. It starts to influence cinematic studies and considered to be an important component. Although space may be invisible or ordinary people may not heed attention to spatial representation, they are only hooked by the plot of the films (events, the characters, and the story in general). However, cinema is a spatial form *par excellence*. According to Lina Khatib, cinema contributed to the creation of space as the denial of it. Space is “an arena which figures forth as a (re)construction of the national identity, politics, and social issues”. (Khatib, 2005, p. 17) In the same line, Shiel (2001) says “Cinema is peculiarly a spatial form of culture, it operates and best understood in terms of the organization of space: space in film, space of the shot, and space of the narrative setting” (p.5).

It should be noted that the representation of space in classical cinema is always linked to the narrative; the focus is on the techniques such as colours, light, and movements. (Bordwell et al., 1985, p.52) Myrto understands space not only as a mere setting of stories, but as an important contributor to the dynamics of the narrative and the development of a variety of consideration both ideological and artistic. (Bordwell et al., p.1) Likewise, Bordwell (1998) sees an inextricable link between space and the narrative of cinema. For him, “the space of classical cinema is anthropomorphic. The human body becomes the measure of all space”. (p.37) Notably, the representation of space in early European cinema has created binaries between what is urban and rural, and what is public and private space (Bordwell, p.52).

With respect to Hollywood cinema, the space of the ‘Other’ exists in the Western representation as imaginary, constructed, empty, and distorted. Edward Said refers to this mode of representation as an “imagined geography”; a geography that the colonizer created to legitimize his colonial project. In *Orientalism*, Said (1978) claims that the “Orient is almost a European invention.” (p.1) Khatib (2005) also elaborates on the negative depiction of the Other’s city and says:

The (other) city now is portrayed as a negative space, a modern wilderness or “concrete jungle” ... In many of the films, like *Rule of Engagement*, *Navy seals*, *Killing Streets*, *Spy*

*Game...*The “difference” of Arab cities is not represented positively; instead of the cities being portrayed as “buzzing” they are depicted as cramped (p.24).

It is very interesting to stress that space is not fixed but transient and prone to changes just as any societal forms. This means that space is “an active component of constructing, maintaining, and challenging social orders [...] Space is a cultural construction.” (Edwards, 2005, p.68) On the basis of what has been said, this paper is precisely destined to explore the dystopian and utopian spaces created by Moroccan cinema. The films under study encompass the dystopian and utopian visions of the city with the overdominance of utopian visions. The utopian space becomes an alternative which holds what is missing in the real city or what the dystopian does not allow. It has been claimed that utopias are: “Sites with no real place. They are sites that have a general relation of direct or invented analogy with the real space of society. The present society itself in a perfect form, or else society turned upside down, but in any case, these utopias are fundamentally unreal spaces.” (Edwards, 2005, p.3) On the contrary, there are in every culture or civilization “real places that do exist and that are formed in the very founding of society-which are something like counter-sites”. (Williams, 1997, p.24) Interestingly, films can create space and deny it as well. It is in this respect that this paper tries to unveil a duplicitous representation of space in the city of Casablanca. It focuses on the conflict between human subjectivity and virtual reality. The suggested films are therefore worthy of examination by virtue of creating an urban space that is ambiguous, complex, and politically contested where the subject engages in a constant conflict with spatial and social contradictions.

### **3. Orientalizing the City of Casablanca in Abdalkader Lagtaa’s *Bidauoa* (1998) and Mustapha Darkaoui’s *Casablanca Day Light* (2004)**

Within the framework of cultural and postcolonial studies, the relationship between the Western ‘Self’ and the oriental ‘Other’ is highly problematized in a myriad of areas: novel, painting, and cinema, just to mention a few. Edward Said, a postcolonial critic, put into question the Western perception of the Orient, arguing that Orientalism is a European construction. It has tended to construct the oriental ‘Other’ as primitive, mysterious, and not liable to historical change. Unsurprisingly, Hollywood cinema has followed the footsteps of travel writers, philologists, painters, and orientalists in general. Shohat (1997) helped provide a detailed account of Orientalism in Western cinema. She argues that “Western cinema not only inherited and disseminated colonial discourse, but also created a system of domination through monopolistic control of film distribution and exhibition in much of Asia, Africa, and Latin America”. (p.19) If Western cinema has been accustomed to depicting the oriental subjects as primitive and ahistorical, how is the city of the ‘Other’ represented? Anna Clayden has theorized this notion in the light of ‘the city of the other’. She asserts that the representation of the city of the ‘Other’ articulates the asymmetrical relations of power, dominance, superiority, and inferiority between the colonizer and the colonized:

The representation of the city of the other has typically been dominated by certain anarchy of both space and behaviours. If the Western city is predominantly high-rise, its inverse is mainly low-rise. If the Western city is filled with Patrick-Bateman-like yuppies, [...] then the city of the other is dominated by the small timers; the failures, and the hoods...the city of the other is populated by the marginalized [...] it is a space occupied by those abject from society (Clayden, 2005, p.59).

Pertinent to postcolonial cinema, the representation of the city in Moroccan cinema is characterized by ambivalence in that it focuses on binaries and contradictions. In Abdalkader Lagtaa’s *Bidauoa* (1998) and Mustapha Darkaoui’s *Casablanca Day Light* (2004), Casablanca is orientalized through featuring it as an ‘Islamic’ city. Fundamentalism is viewed as a threat to the city of Casablanca and social mobility. In both



films, Casablanca is represented as an Islamic city where fundamentalists emerge and develop their terrorist projects. On the one hand, Abdalkader Lagtaa's *Bidaoua* (1998) reflects on how religious fundamentalism penetrates the Moroccan society and how it manipulates the primary schools' students in Casablanca. The film tells a complex story of three main characters: the bookshop owner called Mustapha (played by Aziz Saadallah), a female schoolteacher named Saloua (played by Karima Aktouf), and a school boy named Kamal. Mustapha receives a letter that will change his life; he is asked by the female teacher to bring her a book that is published in France and not yet in Morocco. Mustapha tells her that he will try to bring her the book. Significantly, the film gives much importance to the schoolteacher who inculcates young children with extremist views, including Kamal telling them that "the Qur'an is valuable for all times and places, is the only reference for humanity and will remain so until God inherits the earth from its inhabitant". (Edwards, 2005, p.18) Ultimately, Kamal faces a trauma leading him to psychological problems. The film can be, in this sense, seen as an enquiry into the story of the child Kamal who shifts from the innocence of children to a programmed machine which is able to execute any orders that his extremist teacher may order him.

Given the synopsis of Lagtaa's film, it should be noted that Kamal is manipulated with the ideas of his extremist teacher. These ideas push him to end his romantic relationship with his girlfriend because of the sermons that his peer was teaching him about forbiddance of talking to girls, kissing them, and being alone with them. In addition, he presents to his mother a veil (she describes it in a conversation with her husband as the veil of the Iranian women) and to his father an Islamic beer. He also reads from time to time some books that are usually sold on pavements and libraries about hell, graves, death, and doomsday. As a matter of fact, extremism in this film is linked to some simple and normal aspects of life. However, the manifest change in Kamal's behaviour is when he decides to kill his parents who, in his view, believes that their sexual relationship is incestuous, dissolute, and lewd, and when he considers the baby that his mother is going to give birth to as a bastard, even though the relationship between his mother and father is a legal one. With regard to this psychological transformation of Kamal, it is very crucial to note that it is the ideological indoctrination of the child and his emotional crisis that result in a psychological problem, and thereby pushing the child to kill his mother because she sleeps with his father.

In a totally different scene, Lagtaa shoots a veiled woman that he wants her to walk behind her husband; she shows an unjustified and unclear animosity towards the child Kamal even if she does not know him before. Moreover, the filmmaker insists on showing her eyes boiling and changing to a flaming fire; they arouse fear and horror in the child. In the light of this latter scene, it is worth arguing that the woman, in the director's vision, is uncomfortable with the Islamic values and orders. So, she is pointing a finger at extremism through this latter's representative: the child. Finally, *Bidaoua* targets the essence of the mentality of forbiddance and the retrogressive thought. It introduces Casablanca as a modern city where people live in fear. Religious fundamentalism and political uncertainty are the most principal source of instability in the city. The film suggests that Casablanca is a dangerous city where extremist ideas seep into the mind of innocent people, school children in particular, as the following annotated pictures indicate:



The slums where Fundamentalism develops.



Fkih Mohamed, conveying his extremist messages.

In Lagtaa's *Bidauoa*, the complexities of contemporary Casablanca are associated in different ways with circulation, or rather with the position of Casablanca at the margin, or even of the circulatory routes, of capital and contemporary thought. It is for this reason that the urban space and social (im) mobility are more complex and constricting in the film.

On the other hand, Mustapha Darkaoui's *Casablanca Day Light* (2004) is a continuity of *Casablanca by Night* (2004). The two films are a story of Zir, a high school student who used to be a member of Satanism, is arrested by the police, and is sent away for six months. After his release, Zir decides to give up all his relations with girls (Kaltoum) and prostitutes to join a fundamentalist group called "Qiwa Alhaq" (قوى الحق) which seeks to change Casablanca into a city of 'Alhaq' (الحق) and 'justice' (العدل). Consequently, Zir and his friend Tarik are extremely influenced and haunted by the ideological messages. Zir at the end commits a suicide attack and kills himself. Given a short description of Darkaoui's film, it is worth highlighting that the film is clearly about the construction of fundamentalist identities in Casablanca. If fundamentalist consciousness starts at school in Lagtaa's *Bidauoa*, the prison in Darkaoui's *Casablanca Day Light* is the place where adults including Zir and his friend Tarik are taught the extremist views. So, both institutions are represented as spaces where extremists deliver and saturate their religious discourse. In prison, like the primary school, Zir is introduced to fundamentalist consciousness. As soon as he enters the prison, he starts reciting the Qur'an and teaches his friend how to pray. After his release, *Fkih* (الفيقيه) Mohamed instructs him extremist views, telling him that he chooses the right path so as to support the word of Allah (*ealaa kalimati Allah*). As a result, Zir decides to join the fundamentalist group. The aim of the fundamentalists is to fight *Zina* (الزنا) and *Alkofer* (الكفر) that prevail in Casablanca and create a safe city or city of *Alhaq* as the *Fkih* claims. Obviously, this idea of creating a safe city or the city of *Alhaq* is dramatized in a revealing scene when *Fkih* Mohamed tells the youth that corruption, *Zina* (الزنا), and *Alkofer* (الكفر) predominate Casablanca and they have to put an end to it and kill the unbeliever. Interestingly enough, the ambition to create a new city is in itself a dream that haunted the fundamentalists. Both *Bidauoa* and *Casablanca Day Light* focus on how to subvert the civil safety in Casablanca by the extremists who believe that the original image of the city is damaged, and this necessitates, first, the destruction of it so as to reconstruct a safe image of it. Throughout the film, we see how *Fkih* Mohamed lays stress on Jihad; in almost every scene in the movie, he keeps nagging and pestering, telling his tutees that their task is to fight corruption (*Zina*, *Alkofer*...etc) in Casablanca and turns it into a safer city or city of *Alhaq* as he calls it. Therefore, everybody is sent to a specific place to explode it. Zir and his Friend, for example, are sent to a night club in downtown, but failed to carry out the attack. Consequently, Zir decides to go back and kill *Fkih* Mohamed.

Darkaoui's *Casablanca by Night* (2004) is one of the examples where the characteristics of Islamic city are widely manifested. Although the film treats taboo issues such as sexuality, the loose of virginity and prostitution, yet it reflects on the religious side of the city. Equally, although the majority of films about Casablanca focus on new areas, houses, streets, but the most dominant image that the city presents is the Islamic city. This image is exemplified through different indexes including scenes of minarets and mosques, and the walls of the old city. For example, in the opening scene of the film, we are exposed to the close-up of the whole city of Casablanca; there is much focus on the Islamic side of Casablanca. Darkaoui shows us images of the mosque, *Lkala*. Besides, when the camera zooms in on the mosque and minarets, we simultaneously hear the call for prayer. In another scene at dawn, when the Imam is reciting the Qur'an, the camera focuses on the minaret where the sound of the *Imam* emanates. In general terms, critics attribute the characteristics of the Islamic city to five factors: the existence of *Lkala* which plays the role of defense, the royal city, and the existence of the city which includes great mosques, religious *Madrasas*, and central markets, and the existence of houses for dwellers, and finally the suburbs and outskirts where the newcomers and refugees live. In Darkaoui's *Casablanca by Night*, the mosque of Hassan II and the *Lkala* in downtown represent the Islamic dimension of Casablanca. The film depicts the Islamic city of Casablanca by focusing on the dichotomies of sacred and secular, *Halal* and *Haram*, good and Evil. In the film, the camera moves from the sacred space to the secular. There is a delineation of the mosques and minarets of Casablanca, then the camera takes us to the night clubs and taverns where prostitutes and womanizers spend sleepless nights. By doing so, it seems perhaps that Mustapha Darkaoui is telling us that the Islamic city is being subverted.



The mosque of Hassan II (*Casablanca by Night*)



*Lkala* (*Casablanca by Night*)

Based on the analysis of the two films under study, it has become extremely clear that Abdalkader Lagtaa and Mustapha Darkaoui represent the fundamentalist side of the city; Casablanca is becoming a place where people construct fundamentalist identities. It is a dangerous place where fundamentalists instruct young boys extremist views that are against religion. Lagtaa and Darkaoui also stress that the individual's movement in Casablanca is so complex and restricting. It is also worth emphasizing that postcolonial Moroccan cinema has been severely criticized on the assumption that it deals with issues that are incompatible with the Islamic city; it has started to turn its gaze on taboos that have been veiled throughout history. It probes new social issues that were hidden such as sexuality, the female body, women in society, and romance. Leila El Marakchi's *Marok* (2005), Nourdine Lkhmari's *Casanegra* (2008), and Said Shraibi's *Hijab Lhob* (2009) are some examples of Moroccan cinema that have called attention to taboo issues and thus have provoked a controversial debate for the public opinion.

#### 4. Conclusion

This paper has been an attempt to investigate spatial representations of Casablanca in Abdalkader Lagtaa's *Bidauoa* (1998) and Mustapha Darkaoui's *Casablanca Day Light* (2004). It has aimed to question the extent to which postcolonial cinema contributes to the construction of Morocco as a subject and a culture. To fulfil this aim, the scope of the study has been restricted to spatial themes as they are developed within postcolonial cinema studies. After the examination of the proposed films, it has been inferred that Lagtaa's *Bidauoa* (1998) and Darkaoui's *Casablanca Day Light* (2004) are full of stereotypical images and ideas about Morocco. Casablanca, as a Moroccan landscape, is represented as an Islamic and a fundamentalist city. The public institutions, primary schools and the prison, are turned into places where extremist instruct their beliefs and inculcate young children and adults. Both films display that Casablanca is a dangerous place where innocent children and adults are turned into programmed bombs that are ready to explode and carry out any order that the extremists tell them to do. Casablanca is also constructed as a place of fear where people couldn't move easily because of fundamentalism. What is more, the urban space of Casablanca has been widely represented in postcolonial Moroccan cinema because of the multi-layered spaces and the social network it provides. It is a reflection of the split image of the postcolonial city (modern and marginalized), where different cultures and lifestyles overlap.

Lagtaa's *Bidauoa* (1998) and Darkaoui's *Casablanca Day Light* (2004) unveil two basic points in the cultural construction of Casablanca: the denial of the Moroccan 'Other', and the idealization of the Western 'Self'. It is very interesting to stress that the system of binarism and monologism is ironically implemented in both films to celebrate the negation of the natives (*Bidauoa*) in the representation mode. In other words, the spatial construction of Casablanca in the films is contingent on spatial distinctiveness. In this sense, Casablanca, as a postcolonial city, is a constructed space *par excellence*. It is depicted in the representational mode that Edward Said referred to as 'Orientalism'. Thus, this paper has argued that the imaginative geography of Casablanca as 'violent', 'dangerous,' and 'fundamentalist' are only strategic tools exploited in Postcolonial cinema to celebrate and legitimate Western hegemony and domination over the oriental 'Other' and their territories. While much attention has been given in this paper to how the city of Casablanca is spatially represented in the discourse of postcolonial cinema, other areas such as 'racial segregation', 'Islamophobia', and 'gender stereotyping' have been left for future research. By saying so, this paper remains a contribution to the better understanding of other postcolonial movies about Morocco. It is considered to be a potential avenue for readers to enhance and enlighten their mindset about cross-cultural encounters, thereby attaining a comprehensive vision about the nature of postcolonial cinema.

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# **CHAPTER THREE**

# SOCIAL DYNAMICS AND BEHAVIOR





## The Impact of Gender Equity on the Performance of Organizations: The Case of the Big Four Audit Firms in Morocco

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**Abstract:** *The proportion of women in Morocco's working population has experienced a decline over several years, dropping from 30% to 25%. This trend represents a tangible setback for the national economy, particularly at a time when both the government and non-governmental organizations consistently advocate for the principle of gender equality and its positive influence on sustained economic growth. The involvement of women in the value creation process is not only crucial but also indispensable for the country's economic advancement. In this study, our objective is to establish, through mathematical analysis, the correlation between the promotion and establishment of a climate of gender equity and the performance and productivity of individuals. To achieve this, we distributed questionnaires to all auditors working in the subsidiaries of the big four auditing firms operating in Morocco. The analysis of the results was conducted using linear regression and Principal Component Analysis (PCA). The findings indicate that women demonstrate a tendency to generate more income for firms, and the promotion of gender equity serves as an encouraging factor, prompting individuals to enhance their work efforts.*

**Keywords:** Auditors, performance, Morocco, gender equality, Big four

### 1. Introduction

Equality between men and women is not just a question of economic empowerment: it is a moral imperative, a concern for justice and equity that covers multiple dimensions (political, ethical, social, artistic and cultural). Many countries around the world have made significant progress on the path to gender equality in education and support for women in the economic environment in recent decades. However, women continue to earn less than men do, are less likely to reach the top of the labor hierarchy and are at greater risk of ending their lives in poverty.

Equality and parity between men and women remains a subject of crucial importance, especially in developing countries (Africa – MENA region, etc.). Economic and social inequalities stem mainly from culture and certain religious restrictions that prevent women from comparing themselves to men and from having the same opportunities and the same chances. In Morocco, women constitute only 21.5% of the active population, with an employment rate that does not exceed 18.6% (The main characteristics of the active population employed in 2019, High Commission for Planning (HCP), Morocco). These unbalanced characteristics lead us to investigate what the effective participation of women in economic life could bring. This is why we aim to study the level of women's participation in business performance.

Our study aims to answer a main question: **At what level do women participate in the performance of the companies where they work?** This question will be divided into two research questions, which are as follows:

- ❖ Does gender parity culture influence employee productivity?
- ❖ Is there a link between the gender of the employee and their level of productivity?

The hypotheses of our research developed from a large literature review will therefore be as follows:

- ❖ The culture favoring gender parity has an influence (among other variables) on the productivity of the company.
- ❖ Gender can have a significant relationship with employee productivity. In other words, women tend to work harder than men do.

## **2. Literature review**

### **2.1 Business performance: A complex concept**

The concept of performance is commonly used both in the literature and organizational circles to designate a certain level of excellence. It remains, however, relatively ambiguous insofar as it is much overused in everyday language. Moreover, although it is widely used, there is no unanimous agreement on a precise definition and measurement; these depend, in fact, on the targeted objective, the analysis perspective chosen and the user's field of interest. It is a concept widely used to designate several close terms: success, prosperity, continuity, sustainability, progress.

Performance, taken in a general sense, is defined as an official statement recording a result achieved at a given time, always with reference to a context, an objective and an expected result, whatever the field (Notat, 2007). In the field of management and business, performance has always been an ambiguous concept, difficult to frame and rarely defined in a clear and explicit manner. Since the 1980s, many researchers have been interested in defining it [(Bouquin, 1986)...] and more recently, this notion has been used in managerial literature to assess the company's implementation of announced sustainable development strategies [(Capron and Quairel, 2005) ;(Issor, 2017)...]. Performance is particularly used in the field of management control, giving rise to terms such as: performance management, performance measurement, performance evaluation and performance estimation (Lebas & Euske; 2007). In the field of business and organizations in general, the concept becomes quantitative, it is the level of achievement of results in relation to the efforts made and the resources consumed. It is largely based on the notions of effectiveness and efficiency.

The notion of performance was strongly discussed and approached in the 90s by a very wide category of researchers from different fields following several analyses, studies and research. Carriere (1999) has concluded that performance is nothing other than the evolution of the company or its expansion. This notion of performance can be summed up in the idea of success or success of the company (Bocco, 2010), success which cannot be obtained without a positive sanction from the market (Amifi, 2019). Bourguignon (1998) has described this notion of success as a subjective reality that depends on internal representations of success in the company. As for Azan (2007), he reduces the notion of performance to the simple idea of development.

The term performance still creating a debate between the scientific communities. It is a difficult notion to frame and define. This is why the factors identified by authors as its determinants are numerous and concern all sectors: finance, social domain, economy, culture... Performance may depend on the policies of the company (Igalens and Gond, 2003), in the same way that it can depend on the level of customer satisfaction (Cardoso, 2003), or even on the level of business profitability (financial performance).

The performance of companies and organizations also depends on its internal management, and more specifically on the social climate. The social climate is the weather of the company, which has a direct impact on its results (Haegel, 2020). It is a multidimensional concept that depends on several elements at the same time. It is the result of the comparison between the expectations and perceptions of employees concerning the structure of the company, HR policies (promotion, remuneration, and training), autonomy, management style, leadership style, interpersonal and intergroup relations, working conditions, balance between personal and professional life, management skills, type of evaluation, and gender parity at work.

## **2.2 The participation of women in the performance of organizations**

Several companies have taken an interest in defending professional equality between women and men at work on several levels: Responsibilities, remuneration, promotions... Generally, the justification of the fight against inequalities between women and men within companies falls under the order of social justice in terms of equality between citizens. For several decades, public authorities around the world have legislated in favor of gender equality in the world of work. However, these inequalities persist despite legal provisions and the emphasis placed on corporate social responsibility in this area (Gresy, 2013).

One explanation for the persistent existence of these inequalities lies in the divergence of principles between the social and political advocates calling for diversity in companies and the economic decision-makers crucial for implementing such diversity. Advocates rely on a moral justification grounded in the equality of citizens, emphasizing the societal imperative. In contrast, decision-makers adhere to an economic justification tied to the growth and profitability of companies, prioritizing financial success. Notably, within corporate management, there is a prevailing conviction that social initiatives, including efforts to reduce gender inequalities, are inherently counterproductive and detrimental to economic and financial performance. This mindset implicitly rationalizes discrimination using economic principles such as profit maximization and growth. The persistence of this belief is a significant factor contributing to the resistance encountered by legal provisions supporting gender equality from business leaders.

Moreover, certain theoretical currents in economics, in particular the theory of human capital developed by Gary Becker and Jacob Mincer (1967), justify from a theoretical point of view inequalities between the sexes and legitimize discrimination. These economists explain that, rationally, companies invest less in the training of women and do not entrust them with positions of responsibility because, according to them, they are less involved in the company and because their careers are naturally interrupted by maternity. As a result, the return on investment in the training of women is necessarily lower than that made in the training of men (Mincer, 1962). The contributions and conclusions of Gary Becker and Jacob Mincer have been widely discussed by several authors, and has formed the basic theory of several works that focus on human capital and relationships within the company.

The resource theory has also established a link between the performance of companies and the diversity of their employees. The issue of gender diversity is part of this broader issue of diversity (generational, ethnic, social, religious, training, etc.) in organizations and its impact on business performance. Even if diversity can have negative effects on organizations, it is generally perceived, sometimes under certain conditions, as contributing positively to the performance of groups and companies (Richard, 2000). Diversity notably helps to improve decision-making, to explore new opportunities due to different representation systems, to adapt to the diversity of clients, to foster creativity and to improve group dynamics.

The existence of different behaviors between women and men remains a subject of debate (Cornet & Cadalen, 2009). However, several social science studies have shown that women and men behave differently in organizations. They differ in particular in their attitude to risk (Booth & Nolen, 2009...), their style of management (Fenwick & Neal, 2001), and their attraction to competition (Niederle & Vesterlund, 2007). These differences serve as the bedrock of the argument saying that gender diversity can influence business performance. In this perspective, several studies have been carried out to analyse the possible relationship between the performance of companies and the proportion of women they employ. These studies have essentially explored the relationship between the presence of women in company management bodies (executive committee or board of directors) and economic and financial performance (measured by growth in turnover, return on capital, the evolution of the stock market...). Smith & al (2006) note in their literature review on the subject, that some studies show the absence of a relationship between the feminization of management committees and company performance. Others find either a positive relationship or a negative relationship. The study done by Dezsó and Ross (2007) shows that the feminization of the management committee of American companies has a positive impact on the performance of companies that invest in R & D and that the effect is neutral for the whole of the sample. However, Lee and James (2007) showed that in the United States, the appointment of a woman as a CEO to the management of a company leads to a negative reaction from investors and a fall in the stock market price.

One plausible explanation for the absence of a significant relationship between the feminization of the top management and performance, whether positive or negative, is that gender diversity in management bodies may not exert a tangible influence on organizational functioning. A contingency-based analysis might suggest that, when confronted with similar objectives and economic constraints, both women and men ultimately adopt identical managerial practices.

However, a more comprehensive examination of the samples in the aforementioned studies unveils an alternative explanation and underscores the limitations of studies solely focusing on the presence of women in leadership roles. Despite a gradual increase in the feminization of management committees, it remains a reality that the overall presence of women is still relatively low. This is primarily due to the fact that their representation is often limited to one or two positions within the dozen or so positions typically constituting these bodies. Thus, in the study done by Dezsó and Ross (2007), of the 1,500 American companies analyzed in 2006, 29.2% reported having at least one woman on their management committee, but only 5.7% indicated have at least two. This means that 94.3% of companies have two or fewer women on their board. Similarly, Lee and James (2007) note that in 2007, of the five hundred largest American companies (Fortune 500), only seven of them were led by women and that this necessarily has consequences on the statistical validity of their results. This low presence of women in management bodies is also found in large French companies (Laufer, 2004). However, insofar as decisions in these bodies are taken by majority vote, the very minority presence of women has little chance of modifying the decision-making process. In fact, the feminization of management committees is more anecdotal than the actual constitution of a group that can influence the decision-making process. Companies practice "social window dressing" by appointing one or two women to their management bodies in a logic of social marketing and communication aimed at their stakeholders (public authorities, customers, international organizations, employees, unions, etc.) without these women have a real power of influence on the company's decision-making processes. To use the argument of Kanter (1977), a social group must reach a critical size to really influence the functioning of an organization, change the nature of interactions and modify group dynamics. In her article, the author estimates at 35% the minimum size that a minority must have to really influence

the behavior of the dominant group. It is for this reason that analyzing the impact of diversity in companies based on the (often anecdotal) feminization of management committees can hardly lead to significant results.

Another reason that may explain the lack of relationship between the feminization of management bodies and company performance has been highlighted by some researchers (Richard, 2000) who claim that analyzing diversity only in management bodies makes the deadlock on the impact of diversity among all employees on company performance. The proportion of women in management and in the entire population of the company can have as important an influence on performance as the presence of women in management bodies.

Various studies have attempted to highlight the relationship between professional diversity and company performance. The conclusions are not always consistent. One of the most cited works is the study done by Shrader et al. (1997) who looked at the statistical links between the presence of women in management positions and the financial performance of 200 very large American companies. She establishes that companies with a high percentage of female senior managers have high financial performance ratios. This study uses different measures of financial performance such as ROS (net income margin rate), ROA (return on assets) or ROE (financial profitability). In addition, Adler's study (2001) of 215 large American companies (Fortune 500 ranking) between 1980 and 1998, establishes that the firms that have promoted the most women are those whose profitability is the best, whatever the measure profitability.

A study done by Catalyst (2004) between 1996 and 2000, conducted among 353 large companies (Fortune 500 ranking), concludes that companies that are in the top quartile in terms of diversity (88 companies), achieve better financial performance than those in the lowest quartile (89): higher ROE of 35.1% and TRS (Total Return to Shareholders) of 34%. This research indicates that gender diversity in management committees and financial performance are certainly related, but it cannot affirm that it is this diversity that induces performance or the reverse. Catalyst replicates the same study in 2007 on 520 companies (Fortune 500 ranking) by mobilizing other financial indicators such as: ROS, ROIC (Return on Invested Capital). The results of this study show that there is still a correlation between the representation of women in corporate management and the financial performance of these companies. Companies that are in the top quartile (132 companies) show better financial performance than companies in the bottom quartile (129): higher ROE by 53%, ROS by 42% and ROIC by 66%.

In the period between 2000 and 2009, several researchers (especially in developed countries) have conducted studies and showed similar results. The first is the research of Carter et al. (2003) who studied 638 companies (Fortune 1000 ranking) and found a positive relationship between the presence of women (and minorities) on board and the value of the firm, materialized by Tobin's Q. Then, the study of Francoeur et al. (2008) on the 500 largest Canadian companies and which seeks to measure whether the presence of women generates abnormal corporate profitability. Their results indicate that when companies have a risky and complex activity, a high percentage of female leaders generate positive abnormal results. They, therefore, establish a positive link between the importance of the presence of female managers and financial performance. Furthermore, the absence of abnormal results in the presence of women on the board of directors shows that they generate enough value to maintain normal profitability. There is also the study by Campbell and Minguez-Vera (2008) which focused on a sample of 68 large companies in Madrid between 1995 and 2000, and on 408 observations. This research analyzed the link between the diversity of management committees and the financial performance of companies in Spain. The case of



Spain is particular, because it is reputed to be rather masculine and therefore few women at the top (-3.5% of women at the top against 7.5% in France) which is due to its Latin culture.

In the Moroccan context, few studies question the link between the presence of women in companies and their performance. However, several research have investigated the presence of women in the governance bodies of Moroccan companies. Abidi & El Abboubi, (2021) believe that the low presence of women on boards of directors in the Moroccan context is strongly impacted by education, religiosity and culture which do not support the postulate of gender parity. Igalens, & Sahraoui (2010) also pinpointed the limited presence of women in positions of responsibility in Moroccan structures. For them, this situation is due to work-family conflicts, unequal pay and many other factors.

Women in Morocco find several barriers that hinder their smooth integration into the labor market and even entrepreneurship. Women in Morocco are faced to several challenges that derive from the values of the culture putting it in a contradiction between sometimes-traditional thoughts, distributing roles in a gendered way, sometimes liberal, encouraging women to invest the social and economic sphere fully and publicly. However, there are companies that encourage and recognize the efforts made by their employees (women) on the same footing as their employees (men), something that creates a prompt and encouraging environment.

The issue of women's participation in business performance in Morocco is complex. The complexity comes from the fact that Moroccan and Arab culture in general establishes values that hinder the achievement of gender equality in the economic world. Bernard-Maugiron (2021) concluded that despite progress in the legal protection of women's rights, the gender gap in economic participation persists in the Middle East and North Africa region. There is a negative impact of legal frameworks in MENA countries and cultural factors on women's autonomy and ability to engage in economic activities.

Morocco is still characterized by gender inequalities. Relations between men and women are framed by patriarchal norms common to the Mediterranean area as well as by the rigid codification of gender relations in the family, stemming from the Muslim religion. It is for these reasons that progress towards ensuring equality between women and men remains difficult to achieve (Damamme, 2011). The labor market in Morocco exhibits significant disparities between men and women, coupled with pronounced professional segregation that narrows career options and diminishes the availability of a conducive work environment (Louizi and Dinia, 2021). The status of women in Morocco continues to be characterized by inequality in comparison to that of men (El Mataoui, 2017).

It is alarming to observe a decline in the proportion of women in the workforce over the past decade, dropping from 30% to 25% (Bennis Bennani & Cherkaoui, 2020). Therefore, it is imperative to implement concrete actions and strategies to encourage companies to establish systems that prioritize competence as the sole criterion for evaluating and promoting employees, while addressing any form of gender discrimination.

Nevertheless, various situations offer a compelling insight into the capabilities of women across different domains. Zouheir (2014), among others, highlighted women's involvement in Argan oil cooperatives, where they assume roles in production, management, and marketing. These cooperatives serve as a tangible example of how the presence of women can positively impact organizational performance.



### 3. Methodology

#### 3.1 Choice of research field

Numerous companies worldwide are cultivating a culture and values that endorse gender equality. In Morocco, achieving professional equality between men and women is considered imperative for both companies and public institutions, accompanied by business case and social equity implications. Multinational corporations in Morocco, particularly pioneers in equality practices, import Human Resource Management (HRM) practices from Western countries, aiming to seamlessly adapt these practices to the Moroccan context and foster gender equality within their organizations (Bentaleb & Sahraoui, 2018). In our research, we have chosen to focus on subsidiaries of international firms advocating for gender equality, specifically within the prominent audit sector in Morocco. The chosen entities are the "big four" audit firms: Deloitte, PwC, EY, and Mazars, acknowledged as global giants in the audit industry with a presence on almost every continent. These firms claim commitment to equal opportunities between women and men, promoting values that encompass parity in recruitment, career support, work-life balance, fairness in promotions and salaries, and internal awareness<sup>1</sup>.

Our study aims to measure the contribution of women to the performance of companies, gauged through turnover and customer satisfaction. This necessitates selecting a structure implementing concise and objective personnel evaluation methods. Audit firms emerge as fitting candidates for this research, as they establish clear, transparent, correct, and objective criteria for evaluating individual auditors and teams (Gaddour, 2016). Hence, we have chosen Deloitte, PwC, EY, and Mazars in Morocco as our research field. The questionnaire will be distributed to all auditors within these four firms, and the subsequent analysis will be conducted separately for each structure.

#### 3.2 Sample selection

The study focuses on the auditors of the big four audit firms implanted in Morocco: Deloitte PwC, EY and Mazars. We sent our questionnaire to all auditors working in those firms as following:

Table 1: Construction of our sample:

Audit firm	Total population (auditors only)	Number of auditors who received the questionnaire	Number of responses received
Deloitte	35	35	29
PwC	27	27	26
EY	30	30	30
Mazars	35	35	32
Global sample			117

The characteristics of our sample are as mentioned below:

<sup>1</sup><https://www.pwc.fr/fr/qui-sommes-nous/notre-strategie/agir-collectivement-pour-un-impact-positif/parite-hommes-femmes-l-index-de-l-egalite-femmes-hommes.html>  
<https://www2.deloitte.com/fr/fr/pages/talents-et-ressources-humaines/articles/egalite-professionnelle-entre-les-femmes-et-les-hommes.html>  
[https://www.ey.com/fr\\_fr/careers/egalite-professionnelle-femmes-hommes](https://www.ey.com/fr_fr/careers/egalite-professionnelle-femmes-hommes)  
<https://www.mazars.fr/Accueil/A-propos/Publications-institutionnelles/L-index-Mazars-egalite-professionnelle>  
Consulted on 07/10/2022 à 17H.

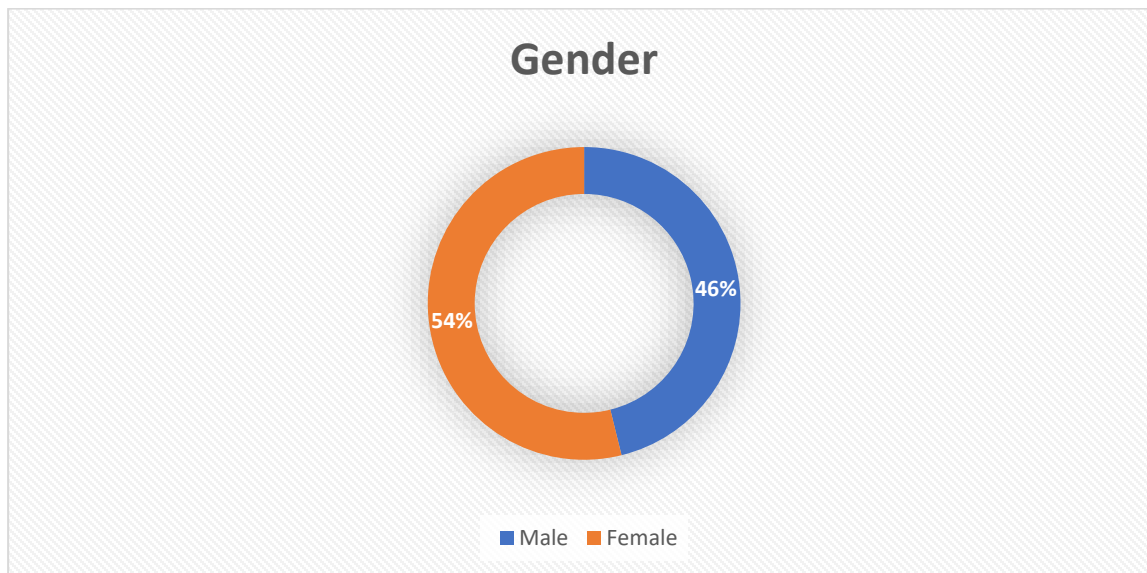


Figure 1: Gender of auditors constituting our sample

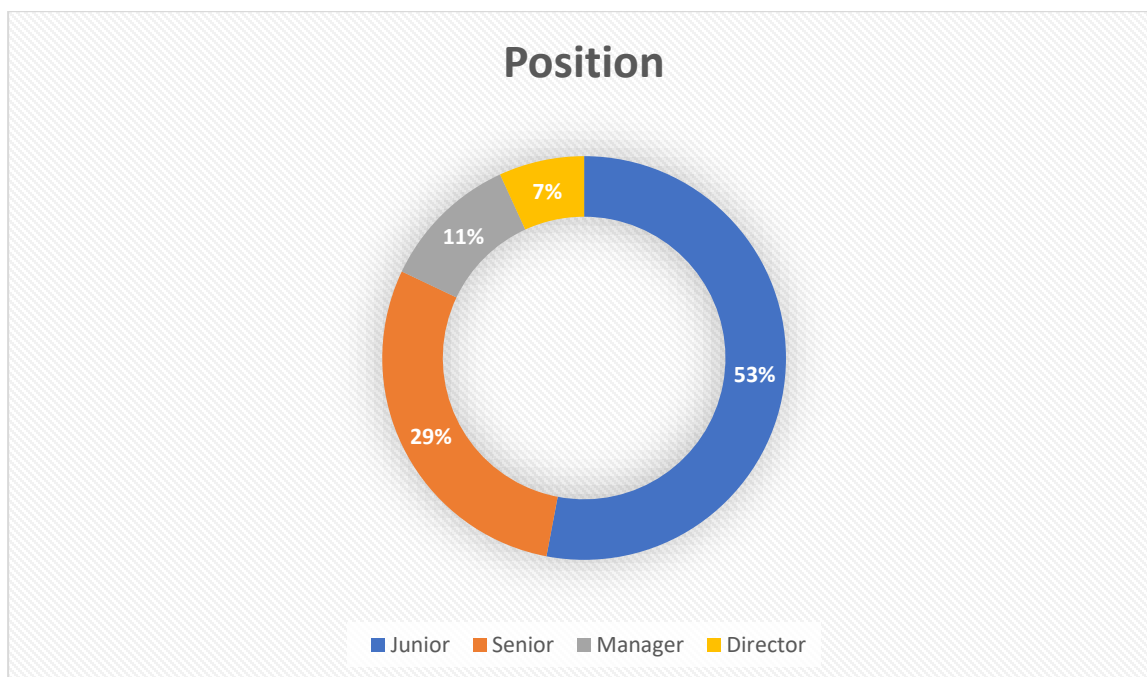


Figure 2: Position of auditors constituting our sample

### 3.3 Data collection and analysis

Data collection was done through questionnaires sent to all auditors working in the Big 4 subsidiaries in Morocco. The total of the responses received is 117, comprising 92% of the population. It is worth mentioning that we had the consent of the concerned institutional contributors and mainly the participants of this study to have data/responses processed, analyzed, and published publicly; we have added a section in the questionnaire that requires the approval of all parties concerned. The questionnaire distributed contained the following questions:

Table 2: The main questions on our questionnaire:

<b>Question</b>	<b>Possible answers</b>
<b>Number of hours worked per week</b>	<i>Our study focuses on the high season for auditing professions, which is 5 months (from January to May). The auditor presents an average of working hours per week and we multiply it x 20</i>
<b>Existence of effective M/F parity at work</b>	<i>A scale of 5, where 1 represents a non-existence of equity between men and women</i>
<b>Level of participation in the firm's turnover</b>	<i>Five options are possible: 1 - A decrease compared to year N-1 2 – Stagnation between N and N-1 3 – A weak improvement in N compared to N-1 4 – An average improvement in N compared to N-1 5 – A strong improvement in N compared to N-1</i>
<b>Maintained relationship with customers</b>	<i>A scale of 5, where 1 represents a poor relationship with customers</i>
<b>Satisfaction with salary increase</b>	<i>A scale of 5, where 1 represents total dissatisfaction with the salary increase.</i>
<b>Level of Affective Engagement with the Firm</b>	<i>A scale of 5, where 1 represents disengagement from the firm.</i>
<b>Awareness of the importance of M/F parity</b>	<i>A scale of 5, where 1 represents my lack of awareness of M/F parity at work.</i>

The data collected will be analyzed by SPSS software using the linear regression method.

The objective of the linear regression model is explaining the variation of a measurable phenomenon (variable quantitative dependent) by that of one or more other (quantitative variables). Simple or multiple linear regression estimates the coefficients of the linear equation involving this or these independent variables, which best assess the value of the dependent variable.

In our case, we aim to test our research hypotheses through the study of the relationship between:

- Gender and number of hours worked
- Gender and level of participation in the board
- Gender and quality of relationships maintained with customers
- Gender and satisfaction with salary increase

These various analyzes will allow us to formulate recommendations and analyzes that will also be beneficial for the audit firms, the auditors, the various Moroccan companies and for the Moroccan government. This method seems appropriate to us because it will help us to statistically determinate the relationship between all our variables that we aim to study. We will have the possibility of establishing a multiple regression equation where the explanatory variables will be (between others) the gender (in all tests performed).

It should also be added that a Principal Component Analysis (PCA) would enrich our statistical analysis in order to determine the variables that are correlated with each other in order to present adequate recommendations.

#### 4. Results

We have implemented three statistical analyzes as shown below:

- A linear regression taking the number of hours worked as a variable to be explained and gender, the existence of a true culture of male/female parity and awareness around the importance of male/female parity as being explanatory variables.
- A linear regression taking the level of participation in the firm's turnover as a variable to be explained and gender, the existence of a real culture of male/female parity and awareness around the importance of male/female parity as being explanatory variables.
- An ACP taking into account all the variables of our questionnaire: the level of study, the number of hours worked, the sex, the existence of a real culture of gender parity, the effort to raise awareness around the importance of male/female parity, the level of customer satisfaction, affective commitment, etc.

##### 4.1- Test 1: Output of the 1st test carried out

Table 3: Model of regression

<i>R</i>	<i>R<sup>2</sup></i>	<i>R<sup>2</sup> Adjusted</i>	<i>Variation of F statistic</i>	<i>Sig. of F statistic</i>	<i>DW</i>
<b>0.925</b>	<b>0.856</b>	<b>0.852</b>	<b>224.077</b>	<b>0.000</b>	<b>0.653</b>

We can notice that the coefficient of correlation  $R = 0.9$  (close to 1). We can conclude that there is a correlation between the number of hours worked and the explanatory variables that we have chosen. The  $R^2 = 0.85$ . The variables explain more than 80% of the variable to explain and the sig. variation of F-statistic is 0.000. The model is valid (so, the level of error is less than 1%). The correlation extracted is as follows:

Table 4: Correlations:

<i>Correlation</i>	<i>Number of hoursworked</i>
<i>Number of hoursworked</i>	<b>1.000</b>
<i>Gender</i>	<b>-0.131</b>
<i>Raising awareness with gender parity</i>	<b>0.096</b>
<i>Existence of an effective gender parity</i>	<b>0.921</b>

At this level, we can see that the number of hours worked is strongly impacted by the effective existence of a true culture of gender parity (0,9). The more the auditors feel that there is transparency and a fight against gender discrimination, the more they will be motivated to work harder.

##### 4.2- Test 2: Output of the 2nd test carried out

Table 5: Model of regression:

<i>R</i>	<i>R<sup>2</sup></i>	<i>R<sup>2</sup> Adjusted</i>	<i>Variation of F statistic</i>	<i>Sig. of F statistic</i>	<i>DW</i>
<b>0.886</b>	<b>0.785</b>	<b>0.780</b>	<b>137.719</b>	<b>0.000</b>	<b>1.234</b>

We can notice that the coefficient of correlation  $R = 0.88$  (close to 1). We can conclude that there is a correlation between the level of participation of auditors in the turnover of the firm and the explanatory variables that we have chosen. The  $R^2 = 0.78$ . The variables explain more than 78% of the variable to explain. In addition, the sig. variation of F-statistic is 0.000. The model is valid (so, the level of error is less than 1%). The correlation extracted is as follows:

Table 6: Correlations:

<i>Correlation</i>	<i>Participation in the firm turnover</i>
<i>Participation in the firm turnover</i>	<i>1.000</i>
<i>Gender</i>	<i>0.878</i>
<i>Raising awareness with gender parity</i>	<i>0.132</i>
<i>Existence of an effective gender parity</i>	<i>-0.119</i>

Through the table of correlations, we can see that the participation in firm's turnover is strongly impacted by the sex of the auditor. This important correlation links the level of auditor participation in the firm's revenue generation and their gender.

#### 4.3- Test 3 : Output of the Principal Component Analysis

In general, the application of PCA is legitimate because we have 11 variables and 117 individuals. In addition, verification tests of the applicability of an ACP generated by SPSS confirm our decision. The KMO test is 0.644 and the significance of Bartlett's test is  $0.000 < 0.005$ .

Table 7: Tests of KMO and Bartlett:

<b>Test of KMO</b>		0.644
<b>Test of Bartlett</b>	<b>Khi<sup>2</sup> approx</b>	663.195
	<b>ddl</b>	55
	<b>Sig.</b>	0.000

Following this, we will proceed with the extraction of the component matrix. To achieve this, we will refer to the eigenvalues table, which is presented as follows:

Table 8: Total variance explained:

initial eigenvalues				sums extracted from the square of changes		
component	Total	% variance	% cumulative	Total	% variance	% cumulative
1	3.309	30.081	30,081	3.309	30.081	30,081
2	2.171	19.739	49,820	2.171	19.739	49,820
3	1.301	11.830	61,650	1.301	11.830	61,650
4	0.999	9.084	70,734			
5	0.821	7.462	78,196			
6	0.758	6.887	85,083			
7	0.672	6.112	91,195			
8	0.611	5.552	96,747			
9	0.203	1.847	98,594			
10	0.102	0.924	99,518			
11	0.053	0.482	100,000			

As shown in the above table, 61% of the information is understood by 3 components, resulting in a loss of less than 40%. We can therefore say that our analysis is valid from a statistical and informational point of view. Hence, the component matrix will appear as follows:

Table 9: Component Matrix:

	Component		
	1	2	3
Progression_grade_resp	0.006	-0.066	-0.737
Gender	0.734	0.469	0.127
Position	-0.444	0.327	-0.401
Affective_commitment	0.166	0.616	0.031
Satisfaction_with_salary_increase	-0.311	-0.268	0.550
Study_level	0.894	0.209	0.006
Number_hours_worked	-0.669	0.635	-0.038
Raising_awareness_gender_parity	0.051	0.347	0.268
Participation_turnover	0.789	0.462	0.065
Quality_relationship_clients	-0.506	0.199	0.445
Existence_gender_parity	-0.567	0.754	-0.050

Through the table of components, several observations can be made:

- Gender and level of participation in the turnover are part of the same axis.
- Affective commitment, the number of hours worked, and the effective existence and culture of gender parity are part of the same axis.

## 5. Discussion

The issue of gender parity in the workplace holds significant importance in Morocco. It is a goal pursued by the government, NGOs, and society at large. However, women's participation in economic activities remains low, not exceeding 30% (Bennis Bennani & Cherkaoui, 2020). Various works and authors have tried to illustrate the positive impact that an effective gender parity can have in the workplace. A culture



that actively opposes discrimination can contribute to fostering a motivating work environment (Igalens, 2011). Our statistical analysis further supports this notion. In organizations embracing a true culture of gender parity and combating all forms of sex-based discrimination, employees, tend to invest more effort and dedication into their work.

A groundbreaking finding in our study highlights a strong correlation between the gender of auditors and their contribution to the company's turnover. By assigning gender codes (1 for male and 2 for female), we observed that women are more likely to play a substantial role in income generation for a company, especially within an audit firm. This observation, confirmed through linear regression and supported by Principal Component Analysis (PCA), indicates a high level of correlation. Notably, both gender and revenue creation are influenced by the same parameters, as reflected in their classification along the same axis.

Despite efforts, gender inequalities persist in Morocco, and progress towards equality remains challenging (Damamme, 2011). The labor market in Morocco faces significant disparities and strong occupational segregation, limiting career options for women and hindering a favorable working environment (Louizi and Dinia, 2021). This prevailing culture promoting gender inequalities not only impedes women's productivity but also poses a substantial setback for the Moroccan economy.

Our PCA analysis further validates a notable correlation between the number of hours worked and the culture of gender parity, as both factors are classified along the same axis.

## **6. Recommendations**

The issue of gender equality at work is a subject of international debate, where countries and governments are constantly taking all necessary measures to guarantee a better world where women will have access to all their rights on the same footing equally as men. In Morocco, gender inequalities at work persist despite the efforts made by both the government and NGOs. The female activity rate does not exceed 30% and the income gaps are still flagrant. We will therefore suggest putting forth a set of recommendations designed primarily to uphold and actualize gender parity within our research domain. Additionally, our aim is to suggest measures that can be implemented to extend the advancements observed in audit firms to all Moroccan companies. Furthermore, we aspire to propose initiatives that could potentially be adopted by the Moroccan government. The recommendations can be listed as follows:

- Train, inform and cooperate: Several training and awareness-raising actions on the importance of gender equality at work must be initiated: This is an issue that has significant repercussions on the social climate. This recommendation can be implemented through the following actions:
- Train the various auditors and staff delegates and representatives in a systematic way to detect violence and provide adequate responses (At the national level, it is recommended to train labor inspectors and representatives of the Ministry of Labor and to support the victims);
- Train trade union delegates and elected personnel in health, safety and working conditions;
- Train anyone who has been promoted to a position of responsibility on the need to respect equity in the workplace.
- Organize cultural and artistic events on themes relating to gender parity at work.
- Establish an alliance in consultation with the CGEM (NGO legal representative of companies in Morocco), and large companies in order to put in place a strategy to denounce and prevent any type of gender discrimination in the workplace.
- Accompany the victims.

- Set up trained and identifiable referents for all employees: a referent chosen from among the elected staff representatives, and a referent in the occupational medicine departments.
- In companies with more than 250 employees, establish a referent on the Human Resources side
- Reconciling professional life and family life: work in audit firms is periodic. During the tax season (which in Morocco lasts 5 months), the volume of work becomes more important, hence more hours and days of work; At this level, we recommend favoring home working for women in order to guarantee their safety and avoid any incident that may occur as a result of women leaving the office late. This recommendation will also help women to take care of their households without jeopardizing their careers. Men can also benefit from this flexibility.
- Encourage women to take on more responsibilities: The partners all the firms forming our field of research are men. In addition, more than 60% of directors are men. It is therefore recommended to support women so that they can occupy these positions of great responsibility.

## **7. Conclusion**

Our study concentrated on the subsidiaries of the big four firms in Morocco, which have embraced policies fostering gender equality and combatting all forms of gender discrimination. To the best of our knowledge, no prior research has delved into the examination of women's participation levels in the performance of Moroccan companies, particularly within the context of audit firms. Thus, our research stands as an original contribution, potentially serving as a model for similar studies in other countries or industries. This article has afforded us the opportunity to investigate and analyze the potential relationships and links between factors such as effective commitment, hours worked, income creation, auditor gender, company culture, and the effectiveness of awareness-raising efforts implemented by the company.

While our findings are important, it's essential to recognize the limitations of our study. Firstly, our sample mainly consists of subsidiaries of the big four firms, so it might not fully reflect all Moroccan companies. This means we should be careful when applying our results to the wider business landscape in Morocco. Also, because our study only looks at one point in time, it might not capture changes over time. This highlights the need for more research that follows companies over a longer period to confirm our conclusions.

It is recommended to extrapolate our analysis to other sectors such as banking, advertising agencies, and even public administrations, while considering the representativeness of the sample compared to the chosen population. Other studies could be implemented using qualitative approaches such as interviews and observations.

Our analysis reveals a significant impact of company culture on employee productivity. A corporate environment where top management promotes transparency, fights against discrimination, and raises awareness correlates with higher employee motivation and increased effort. Drawing from the insights gained through this study, we have formulated recommendations for various stakeholders, including audit firms, companies, NGOs, and the government.

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## Young Entrepreneurship in Portugal: Main Motivations and Barriers

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**Abstract:** *Entrepreneurship is becoming increasingly important in society, both economically and socially. Entrepreneurial activity is important to different groups of people, particularly the young, because of its potential as a source of self-employment and the ability to develop and implementing new business ideas. Specifically, youth entrepreneurship is understood as an activity developed by young people aimed at creating something of value, taking into account the business opportunities perceived in the environment. This activity is usually a process of creating value by developing and promoting a new business or discovering a product or service that is new to the market. This chapter aims to answer the following general research question: (i) What are the main motivations and barriers that lead young people to become entrepreneurs in Portugal? This general research questions is divided into three objectives. Firstly, to understand the entrepreneurial activity of young people in Portugal and what motivates them to become entrepreneurs. Secondly, to identify the main barriers that deter the activity of entrepreneurship. Thirdly, to identify the extent to which their perceptions of starting a new business are similar or not to those of other age groups. To attain these research objectives, the empirical study uses a quantitative methodology. For this purpose, an online survey is conducted among people who have created their own business in different age groups. The disaggregation by age will make it possible to develop a comparative study between the two groups of entrepreneurs (young versus other ones). The results show that the main motivations for young entrepreneurs to start a new business are personal and professional independence and the desire to create something of their own. The comparison between young and other age groups of entrepreneurs leads to the conclusion that there are some differences between them. Regarding motivations the differences are related with the professional and personal dimensions while in terms of difficulties the lack of business and management training and the lack of specialized advice and support are highlighted.*

**Keywords:** *Entrepreneurship; young people; youth entrepreneurship; motivations; Portugal.*

### 1. Introduction

Entrepreneurship is a rapidly growing field that is an important and exciting area of research (Nielsen et al., 2021). In times of globalization and increasing competitiveness, entrepreneurship has been recognized as a driving force for economic activity (Nassif et al., 2009). Entrepreneurship means to achieve something new and tangible by carrying out business ventures. Entrepreneurship means producing goods and/or services and also promoting social and economic well-being. Being an entrepreneur is about being at the forefront, creating something new and helping modern society reach new high standards (Ahmed, 2016). Youth entrepreneurship, on the other hand, is understood as an activity undertaken by young people with the aim of creating something of value, taking into account the opportunities perceived in the market. This activity is usually characterized by a process of value creation through the development and promotion of a new business or the discovery of a new product or service by young people (Ling et al., 2011).

In recent years, there has been a growing recognition of the importance of youth entrepreneurship (Misra, 2022). Authors such as Hassani and Khouni (2013) argue that young people play a very important role in determining the future of entrepreneurship, as this group is able to positively react to the rapid changes that characterize the contemporary world. In addition to their ability to cope with existing changes, young



people also play an important role in future economic growth and development (Hassani & Khouni, 2013). According to Lez'er et al. (2019), this generation also contributes significantly to the development of small and medium-sized enterprises, the development of a sustainable middle class, the creation of new jobs, and the reduction of unemployment, all of which have a positive impact not only on the economy but also on the society as a whole.

Following the arguments stated above, the main research question is to identify the motivations and barriers to youth entrepreneurship in Portugal. Specifically, the main motivations that lead young people to become entrepreneurs, the main difficulties faced by young entrepreneurs when starting their business; and the differences between young and non-young entrepreneurs regarding their perceptions about starting a new business.

The relevance of this research arises from the fact that youth entrepreneurship is an area that is still highly underexplored, with few empirical studies in Portugal. In addition, an understanding of the factors that can promote the rate of young entrepreneurship in the country has a huge potential in terms of economic and social development.

Taking into account the research purposes, the article is structured as follows. Firstly, in Section 1, a review of relevant literature is carried out on the concepts of entrepreneurship and youth entrepreneurship. After that, the main motivations for entrepreneurship and young entrepreneurship are explored. Section 2 describes the methodology of the study. Section 3 then presents the statistical analysis and the empirical results of the data collected. Finally, the main conclusions are presented, as well as limitations and future research opportunities.

## **2. Theoretical background**

### **2.1 Entrepreneurship and youth entrepreneurship**

Defining the concept of entrepreneurship is not a straightforward endeavor, as the literature contains a variety of definitions provided by different authors on the subject (Bygrave & Hofer, 1991; Churchill & Lewis, 1986; Cunningham & Lischeron 1991). Nevertheless, the literature suggests that entrepreneurship is the act of creating a new business with all the associated risks and responsibilities (Chauhan & Aggarwal, 2017). The same authors also highlight that entrepreneurship is an act that goes beyond the creation of this new business and encompasses also all the activities necessary to ensure its sustainability (Chauhan & Aggarwal, 2017). Nielsen et al. (2021), on the other hand, argue that the concept of entrepreneurship refers to a broad phenomenon that is fundamentally focused on the creation of new opportunities and processes. In this context, the entrepreneur is seen as someone who recognizes an opportunity and creates a business to take advantage of it, typically exhibiting characteristics such as curiosity and attention to their surroundings context (Bygrave & Hofer, 1991; Kirzner, 1973; Schumpeter, 1949). Entrepreneurs are also those who incubate new ideas, create businesses, and add value to society through their business initiatives (Holt, 1992).

More recently, entrepreneurs have been defined as individuals who are self-employed or who want to be self-employed, or those who create or seek to create new businesses, whether in the formal or informal economy, with the aim of generating income (Ellis & Williams, 2011). Entrepreneurs can also be seen as an economic agent, who are able to find opportunities in the market and then seek to have the necessary factors to take advantage of them (Van Aardt et al., 2008). According to Tiftik (2014), in order to be successful and generate the income they are looking for, entrepreneurs need to be creative and set goals and strategies.



Youth entrepreneurship, in turn, is seen as the application by young people of entrepreneurial qualities, such as initiative, innovation, creativity and risk-taking, using the tools and skills needed to succeed in the business world (Schnurr & Newing, 1997). More recently, other authors have defined youth entrepreneurship as the activity carried out by young people which consists of creating and innovating in order to build something of recognized value taking into account the existing opportunities in the market (Bolton & Thompson, 2004; Ling, 2011).

Despite the existence of different definitions specific to the concept of youth entrepreneurship, several authors argue that this concept can be described by the same definitions as those of entrepreneurship in any other age group, since it is fundamentally driven by the same principles (Ellis & Williams, 2011; Matricano, 2018).

## **2.2 Motivations for entrepreneurship and young entrepreneurship**

Entrepreneurship is an increasingly studied area, with a growing number of authors seeking to understand the factors associated with the launch of new ventures. In the field of entrepreneurship, and as advocated by the theory of planned behavior (Ajzen, 1991), intentions are recognised as a robust predictor of human behavior. However, the motivations that lead an individual to aspire to become an entrepreneur are still the subject of limited research (Mahto & McDowell, 2018; Murnieks et al., 2019). Nevertheless, literature reviews highlight two different motivations for creating a new venture, which can be grouped into (i) entrepreneurship by necessity and (ii) entrepreneurship by opportunity (Block et al., 2015; Ellis & Williams, 2011; Llisterri et al., 2006; Rosário, 2012). The former is defined by the need to create a job, which results either from the difficulty of finding a suitable place in the labor market or from the inability to continue studying. In this case, the initiative is developed by entrepreneurs who have little or no form of income or employment opportunities becoming entrepreneurs by necessity and not by choice.

The second, on the other hand, can be seen as the existence of an intrinsic vocation to explore new ideas and occurs when a perceived opportunity to create a business arises (Llisterri et al., 2006). In this case, entrepreneurs recognize that there is a business opportunity in the market and choose to take advantage of it becoming an entrepreneur by option.

Ellis and Williams (2011) mention a third possible motivation for entrepreneurship, which is growth-oriented entrepreneurship. This consists of entrepreneurs who have a greater potential to create businesses/jobs that may lead to a higher chance of reaching international markets and/or greater innovation in creating products and services (Ellis & Williams, 2011).

When it comes to understand what kind of person is motivated by different types of entrepreneurship, Llisterri et al. (2006) pointed out that necessity entrepreneurship occurs mostly in groups with fewer financial resources, who have less education and, in most cases, their businesses are not successful in the long run. This is due to the lack of intrinsic vocation of the entrepreneurs, as well as the lack of skills and resources that the launch and management of a new venture may require. Entrepreneurship by necessity is also defined by the fact that there is less time to invest, as well as less capacity to plan and prepare carefully and thoroughly how the venture will be launched. It should be added that external circumstances may sometimes play a role and lead to this inability to plan and implement (Block et al., 2014).

Furthermore, other authors also argue that entrepreneurship by necessity, is more recurrent in less developed countries, as an attempt to overcome unemployment (Rosário, 2012). This idea is consistent with the argument that this type of entrepreneurship occurs mainly in groups with lower financial capacity. The literature review also mentions that in this type of entrepreneurship, the fear of failure is necessarily

less relevant in the decision to become an entrepreneur. In contrast, in entrepreneurship by opportunity, education is a strong determinant of propensity to start an enterprise (Rosário, 2012). Nevertheless, the line between the act of starting a business by necessity or opportunity is sometimes blurred, which can make it difficult to establish a clear frontier between them (Ellis & Williams, 2011).

Finally, the literature also identifies motivations related to other factors that come to the fore in entrepreneurship, such as individual autonomy, balancing family and work, achieving success (Amit & Zott, 2001) or exposure to entrepreneurship from a very young age, for example through entrepreneurial parents or other role models (Chlosta et al., 2012; Lindquist et al., 2015; Walter & Heinrichs 2015). The motivations that lead someone to become an entrepreneur may also include a search for self-identity, to create something of their own, and to grow personally and professionally (Mahto & McDowell, 2018).

Focusing the analysis on youth entrepreneurship, the literature shows that the motivations for entrepreneurship by opportunity and necessity can also be applied to the case of youth entrepreneurship. Thus, entrepreneurship by opportunity includes young entrepreneurs who have access to a business opportunity and start working on it. Entrepreneurship by necessity, on the other hand, includes individuals who from young age decide to start a business as their attempts to find a job have failed (Llisterri et al., 2006). With regard to the motivations of young entrepreneurs, there are studies that try to understand whether a young person who is unemployed or has already experienced unemployment had different characteristics from a young person without this history in the world of work. Dvouletý et al. (2018) asserted that factors related to opportunities are less important for those who have experienced unemployment, as they are more likely to generate income while those who have already experienced unemployment are more likely to create a less skilled and lower-paid job of their own.

With respect to more specific motivations for youth entrepreneurship, as compared with entrepreneurship in a broader sense, the research is scarce. There are several studies that try to understand these motivations in different specific countries, such as Uganda, where the researchers found that the motivations for young entrepreneurs in that country are not only related to necessity or opportunity, but with factors such as independence and freedom (Langevang et al., 2012). In the United Arab Emirates, studies have collected data that suggest that the main motivators for young entrepreneurs include factors such as personal fulfillment, the possibility of increasing income, and working independently (Sandybayev, 2017). Another study conducted in South Africa concluded that the main motivations of rural youth were the desire to be independent, the desire to be involved in something challenging, and the need to earn a higher income (Malebana, 2021).

### **2.3 Main difficulties for young entrepreneurship**

Despite the various motivations that may be associated with the creation of an entrepreneurial initiative, young entrepreneurs also face difficulties in starting and developing a new venture. First, it is worth noting that the highest rate of entrepreneurship is observed among people over the age of 40 in the United States (Azoulay, et al., 2020). Differently the Global Entrepreneurship Monitor (GEM, 2023) found that young adults, aged below 35 years old, are more likely to start or run a new business than older adults. At first glance, it could be considered that it is more difficult for younger people to become entrepreneur. However, existing evidence shows that young entrepreneurs are equally or even more capable of creating successful businesses than other entrepreneurs (Shaw & Sørensen, 2021). The entrepreneurial activity is also seen as positive, as it allows young people to enrich their individual skills, which can be a source of added value in the short and long term (Ceptureanu & Ceptureanu, 2015).

Despite this, young entrepreneurs also face some difficulties. One of the main difficulties identified in the

literature is access to finance for business development, which can be particularly difficult for young people, especially when the level of investment is high. Thus, in addition to the fact that young entrepreneurs may not have sufficient own resources to start a business due to their young age, they often face additional difficulties in accessing loans (Beck et al., 2008; Beck et al., 2010; Ceptureanu & Ceptureanu, 2015).

Another difficulty may be a certain stigma attached to young people's entrepreneurial potential, which may not be properly valued by the education system, their family and other people around them. This may result in young people not having access to the tools they need to develop their entrepreneurial potential, as the education system tends to invest mainly in preparing young people for traditional paid employment, rather than for entrepreneurship and self-employment (Potter, 2008; Ceptureanu & Ceptureanu, 2015). Age stigma can also affect how these individuals are perceived by markets, competitors, and even potential future employees, as young people may be viewed as inexperienced, lacking credibility and responsibility, and as weak competitors (Potabatti & Boob, 2015).

The lack of social capital and knowledge of the business world in this age group is another difficulty for young entrepreneurs. This can be a barrier for them to start a business, but also create obstacles to grow and succeed in the market (Potabatti & Boob, 2015; Ceptureanu & Ceptureanu, 2015). The limitations of young entrepreneurs may also be related with the access to information, which may include very diverse topics, such as information on how to access financial loans, knowing the legal procedures involved in starting a business, the bureaucracy required to develop a business, and other elements about which there is little or no information (Ceptureanu & Ceptureanu, 2015).

Furthermore, it should be noted that perceived difficulties in starting and developing a new business may influence the propensity for young entrepreneurship, which may also be conditioned by other factors, such as the potential of the country where the entrepreneur is located, socio-demographic characteristics or educational level.

### **3. Methodology**

The main objective of this chapter is to study the main motivations that lead young people to become entrepreneurs in Portugal, as well as, the main barriers. Accordingly, the specific research objectives of the chapter are the following: (i) identify the main motivations that lead young people to become entrepreneurs in Portugal; (ii) identify the main difficulties faced by young entrepreneurs in Portugal when starting their business; (iii) analyze the main differences between young and non-young entrepreneurs by comparing their perceptions about starting a new business.

Having these objectives in mind, the research has used a quantitative approach. The primary data were collected through a survey based on a structured questionnaire. The purpose of the questionnaire was to gather information that would allow the various specific objectives of the study to be answered. To this end, questions were first asked to obtain information about the respondents to characterize the sample. The next question, a filter question, asked if the respondents had ever started their own business. Only respondents who answered positively moved on to the next two groups of the questionnaire. The last two groups were designed to measure, first, different motivations for becoming an entrepreneur and, second, the difficulties faced by these entrepreneurs. The questions in these two groups were Likert scale questions based on the study conducted by Giacomini et al. (2010). After the questionnaire had been designed, a pre-test was carried out on 9 people with the necessary characteristics to be included in the sample. The main objectives were to find out if the questionnaire would be easy for the respondents to understand and if there were any errors that needed to be corrected or any other changes that needed to be made. Once

the pre-test was conducted, it was possible to assess how long it would take to answer all the questions, as well as its relevance and effectiveness. After the changes were made, the questionnaire was posted online on a social media page (Facebook and LinkedIn).

Given the research objectives, the units of analysis were individuals who had already started their own business. Individuals aged between 18 and 34 years old were categorized as young people, comparing to other age groups.

The data was collected using Google Forms, where the questionnaire was available to answer from September 10 to September 22, 2022. The data collection process has obtained 211 responses. The data collected were analyzed using the Statistical Package for Social Science (SPSS).

The main characteristics of the sample are systematized in Table 1. The analysis of the data by age shows that the most common group among the respondents is the cohort between 26 and 35 years old (39.8%), followed by 15 to 25 years old (32.2%) and 36 to 45 years old (19.4%). On the other hand, people between the ages of 46 and 55 years old or older than 56 years old have a low frequency level in the sample (7.1% and 1.4%, respectively). Concerning gender, most of the respondents are female (74.4%). Looking at the region of the country in which the respondents are located, we see that the vast majority of the individuals are located in the North of the country (60.2%). The second most common region is the center (29.9%), that is followed by the south (8.5%) and, finally, by people who live in the islands (1.4%).

Regarding educational level, 87 respondents (41.2%) indicated that they had completed a bachelor's degree, which is the most common group among those surveyed. This was followed by respondents with a master's degree (24.6%) and a secondary degree (19.4%). The other options available received a lower number of responses, as shown in Table 1. In addition, we observe that humanities is the area where most of the respondents have developed their education (19.9%), that is followed by arts (15.2%), social sciences (11.3%) and business sciences (10.9%).

Table 1: Sample profile

	<b>N</b>	<b>%</b>
<b>Age</b>		
15-25 years old	68	32.2%
26-35 years old	84	39.8%
36-45 years old	41	19.4 %
46-55 years old	15	7.1%
56 years or older	3	1.4%
<b>Gender</b>		
Female	157	74.4%
Male	54	25.6%
<b>Region of the country</b>		
North	127	60.2%
Center	63	29.9%
South	18	8.5%
Islands	3	1.4%
<b>Educational level</b>		
Second cycle	4	1.9%
Third cycle	4	1.9%
Secondary	41	19.4%
Technical/professional course	22	10.4%

<b>Bachelor</b>	87	41.2%
<b>Master</b>	52	24.6%
<b>Doctorate</b>	1	0.5%
<b>Field of study</b>		
<b>Humanities</b>	42	19.9%
<b>Scineces</b>	15	7.1%
<b>Health</b>	14	6.6%
<b>Social Sciences</b>	24	11.3%
<b>Business Sciences</b>	23	10.9%
<b>Law</b>	10	4.7%
<b>Engineering</b>	10	4.7%
<b>Computer science and information systems</b>	4	1.9%
<b>Arts</b>	32	15.2%
<b>Food services</b>	4	1.9%
<b>Tourism</b>	4	1.9%
<b>Electronics</b>	2	0.9%
<b>Management</b>	2	0.9%
<b>Marketing</b>	8	3.8%
<b>Architecture</b>	2	0.9%
<b>Others</b>	15	7.1%

Source: Own elaboration

## 4. Results

### 4.1 Exposure to entrepreneurship

The level of exposure to entrepreneurship education and contacts with other entrepreneurs was assessed through two questions. The results (Table 2) shows that most of the respondents (74.4%) have never had any entrepreneurship course during their academic career. In addition, most of them have never participated in any training or workshop on entrepreneurship (62.6%). Similarly, more than half of the respondents indicated that they had never sought entrepreneurship training by their own initiative (56.4%).

Interestingly, however, 78.2% of respondents said that they had already been in contact with someone who had become an entrepreneur, and 70.1% even said that they had already started their own business.

Table 2: Respondents' exposure to entrepreneurship

	<b>Yes</b>		<b>No</b>		<b>Total</b>	
	N	%	N	%	N	%
<b>Did you ever take any entrepreneurship courses at school?</b>	54	25.6%	157	74.4%	211	100%
<b>Have you ever attended any training or workshops on entrepreneurship?</b>	79	37.4%	132	62.6%	211	100%
<b>Have you ever sought entrepreneurship training for yourself?</b>	92	43.6%	119	56.4%	211	100%
<b>Have you had/do you have contact with someone who has become an entrepreneur?</b>	165	78.2%	46	21.8%	211	100%

<b>Have you ever created your own business?</b>	148	70.1%	63	29.9%	211	100%
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Source: Authors own elaboration

An analysis of the demographics and characteristics of the respondents at the time of starting their business (Table 3) shows that 43.2% of the respondents who reported having already started their own business said that they did so at the cohort between 15 and 25 years old. This is followed by respondents who belong to the age group between 26 and 35 years old (37.2%) or between 36 and 45 years old (14.9%).

Regarding the situation in which individuals started their business, the most common characteristic was full-time employed (29.7%), followed by salaried (23.6%), unemployed (22.3%) and student (18.9%). The analysis of the results also shows that the majority of the businesses created are still active (84.5%) and 6,8% are in the opening/creation stage. The businesses are mainly developed in the tertiary sector (51.4%), followed by the primary and secondary ones (26.4% and 21.6% respectively). Looking specifically at the area in which the businesses were developed, retail trade was the most prevalent (31.8%), followed by handicrafts (10.8%) and fashion and accessories (7.4%). The "other" option received a significant number of responses (17.6%), including areas such as marketing, tourism or events organization.

Concerning the firm size, most of them are small as 35.1% of respondents reported that their company had no employees at all. In addition, some respondents mentioned having only one (28.4%) or two employees (15.5%). A small percentage (2%) of respondents said they have more than 11 employees.

Table 1: Characteristics of respondents at the time of their business creation and of the businesses they created

	<b>N</b>	<b>%</b>
<b>Age of individuals when the business was set up</b>		
<b>15-25 years old</b>	64	43.2%
<b>26-35 years old</b>	55	37.2%
<b>36-45 years old</b>	22	14.9%
<b>46-55 years old</b>	4	2.7%
<b>55 years or more</b>	1	0.7%
<b>Missing</b>	2	1.4%
<b>Situation when the individuals started the business</b>		
<b>Student</b>	28	18.9%
<b>Unemployed</b>	33	22.3%
<b>Fixed-term employment contract</b>	11	7.4%
<b>Permanent employment contract</b>	35	23.6%
<b>Without a fixed employment contract</b>	12	8.1%
<b>Full-time worker</b>	44	29.7%
<b>Part-time worker</b>	14	9.5%
<b>Current state of the business</b>		
<b>Active (operating business);</b>	125	84.5%
<b>Dormant (Business temporarily inactive, with the possibility of reopening)</b>	9	6.1%
<b>Sold to a third party</b>	3	2%



<b>Inactive</b>	1	0.7%
<b>In the opening/creation phase</b>	10	6.8%
<b>Sector to which the business belongs</b>		
<b>Primary sector</b>	39	26.4%
<b>Secondary sector</b>	32	21.6%
<b>Tertiary sector</b>	76	51.4%
<b>Mising</b>	1	0.7%
<b>Area of business activity</b>		
<b>Agriculture</b>	5	3.4%
<b>Industry</b>	2	1.3%
<b>Construction</b>	5	3.4%
<b>Retail</b>	47	31.8%
<b>Catering/Hospitality</b>	5	3.4%
<b>Health</b>	3	2%
<b>Communication</b>	5	3.4%
<b>Education</b>	3	2%
<b>Entertainment</b>	4	2.7%
<b>Art/ Handicraft</b>	16	10.8%
<b>Beauty and aesthetics</b>	5	3.4%
<b>Fashion and accessories</b>	11	7.4%
<b>Customized products</b>	5	3.4%
<b>Pet services and accessories</b>	4	2.7%
<b>Others</b>	26	17.6%
<b>Missing</b>	2	1.4%
<b>Number of employees in the business</b>		
<b>No employees</b>	52	35.1%
<b>1 employee</b>	42	28.4%
<b>2 employees</b>	23	15.5%
<b>3 employees</b>	10	6.8%
<b>4 employees</b>	10	6.8%
<b>5 – 10 employees</b>	8	5.4%
<b>11 or more employee</b>	3	2%

Source: Authors own elaboration

## **4.2 Motivations for starting a business**

### **4.2.1 Perceived motivations to be an entrepreneur**

The main reasons for starting a business were assessed by the importance that the respondents attached to different questions. The measurement used is a 5-point scale, where 1 corresponds to a factor that is unimportant and 5 to a factor that is considered extremely important. The analysis of Table 4 shows that the most valued motivation was the desire to create something of their own (67.6% of respondents considered it extremely important), and the mean attached by respondents to this variable was 4.55. This was followed by the search for personal and professional independence (63.5%, mean= 4.47), the opportunity to be financially independent (62.8%, mean= 4.47), the opportunity to implement their own

ideas (61.5%, mean= 4.48), and the desire to improve their quality of life (60.8%, mean= 4.49). On the other hand, some of the reasons analyzed were considered unimportant by the respondents. Herein, the least important motivation was the desire to follow a family tradition (59.5% of unimportant responses, mean= 1.89). Also, reasons such as the desire/possibility of gaining a new/higher social status (33.8%, mean=2.66) and the difficulty of finding the suitable job (30.4%, mean= 2.80) were considered of low importance.

Table 4: Motivations for starting their own business

	1 (%)	2 (%)	3 (%)	4 (%)	5 (%)	Mean	Standard Deviation
<b>The chance to implement my own ideas</b>	2.7%	1.4%	2.7%	31.8%	61.5%	4.48	0.845
<b>Creating something of my own</b>	0.7%	2%	6.1%	23.6%	67.6%	4.55	0.758
<b>Personal Independence</b>	1.4%	2%	8.1%	25%	63.5%	4.47	0.837
<b>Being at the head of an organization</b>	4.7%	16.2%	17.6%	25.7%	35.8%	3.72	1.240
<b>The opportunity to be financially independent</b>	2.7%	0%	8.1%	26.4%	62.8%	4.47	0.860
<b>Improving my quality of life</b>	1.4%	0.7%	6.8%	30.4%	60.8%	4.49	1.262
<b>Creating jobs</b>	9.5%	12.8%	29.7%	22.3%	25.7%	3.42	1.262
<b>Managing people</b>	20.9%	15.5%	27.7%	16.9%	18.9%	2.97	1.390
<b>Receiving fair compensation</b>	5.4%	4.7%	10.1%	28.4%	51.4%	4.16	1.129
<b>Making more money than by working for wages</b>	4.7%	4.1%	10.8%	23%	57.4%	4.24	1.104
<b>Dissatisfaction in a professional occupation</b>	19.6%	10.8%	20.9%	20.9%	27.7%	3.26	1.468
<b>Building personal wealth</b>	4.7%	4.7%	14.2%	27.7%	48.6%	4.11	1.114
<b>Having more free time</b>	12.2%	6.1%	13.5%	22.3%	45.9%	3.84	1.385
<b>Gaining high social status</b>	33.8%	16.2%	18.2%	13.5%	18.2%	2.66	1.510
<b>The difficulty of finding the right job</b>	30.4%	15.5%	19.6%	12.8%	21.6%	2.80	1.530
<b>Following a family tradition</b>	59.5%	14.9%	12.2%	4.7%	8.8%	1.89	1.302

Fonte: Elaboração própria

#### 4.2.2 Analysis of main motivations

In order to have a better understanding of the results, we have conducted a data reduction by applying a factor analysis (Principal Components Analysis). By using the varimax rotation method, the motivations for starting a business were summarized into four main components, as shown in Table 5.

Principal component 1 was called independence and income, and includes variables such as the desire to receive more income than working for others, the desire to improve quality of life, the desire to build their own income, or the search for personal and professional independence.

Component 2 was named career management and encompasses variables such as the desire to manage a team of people, the desire/possibility of gaining new/higher social status, or the desire to lead a company/organization. Component 3, coined autonomy, includes the variables desire to create something of himself/herself and the opportunity to implement their own ideas. Finally, principal component 4 was called professional and personal conditions, and includes the variables dissatisfaction with the position hold in the company where the individuals worked before and the possibility of having more free time.

It should also be noted that the variables having a higher loading in component 1- Independence and Income- are closer to entrepreneurship by necessity factors. The other main components, on the other hand, are more related to opportunity motivations. Then, for each of the variables obtained in the principal component analysis, an index based on the weighted average of the factors of each variable in the principal component was calculated.

Table 5: Factor analysis by principal components: Motivations

	Loading	EigenValue	% Var.	% Acum. Var.	Cronbach Alpha
<b>Component 1: Independence and Income</b>		5.945	39.637	39.637	0.868
<b>Making more money than by working for wages</b>	0.805				
<b>Receiving fair compensation</b>	0.769				
<b>The opportunity to be financially independent</b>	0.768				
<b>Improving my quality of life</b>	0.721				
<b>Building personal wealth</b>	0.656				
<b>Personal Independence</b>	0.602				
<b>Component 2: Career management</b>		1.888	12.586	52.223	0.830
<b>Managing people</b>	0.878				
<b>Creating jobs</b>	0.820				
<b>Gaining high social status</b>	0.715				
<b>Following a family tradition</b>	0.630				
<b>Being at the head of an organization</b>	0.597				
<b>Component 3: Autonomy</b>		1.198	7.985	60.207	0.757
<b>Creating something of my own</b>	0.843				
<b>The chance to implement my own ideas</b>	0.798				
<b>Component 4: Professional and personal conditions</b>		1.156	7.707	67.914	0.580
<b>Dissatisfaction in a professional occupation</b>	0.779				
<b>Having more free time</b>	0.758				

Fonte: Elaboração própria

#### 4.2.3 Analysis of motivations for starting a business according to age

In order to analyse the motivations for entrepreneurship according to age, a cross-analysis was performed. For that analysis, the age respondents had when they started the business is separated into two different age groups. The younger group includes ages between 15 and 35 years old, while the older group includes more than 36 years old respondents.

As the analysis of Table 6 shows, there are some motivations that are considered more important by young people, although not being very significantly compared to older respondents. These motivations include the desire to create something of their own (average young=5 and average others=4), the possibility of being financially independent (average young=5 and average others=4), the possibility of having more free time (average young=4 and average others=3), the desire/possibility of gaining a new/higher social status (average young=3 and average others=2), and the difficulty of finding a job (average young=3 and average others=2). None of the motivations presented were more important to older people than to younger ones.

For a more complete analysis of the data and to assess whether there are significant differences between the two groups of entrepreneurs regarding their motivations for starting a business, a t-test was performed. The analysis of the results of the test (Table 6) shows that only a single variable was statistically different

between the two groups in analysis - the motivation related to the possibility of having more free time (sig= 0.016). It should also be noted that this motivation is most important for young people (young average=4 and others average=3). With regard to the other motivations, the t-test shows that there are no statistically significant differences between younger and older entrepreneurs when starting a business.

Table 2- Motivations for starting an own business according to age

	Young (Mean)	Other (Mean)	T Teste	Sig (2 tailed)
<b>The chance to implement my own ideas</b>	4	4	0.190	0.849
<b>Creating something of my own</b>	5	4	0.501	0.617
<b>Personal Independence</b>	5	4	1.420	0.158
<b>Being at the head of an organization</b>	4	4	0.860	0.391
<b>The opportunity to be financially independent</b>	5	4	1.631	0.105
<b>Improving my quality of life</b>	5	4	0.863	0.389
<b>Creating jobs</b>	3	3	-0.229	0.819
<b>Managing people</b>	3	3	0.000	1.000
<b>Receiving fair compensation</b>	4	4	1.523	0.130
<b>Making more money than by working for wages</b>	4	4	1.999	0.054
<b>Dissatisfaction in a professional occupation</b>	3	3	0.698	0.486
<b>Building personal wealth</b>	4	4	1.527	0.136
<b>Having more free time</b>	4	3	2.523	0.016
<b>Gaining high social status</b>	3	3	0.493	0.623
<b>The difficulty of finding the right job</b>	3	2	1.654	0.100
<b>Following a family tradition</b>	2	2	1.861	0.068

Source: Authors own elaboration

Then, we intend to analyze whether or not there are significant differences between the two groups considering the network components derived from the factorial analysis. For that purpose, the mean value of each component as shown in Table 7. Component 3, called autonomy, is the one with the highest mean value, both in the category of young entrepreneurs and non-young entrepreneurs (Mean young = 4.52 and mean other = 4.46). The main component with the lowest mean was also the same for both young and non-young individuals, that is component 2 career management (young mean= 2.99 and other mean= 2.86). The younger category had the highest average in both components.

The use of t-test to the components obtained through factor analysis, allowed to understand if there are statistically significant differences between younger and older entrepreneurs in each main component related to motivations. Analysis of the results shows that only component 4, called professional and personal conditions, shows different and statistically significant mean differences between the two groups under analysis (sig= 0.042).

Table 7: Cross-analysis between main motivational components and age

Source: Authors' own elaboration

	Young (Mean)	Other (Mean)	T Teste	Sig (2 Tailed)
<b>Component 1: Independence and Income</b>	4.38	4.03	1.754	0.089
<b>Component 2: Career management</b>	2.99	2.86	0.670	0.560
<b>Component 3: Autonomy</b>	4.52	4.46	0.380	0.704
<b>Component 4: Professional and personal conditions</b>	3.63	3.11	2.049	0.042

### 4.3 Difficulties for starting a business

#### 4.3.1 Perceived difficulties by respondents

The difficulties experienced by respondents in starting a business was assessed through a 5-point scale, which aimed to analyze the importance given by the respondents to each of the different difficulties presented. As can be seen in Table 8, the excessive bureaucratic and administrative burdens was the barrier most mentioned by the respondents (considered important by 45.3% and achieving an average value of 3.85). This was followed by inadequate and arbitrary subsidies (42.6%, average=3.82), inadequate business support services (41.2%, average=3.80) and high interest rates to access funding (40.1%, average=3.80). The difficulties considered less important by respondents were gender inequality (considered as unimportant by 27.2%, average=3.04), followed by age discrimination by suppliers and customers (25.9%, average=3.08), lack of social acceptance (23.8%, average=3.10) and low market acceptance of a new product or service (21.6%, average=2.99).

Table 8: Difficulties experienced by respondents who have set up their own business

	1 (%)	2 (%)	3 (%)	4 (%)	5 (%)	Mean	Standard Deviation
<b>Lack of knowledge of existing financial support</b>	4.1%	6.1%	16.9%	33.8%	39.2%	3.98	1.085
<b>High collateral requirements (guarantees)</b>	7.4	7.4	21.6%	37.2%	26.4%	3.68	1.162
<b>Lack of adequate funding</b>	5.4	8.1	16.2	34.5	35.8	3.87	1.150
<b>Complex procedures for obtaining credit</b>	8.8	6.8	19.6	29.1	35.8	3.76	1.253
<b>Lack of financial instruments such as microcredit or venture capital</b>	8.8	8.8	22.3	23.6	36.5	3.70	1.285
<b>High interest rates on financing</b>	8.8	10.2	13.6	27.2	40.1	3.80	1.308
<b>Inadequate curricula and syllabus</b>	13.5	10.1	20.3	18.2	37.8	3.57	1.425
<b>Lack of training programs</b>	10.2	10.2	10.2	10.2	10.2	3.60	1.348
<b>Lack of good school environment</b>	17.0	13.6	23.1	19.7	26.5	3.25	1.423
<b>Lack of linkages between different educational institutions and business</b>	12.2	12.2	17.6	25.0	33.1	3.55	1.377
<b>Lack of specific training in business and management</b>	10.8	8.8	23.0	27.0	30.4	3.57	1.299
<b>Lack of specialized advice and support</b>	7.4	9.5	18.9	28.4	35.8	3.76	1.243
<b>Difficulty in developing a network of contacts in the business</b>	4.7	13.5	16.2	26.4	39.2	3.82	1.224
<b>Lack of a chance to share experiences and ideas</b>	9.5	12.8	17.6	29.7	30.4	3.59	1.299
<b>Difficulty in accessing information</b>	10.1	14.2	20.9	27.7	27.0	3.47	1.301
<b>Lack of information on existing support mechanisms</b>	6.8	10.1	18.2	27.0	37.8	3.79	1.241
<b>Lack of information on market access</b>	6.1	10.1	19.6	31.8	32.4	3.74	1.190
<b>Lack of suitable raw materials and materials</b>	14.9	14.9	19.6	25.7	25.0	3.31	1.384
<b>Lack of marketing skills</b>	9.5	10.9	17.7	29.3	32.7	3.65	1.297
<b>Strong competition</b>	8.1	12.8	21.6	26.4	31.1	3.59	1.272
<b>Lack of infrastructure to set up a business</b>	12.2	14.9	23.0	25.0	25.0	3.36	1.330
<b>Inadequacy of existing physical infrastructure</b>	15.5	14.2	23.0	23.0	24.3	3.26	1.382
<b>Low market demand for the product or service</b>	19.6	14.9	23.6	19.6	22.3	3.10	1.423
<b>Complexity in registering and licensing a new business</b>	12.2	10.8	15.5	33.8	27.7	3.54	1.327
<b>Excessive regulations and rules</b>	10.8	10.1	14.2	25.0	39.9	3.73	1.363

<b>Lack of coordination between government agencies and SMEs;</b>	11.5	12.2	15.5	26.4	34.5	3.60	1.369
<b>Excessive bureaucratic and administrative burdens</b>	8.1	9.5	16.9	20.3	45.3	3.85	1.311
<b>Inadequate and arbitrary subsidies</b>	8.1	9.5	16.9	23.0	42.6	3.82	1.297
<b>Inadequate business support services</b>	6.8	12.2	16.9	23.0	41.2	3.80	1.283
<b>Lack of social acceptance</b>	23.8	10.9	19.7	23.1	22.4	3.10	1.482
<b>Lack of business networking</b>	12.2	14.2	18.2	25.7	29.7	3.47	1.367
<b>Age discrimination by suppliers and customers</b>	25.9	12.2	15.0	21.8	25.2	3.08	1.546
<b>Gender inequalities</b>	27.7	10.1	18.2	18.2	25.7	3.04	1.560
<b>Low market acceptance of a new product or service</b>	21.6	14.9	24.3	21.6	17.6	2.99	1.395

Source: Authors' own elaboration

#### 4.3.2 Analysis of the difficulties of starting a business by age

A cross-analysis between the difficulties experienced by the respondents in starting a business and their age was performed. This analysis was made through the categorization of respondents across two different age groups, as previously explained.

The analysis of Table 9 shows that there are some difficulties that are considered more important by young people comparing to older ones, although these differences are not very significantly. These is the case of the lack of specific training in business and management (young average=4 and other average=3), the lack of specialized advice and support (young average=4 and other average=3), strong competition (young average=4 and other average=3 in both age groups), the complexity of registering and licensing a new business (young average=4 and other average=3) and the lack of a network of business contacts (young average=4 and other average=3). Most of the remaining difficulties are considered equally important by both categories of entrepreneurs, such as lack of knowledge about existing financial support (both average=4), lack of adequate financing (both average=4), excessive regulations and rules (both average=4), inadequacy of existing physical infrastructure (both average=3), and low acceptance of a new product or service in the market (both average=3).

A t-test was also performed on the difficulties according to the entrepreneurs' age, as shown in Table 9. The analysis of the results shows that only two variables was considered statistically significant among the two groups of entrepreneurs for a confidence level of 5%. The variables are the lack of specific training in business and management (sig=0.027) and the lack of specialized advice and support (sig=0.020). Both are considered more prevalent for younger (mean value 4) than for older entrepreneurs (mean value 3).

Table 9: Difficulties experienced by respondents who have started their own business, according to age

	<b>Young (Mean)</b>	<b>Other (Mean)</b>	<b>T Test</b>	<b>Sig (2 tailed)</b>
<b>Lack of knowledge of existing financial support</b>	4	4	0.709	0.479
<b>High collateral requirements (guarantees)</b>	4	4	-0.092	0.927
<b>Lack of adequate funding</b>	4	4	-0.428	0.669
<b>Complex procedures for obtaining credit</b>	4	4	-0.080	0.936
<b>Lack of financial instruments such as microcredit or venture capital</b>	4	4	-0.187	0.852
<b>High interest rates on financing</b>	4	4	-0.556	0.579
<b>Inadequate curricula and syllabuses</b>	4	3	1.107	0.270
<b>Lack of training programs</b>	4	3	0.665	0.507
<b>Lack of good school environment</b>	3	3	0.820	0.414



Lack of linkages between different educational institutions and business	4	3	0.395	0.693
Lack of specific training in business and management	4	3	2.234	0.027
Lack of specialized advice and support	4	3	2.351	0.020
Difficulty in developing a network of contacts in the business	4	3	1.585	0.122
Lack of a chance to share experiences and ideas	4	3	1.195	0.234
Difficulty in accessing information	4	3	1.195	0.234
Lack of information on existing support mechanisms	4	4	0.208	0.836
Lack of information on market access	4	3	1.822	0.071
Lack of suitable raw materials and materials	3	3	0.820	0.414
Lack of marketing skills	4	4	0.576	0.565
Strong competition	4	3	0.753	0.457
Lack of infrastructure to set up a business	3	3	0.807	0.425
Inadequacy of existing physical infrastructure	3	3	1.182	0.239
Low market demand for the product or service	3	3	0.530	0.597
Complexity in registering and licensing a new business	4	3	1.765	0.080
Excessive regulations and rules	4	3	1.768	0.079
Lack of coordination between government agencies and SMEs;	4	3	1.174	0.242
Excessive bureaucratic and administrative burdens	4	4	0.739	0.461
Inadequate and arbitrary subsidies	4	4	0.626	0.532
Inadequate business support services	4	4	1.010	0.314
Lack of social acceptance	3	3	0.246	0.806
Lack of business networking	4	3	0.892	0.374
Age discrimination by suppliers and customers	3	3	1.006	0.316
Gender inequalities	3	3	0.976	0.331
Low market acceptance of a new product or service	3	3	0.610	0.543

Source: Authors' own elaboration

#### 4.3.3 Principal Component Analysis of Difficulties

The data related to the difficulties experienced by entrepreneurs was reduced by using the factor analysis (Principal Components), based on the varimax rotation method. This statistical technique allowed to reduce the data into five principal components, as shown in Table 10.

Table 103: Factor analysis by principal components: Difficulties experienced

	Loading	EigenValue	% Var.	% Acum. Var.	Cronbach Alpha
<b>Component 1: Difficulties related to market, physical infrastructure and support structures</b>		18.038	53.053	53.053	0.947
Lack of business networking	0.712				
Difficulty in developing a network of contacts in the business	0.688				
Lack of information on existing support mechanisms	0.679				
Lack of infrastructure to set up a business	0.662				
Lack of a chance to share experiences and ideas	0.653				
Difficulty in accessing information	0.622				

<b>Lack of suitable raw materials and materials</b>	0.606				
<b>Lack of information on existing support mechanisms</b>	0.604				
<b>Inadequacy of existing physical infrastructure</b>	0.599				
<b>Lack of marketing skills</b>	0.592				
<b>Strong competition</b>	0.587				
<b>Lack of specialized advice and support</b>	0.521				
<b>Component 2: Bureaucracy and government support</b>		2.349	6.909	59.962	0.953
<b>Excessive bureaucratic and administrative burdens</b>	0.847				
<b>Excessive regulations and rules</b>	0.814				
<b>Inadequate and arbitrary subsidies</b>	0.790				
<b>Inadequate business support services</b>	0.775				
<b>Lack of coordination between government agencies and SMEs</b>	0.764				
<b>Complexity in registering and licensing a new business</b>	0.715				
<b>Component 3: Access to financial support</b>		1.997	5.872	65.834	0.927
<b>Complex procedures for obtaining credit</b>	0.796				
<b>Lack of adequate funding</b>	0.780				
<b>High interest rates on financing</b>	0.765				
<b>Lack of financial instruments such as microcredit or venture capital</b>	0.750				
<b>Lack of knowledge of existing financial support</b>	0.714				
<b>High collateral requirements (guarantees)</b>	0.516				
<b>Component 4: Education system and training</b>		1.494	4.395	70.229	0.918
<b>Lack of training programs</b>	0.766				
<b>Lack of linkages between different educational institutions and business</b>	0.745				
<b>Lack of good scholar environment</b>	0.673				
<b>Lack of specific training in business and management</b>	0.673				
<b>Inadequate curricula and syllabuses</b>	0.626				
<b>Component 5: Social difficulties and market acceptance</b>		1.209	3.555	73.784	0.896
<b>Age discrimination by suppliers and customers</b>	0.787				
<b>Gender inequalities</b>	0.777				
<b>Low market acceptance of a new product or service</b>	0.675				
<b>Lack of social acceptance</b>	0.635				
<b>Low market demand for the product or service</b>	0.577				

Source: Authors' own elaboration

Main component 1 was named difficulties related to the market, physical infrastructures and support structures, and includes variables such as the lack of business networks, the lack of infrastructures to start a business, the difficulty in accessing information and the inadequacy of existing physical infrastructures. The component 2, which is called bureaucracy and government support, includes variables such as excessive bureaucratic and administrative burden, inadequate and arbitrary subsidies, inadequate business assistance/support services, and the complexity of registering and licensing a new business. Component 3,

called access to financial support, encompass variables such as the complexity of procedures associated with obtaining loans, high interest rates on financing, lack of financial instruments such as microcredit or venture capital, or high collateral requirements (guarantees). The fourth component, coined educational system and training, includes the variables lack of training programs, the absence of a good school environment, the lack of specific training in business and management, and the inadequacy of curricula and study plans. Finally, the component 5, named social difficulties and market acceptance, entails the variables of age discrimination by suppliers and customers, gender inequality, low market acceptance of a new product or service, lack of social acceptance and low market demand for the product or service in question.

After that, an index was calculated for each of the variables obtained in the principal component analysis, based on the weighted average of each variable's factor that was followed by a cross-analysis according to the respondent's age. Table 11 shows that component 2, bureaucracy and government support, had the highest mean value in both categories, and this value was higher for older entrepreneurs (young average = 3.78 and other average = 3.83). Component 5, labelled as social difficulties and market acceptance, was the one with the lowest average value, also in both entrepreneurs' categories (young average = 3.11 and other average = 2.90).

Furthermore, the results of the t-test (Table 11) show that there are no statistically significant differences in the mean importance attached to different difficulties according to the age of the entrepreneurs.

Table 11: Cross-analysis between the principal components related to difficulties and age

	<b>Young (Mean)</b>	<b>Other (Mean)</b>	<b>T Teste</b>	<b>Sig (2 Tailed)</b>
<b>Component 1: Difficulties related to market, physical infrastructure and support structures</b>	3.69	3.37	1.260	0.216
<b>Component 2: Excessive bureaucratic burden and insufficient government support</b>	3.78	3.45	1.296	0.197
<b>Component 3: Lack of financial literacy and access to financial support</b>	3.80	3.83	-0.129	0.897
<b>Component 4: Shortcomings in the education system and in the links between different institutions</b>	3.59	3.30	1.125	0.263
<b>Component 5: Social difficulties and acceptance in the market</b>	3.11	2.90	0.792	0.430

Source: Authors' own elaboration

## 5. Conclusions

The aim of this study was to understand the main motivations that influence entrepreneurs to start their own business and the main difficulties they experience when taking these business ventures. In addition, the research aimed to understand the extent to which there are differences between entrepreneurs in terms of their age profile. To answer these questions, a literature review was conducted to identify the main concepts relevant to the study. Next, an empirical study was conducted using a quantitative method. Through the primary data collected through a questionnaire, it was possible to answer the research questions and make a comparative study between young entrepreneurs and individuals from other age groups. The investigation performed showed that the most important motivations to start a new business, either for young and not so young entrepreneurs, were the desire to create something of their own, the search for personal and professional independence, the possibility of being financially independent and

the desire to improve the quality of life. Creating a new business to get more free time is especially motivating for younger entrepreneurs.

Concerning the many difficulties experienced in the entrepreneurial process, the investigation especially highlighted the relevance of the lack of specific training in business and management and the lack of expert advice and support. There were also other difficulties recognized as important, such as the inadequacy of school/study programs, the lack of training programs, the difficulty in developing a network of business contacts, the lack of a place to exchange experiences and ideas, the difficulty in accessing information, the lack of information on market access, the strong competition, the complexity of registering and licensing a new business, excessive regulations and rules, the lack of coordination between government agencies and small and medium enterprises, and the lack of business networks.

The comparative study carried out according to the age of the entrepreneurs suggests that there are still some differences between young and non-young entrepreneurs, albeit in a small number of dimensions and mainly related to entrepreneurship by opportunity. The difficulties perceived by the two groups of entrepreneurs do not seem to be considered quite significant, suggesting that these difficulties arise regardless of the age of the creators of the business.

The research conducted is particularly important due to the lack of literature on the subject, particularly regarding youth entrepreneurship in the Portuguese context.

Even so, the research carried out also has some limitations, particularly with regard to the methodology used, since the quantitative analysis, although it provides objective data on the general issues of the study, does not allow to exploit them in depth, at least not in the complex and detailed way that a qualitative or even mixed methodology would. The study is also limited by the characteristics of the sample used. In the future, it would be worthy to extend the analysis to other fields of entrepreneurship, namely social entrepreneurship, and in accordance with other personal characteristics, such as gender or personality.

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## Les comportements de consommation d'eau dans le contexte du déficit hydrique : rôle de la perception des risques

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**Résumé :** *L'eau présente un enjeu majeur aussi bien à l'échelle nationale qu'internationale, dans la mesure où elle revêt une importance capitale pour la planète, l'Homme et les autres êtres vivants. De plus, l'eau joue un rôle crucial dans le développement économique, la paix sociale et la sécurité alimentaire. Le manque d'eau, dont souffre un certain nombre de pays parmi lesquels le Maroc, constitue un sérieux problème. En effet, le Maroc passe par une situation de stress hydrique critique (Conseil Economique, Social et Environnemental [CESE], 2020 ; Ministre de l'Équipement et de l'Eau [MEE], 2022). Cette situation s'aggrave par le changement climatique, la mauvaise gouvernance, le développement des activités économiques et l'usage intensif de l'eau. Dans ce cadre, le présent article met en avant le rôle de la perception des risques dans l'explication des comportements de consommation dans le contexte du déficit hydrique. Pour ce faire, nous avons mené une étude auprès de 100 participants au moyen d'un questionnaire auto-administré. Les résultats révèlent que lorsque les participants perçoivent les risques liés à la pénurie d'eau comme graves, ils s'engagent moins dans des comportements défavorables à la consommation responsable de l'eau. En outre, lorsque les mesures prises par l'État sont perçues comme efficaces, les participants s'engagent davantage dans des comportements favorables à la protection de l'eau. Ces résultats, discutés à l'instar du cadre théorique et du contexte de recherche, apportent certaines pistes pratiques prometteuses.*

**Mots-clés :** *Perception des risques, comportements de consommation, psychologie, pénurie d'eau.*

### 1. Introduction

L'eau présente un enjeu majeur aussi bien à l'échelle nationale qu'internationale, dans la mesure où elle revêt une importance capitale pour la planète, l'Homme et les autres êtres vivants. De plus, l'eau joue un rôle crucial dans le développement économique, la paix sociale et la sécurité alimentaire. Or, le stress hydrique appelé également « pénurie d'eau » gagne de plus en plus en ampleur. Il désigne une situation qui se caractérise par une insuffisance quantitative et/ou qualitative de la ressource hydrique disponible par rapport à la demande (Honegger & Bravard, 2016). Dans ce contexte, il faut rappeler que le manque d'eau, dont souffre un certain nombre de pays parmi lesquels le Maroc, constitue un sérieux problème. En effet, le Maroc passe par une situation de stress hydrique critique dans le sens où la demande en eau est supérieure à la quantité disponible en ressources annuelles renouvelables d'eau douce (CESE, 2020 ; MEE, 2022). Dans un rapport publié par la Banque Mondiale en 2017 sur la gestion de la rareté de l'eau en milieu urbain au Maroc, faisant l'hypothèse suivant laquelle la population atteindrait 43,7 millions d'habitants et où aucun autre changement ne se produit au niveau de la disponibilité des ressources en eau. Il s'ensuit que la dotation hydrique atteindrait 510 m<sup>3</sup> par habitant et par an d'ici 2050, plaçant ainsi le Maroc au-dessous du niveau de « stress hydrique extrême » défini par les Nations Unies (Mseffer, 2021). Dans ce

cadre, il y a lieu de noter que la pénurie d'eau est déjà une réalité dans plusieurs régions marocaines dont la région Marrakech-Safi occupe une place de choix<sup>2</sup>.

Face à cette situation alarmante et inquiétante, le Maroc a entrepris des mesures d'urgence pour assurer l'approvisionnement en eau. Il s'agit de l'application de restrictions sur les débits d'eau distribués aux usagers, l'interdiction de l'arrosage des espaces verts et des golfs à partir des eaux conventionnelles, l'interdiction de l'usage de l'eau potable pour le lavage des véhicules, l'achat des camions citernes, etc. Outre ces mesures, le Maroc a lancé deux grands programmes ambitieux. Le premier s'inscrit dans une vision à court terme intitulé « Programme National d'Approvisionnement en Eau Potable et l'Irrigation 2020-2027 (PNAEPI 20-27) » qui se donne pour objectif d'accélérer les investissements dans le secteur de l'eau. Il s'articule autour de cinq principaux axes : l'amélioration de l'offre hydrique, la gestion de la demande et la valorisation de l'eau, le renforcement de l'approvisionnement en eau potable en milieu rural, la réutilisation des eaux usées traitées et, enfin, la communication et la sensibilisation (MEE, 2020). Le second programme, appelé plan stratégique de l'eau 2020-2050, s'inscrit dans une vision à long terme dont l'objectif principal est de renforcer les infrastructures existantes (e.g., barrages), de recourir davantage aux sources non conventionnelles comme le dessalement d'eau de mer et de sensibiliser l'ensemble des acteurs concernés à la préservation de l'eau (MEE, 2020).

À cet égard, on peut noter que l'information, la communication et la sensibilisation occupent une place relativement grandissante dans les mesures et les programmes que nous venons d'évoquer. Une telle place tient au fait que les comportements de consommation représentent une piste prometteuse pour favoriser des pratiques responsables et favorables à la protection d'eau et lutter contre le gaspillage de cette ressource précieuse. A titre d'exemple, l'Office Nationale d'Electricité et de l'Eau (ONEE) a mené des campagnes de communication et de sensibilisation intégrées au niveau des médias audiovisuels et de la presse écrite et digitale en vue d'inciter le grand public à la rationalisation de l'utilisation de l'eau potable et le sensibiliser à l'importance de l'assainissement liquide. Ainsi, l'ONEE a lancé la campagne « Mouiha » en 2019 pour sensibiliser le grand public à l'économie de l'eau et à la préservation de l'environnement (Mseffer, 2021). Pour sa part, le Ministère de l'Équipement et de l'Eau (2022), a initié récemment une campagne de sensibilisation intitulée « Stop au gaspillage de l'eau » dont l'objectif est de faire prendre conscience aux citoyens de l'urgence de la situation liée à la pénurie d'eau et de renforcer cette prise de conscience pour une consommation et des usages responsables de cette ressource vitale.

Dans ce contexte, le présent article se veut une contribution d'ordre théorique et pratique pour apporter un nouvel éclairage sur le comportement des usagers vis-à-vis de l'eau sous un angle psychologique. En effet, la tâche de la psychologie consiste à expliquer les comportements pro-environnementaux et d'identifier les barrières psychologiques, économiques et sociales à la protection des ressources naturelles (Montada & Kals, 2000). De telles connaissances peuvent fournir une base pour améliorer l'éducation sur l'écologie (Bolscho et al., 1990), et pour promouvoir les politiques publiques en la matière (Montada & Kals, 2000). Dès lors, notre objectif est d'identifier les facteurs qui influent positivement ou négativement, notamment la perception des risques dans ses dimensions sociocognitives, sur les comportements de consommation d'eau.

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<sup>2</sup>Les autorités de la région de Marrakech-Safi ont mis en place, depuis juin 2022, un certain nombre de mesure pour gérer le déficit hydrique : messages de sensibilisation à la préservation d'eau, exploitation des retenues du barrage Al Massira, généralisation progressive de l'utilisation des ressources non conventionnelles, etc.

## 2. Fondements théoriques

### 2.1 Qu'est-ce que le comportement ?

A de longues époques de son histoire, qui a officiellement débuté en 1879 avec la fondation du 1<sup>er</sup> laboratoire de psychologie expérimentale à l'Université de Leipzig par Wilhelm Wundt, il est commode, dans bien des cas, de définir la psychologie comme une science du comportement « *behavioral science* en anglais ». Il s'ensuit que le comportement revêt une importance capitale pour la psychologie scientifique dans la mesure où elle représente l'une des notions qui ont suscité beaucoup d'intérêt et de débats (Azouaghe et al., 2020). Ainsi le comportement était au centre d'intérêt et au cœur des programmes de recherche des psychologues behavioristes. Selon Watson (1913), le comportement se définit comme un ensemble de réactions objectivement observables et mesurables qu'un être vivant peut mettre en œuvre en réponse aux stimulations du milieu. Néanmoins, les avancées théoriques et pratiques aussi bien en psychologie que dans des disciplines voisines (e.g., neurosciences, biologie, linguistique), en l'occurrence avec la révolution cognitive et la naissance des sciences cognitives, la conception béhavioriste de type stimulus-réponse ou stimulus-réponse-conséquences s'est révélée aussi bien simpliste que réductrice de la complexité du comportement humain tant au niveau de ses manifestations que de ses déterminants (Azouaghe, 2020). En effet, le comportement contient des aspects cognitifs et sociaux incontournables. En ce sens, Ajzen (1991, 2012) propose une définition, qui tient compte des paramètres cognitifs, sociaux et contextuels (i.e., attitude, normes subjectives, contrôle perçu et intention comportementale, croyances), selon laquelle le comportement correspond à une réponse d'un individu dans une situation donnée vers une cible donnée. Plus précisément, le comportement est une manifestation, une réponse visible à une situation précise par rapport à un objectif spécifique (Ajzen, 1991).

Somme toute, on peut avancer l'idée selon laquelle l'étude des comportements représente une démarche utile qui permet de comprendre les facteurs sous-jacents et de mettre en œuvre des stratégies préventives ou invitatives adéquates visant à renforcer les pratiques et les gestes pro-environnementaux.

#### 2.1.1 Comportements pro-environnementaux

De manière générale, on peut dire que les comportements pro-environnementaux désignent des actions, prises au niveau individuel ou collectif, qui profitent à l'environnement ou du moins lui nuisent le moins possible (Steg & Vlek, 2009). En ce sens, les comportements pro-environnementaux englobent, entre autres, le fait de prendre l'initiative d'acquérir des informations pertinentes sur l'écologie, participer aux activités écologiques, éteindre les lumières lorsqu'on n'a pas besoin et prêter attention au tri des déchets (Kilbourne & Pickett, 2008). Selon Schultz et Kaiser (2012), les comportements pro-environnementaux sont aussi culturellement et historiquement ancrés. Ces deux auteurs soulignent qu'une personne peut s'engager dans un comportement pro-environnemental pour des raisons non environnementales. A cela s'ajoute le fait qu'il n'existe pas de norme absolue ou définitive pour déterminer si un comportement a un impact environnemental fort ou faible. Plus précisément, il y a des normes changeantes pour ce qui est pro-environnemental, et les comportements qui sont considérés comme pro-environnementaux aujourd'hui pourraient potentiellement être considérés comme nuisibles pour l'environnement à l'avenir. En outre, l'interaction entre les dimensions contextuelles et individuelles qui se traduisent par les perceptions et les représentations sociales semblent jouer un rôle déterminant dans l'adoption (ou non) des pratiques et des comportements pro-environnementaux (Michel-Guillou, 2006). Dans le présent article, nous définissons le comportement de consommation d'eau comme un ensemble d'usages, de pratiques et de gestes ayant un impact non négligeable sur la protection (ou non) de l'eau.

## **2.2 La perception des risques**

De prime abord, il convient de définir ce qu'on entend par risque. Comme le rapporte Chauvin (2014), le travail de définition du risque s'avère complexe du fait de la diversité des risques aussi bien sur le plan de leur type que de la forme qu'ils peuvent prendre : des risques environnementaux (e.g., la pollution), sociétaux (e.g., la violence ou le chômage), routiers (les accidents), psychosociaux (le burnout ou le harcèlement) ou encore de santé (e.g., les cancers, les maladies cardiaques), etc. Dans une perspective dite « experte », le risque est défini, de manière quantitative, comme le produit de deux dimensions à savoir la probabilité d'occurrence de l'événement non désiré multipliée par la gravité des dommages (Chauvin, 2014 ; Leplat, 2006). En revanche, dans une conception psychosociale et cognitive, le risque renvoie à une dimension plutôt qualitative et incorpore des composantes personnelles telles que l'incertitude, la peur, le manque de connaissance, le potentiel catastrophique, ou encore la confiance (Chauvin, 2014). Il s'agit d'une conception psychosociale et cognitive du risque, dans le sens où de tels jugements sont sensibles à des facteurs techniques mais aussi et surtout psychologiques, sociaux ou encore culturels (Kouabenan, 2001).

La perception des risques peut être définie comme l'appréhension et l'évaluation d'un vaste ensemble de critères plus ou moins subjectifs quant aux risques que représentent un certain nombre d'activités. En d'autres mots, la perception des risques consiste à examiner les opinions et les jugements que les individus font quant aux activités et aux situations plus ou moins risquées (Slovic, 1987, 2000). Dans cette veine, on peut noter que ce qui est considéré comme un risque pour certains, il ne l'est pas pour d'autres. Kouabenan (2001) précise que si certains individus semblent prendre « délibérément » des risques ; d'autres semblent le faire par ignorance. De plus, la perception du risque varie selon les caractéristiques du risque telles que sa familiarité, sa contrôlabilité, sa gravité et l'importance de ses conséquences (potentiel catastrophique), l'efficacité des mesures prises (Kouabenan, 2001 ; Cadet & Kouabenan, 2005). Dans le présent article, la perception des risques désigne l'évaluation qu'un individu donne à l'importance de la protection de l'eau, à la gravité de la situation de pénurie d'eau ainsi qu'à l'efficacité des mesures prises par les autorités publiques pour faire face au déficit hydrique.

## **2.3 Perception des risques et comportement : quel rapport ?**

Partant du postulat selon lequel les individus ne réagissent pas à l'environnement, qu'il soit physique ou social, tel qu'il est mais tel qu'ils le perçoivent, une littérature abondante en psychologie montre le rôle actif du sujet dans la construction sociale et cognitive de la réalité. En ce sens, la cognition, les normes, la perception et les croyances sont des vecteurs et des déterminants majeurs du comportement humain. En effet, la perception du risque peut ébranler le sentiment de contrôle, susciter des peurs et des craintes, de l'angoisse ou, dans d'autres cas, de l'excitation et du plaisir (Cadet et al., 1987). De plus, la perception des risques environnementaux peut stimuler le sentiment d'urgence et de responsabilité des gens à protéger l'environnement et encourage davantage de comportements de protection de l'environnement (Lieske et al., 2014 ; Lin et al., 2018 ; Xue & Zhao, 2015).

## **2.4 La présente étude**

Les comportements des individus influent grandement sur l'environnement et les ressources naturelles. Si une abondante littérature sur la perception des risques environnementaux a émergé depuis les années 1960 et 1970 au niveau mondial, il n'en est pas de même au niveau national. Dans cette perspective, en situation de sécheresse et en état de déficit hydrique que vit le Maroc, il semble important et opportun d'identifier les facteurs qui peuvent favoriser l'émergence des comportements pro-environnementaux et écologiquement responsables en matière de protection de l'eau.

Par ailleurs, Belhaj (2016, 2017) rapporte, dans les contextes de la circulation routière, du travail pénible et de la pratique médicale, que le comportement des individus se caractérise par une sous-estimation du risque avec la prévalence de sentiment d'optimisme comparatif, de résignation acquise et de logique causale externe (e.g., destin, fatalisme). Sur la base de ce qui précède, nous nous intéressons, dans la présente étude, à examiner le rôle de la perception des risques (i.e., gravité perçue et efficacité perçue des mesures) sur les comportements de consommation d'eau. Dans ce cadre, nous proposons de vérifier deux hypothèses :

- Nous supposons que plus les participants perçoivent les risques liés à la pénurie d'eau comme graves, plus ils auront tendance à moins s'engager dans des comportements défavorables à la consommation responsable de l'eau (**H1**).
- Nous supposons que plus les participants perçoivent les mesures prises par l'État pour faire face à la pénurie d'eau comme efficaces, plus ils auront tendance à s'engager dans des comportements de consommation responsable et favorables à la protection de l'eau (**H2**).

### 3. Méthode

#### 3.1 Participants

L'étude est réalisée auprès de 100 participants dont 44 femmes et 56 hommes. 51 vivent en milieu urbain alors que 49 vivent en milieu rural. La majorité des participants habite dans un appartement (92), 5 vivent dans une villa et 3 vivent dans une ferme. 55 sont célibataires, tandis que 45 sont mariés. Plus de la moitié des participants ont vécu une situation d'arrêt d'eau 79, pendant une durée variant d'une semaine à 1 an, alors que 21 ne l'ont pas vécu. L'âge des participants varie de 17 à 72 ans ( $M = 38.02$ ,  $E-T = 14.83$ ).

#### 3.2 Matériel

Les données sont collectées par le biais d'un questionnaire auto-administré. Ce dernier comporte la consigne générale, le consentement et les échelles de mesures. Il contient aussi une partie réservée aux informations générales (e.g., âge, sexe, situation familiale).

##### 3.2.1 Mesure des comportements de consommation d'eau

Les comportements de consommation d'eau est évalué par une échelle de mesure qui comprend 17 items (e.g., « laissez couler le robinet pendant l'ablution », « laissez couler le robinet pendant le nettoyage des dents ». Ces items sont élaborés sur la base des résultats d'une étude qualitative à visée exploratoire<sup>3</sup>. Ils vont de 1= *cela ne s'applique pas du tout à moi* à 5= *cela s'applique tout à fait à moi*.

##### 3.2.2 Mesure de la gravité perçue

La gravité perçue est mesurée à l'aide d'une échelle composée de 10 affirmations (e.g., « passer beaucoup de temps sous la douche », « arrosage des stades et des espaces verts pendant la journée »). Les participants sont invités à évaluer le degré de la gravité des situations risquées liées à l'usage d'eau sur une échelle de type Likert en 5 points (1= *pas du tout grave* à 5 = *très grave*).

##### 3.2.3 Mesure de l'efficacité perçue

L'efficacité perçue des mesures engagées par l'État pour faire face au déficit hydrique est évaluée avec 12 propositions (e.g., « restrictions sur les débits d'eau distribués aux usagers », « traitement des eaux usées »). L'échelle de réponse comprend 5 points (1= *pas du tout efficace* à 5= *très efficace*).

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<sup>3</sup> Cette étude a été conduite auprès de huit participants dont l'objectif était de mieux cerner le sujet de recherche et d'élaborer les échelles de mesure.



### 3.3 Procédure

L'outil de collecte des données utilisé est un questionnaire auto-administré auprès de 100 participants issus de la région Marrakech-Safi (e.g., Marrakech, Chichaoua, Essaouira, Tafatacht). Pour nous assurer de la clarté des items, nous avons testé le questionnaire auprès de 3 participants. Le questionnaire est rédigé en langue arabe afin de faciliter la tâche pour les participants. La durée pour répondre au questionnaire variait de 20 à 40 minutes.

### 4. Résultats

Les analyses statistiques ont été effectuées à l'aide du logiciel SPSS version 21. Pour tester les hypothèses, nous nous sommes servis de la régression linéaire multiple. Nous avons vérifié les conditions d'application (i.e., normalité des résidus, homogénéité des variances, indépendance des résidus et détection des sujets déviants). Nous avons introduit les comportements de consommation d'eau comme variable dépendante, la gravité perçue et l'efficacité perçue des mesures comme variables indépendantes, ensuite certaines variables de contrôle<sup>4</sup>. Dans les lignes qui suivent, nous présentons les analyses descriptives (voir Tableau 1) puis nous nous attardons sur les résultats principaux (voir Tableau 2).

#### 4.1 Analyses descriptives

D'après les résultats du Tableau 1, on peut constater que l'échelle de mesure des comportements de consommation d'eau obtient un alpha de Cronbach non satisfaisant ( $\alpha = .62$ ), avec une moyenne de  $M = 2.72$  ( $E.T = .54$ ). Par contre, l'échelle de mesure de la gravité perçue obtient un alpha de Cronbach satisfaisant  $\alpha = .84$ , avec une moyenne de  $M = 3.48$  ( $E.T = .88$ ). De plus, l'échelle de mesure de l'efficacité perçue obtient un alpha de Cronbach acceptable ( $\alpha = .71$ ) avec une moyenne de  $M = 4.10$  ( $E.T = .79$ ).

Tableau 1. Moyennes, écarts-types et alpha de Cronbach des échelles de mesure

Variables	<i>M</i>	<i>E-T</i>	$\alpha$
Comportements de consommation d'eau	2.72	.54	.62
Gravité perçue	3.48	.88	.84
Efficacité perçue des mesures	4.10	.79	.71

Notes. *M* = Moyenne. *E.T* = Ecart-Type.  $\alpha$  = Alpha de Cronbach.

#### 4.2 Résultats principaux

L'analyse des données montre un effet négatif et statistiquement significatif de la gravité perçue sur le comportement de consommation d'eau,  $b = -0.18$ ,  $R^2 = .08$ ,  $t(98) = -2.90$ ,  $p = .005$ . Autrement dit, lorsque les participants perçoivent les risques liés à la pénurie d'eau comme graves, ils s'engagent moins dans des comportements défavorables à la consommation responsable de l'eau. Ce résultat va dans le sens de l'hypothèse **H1**. En outre, en accord avec l'hypothèse **H2**, l'analyse de régression révèle que l'efficacité perçue des mesures de l'Etat a un effet statistique positif sur les comportements de consommation d'eau responsables,  $b = 0.17$ ,  $R^2 = .05$ ,  $t(98) = 2.33$ ,  $p = .022$ . Cela veut dire que lorsque les mesures prises par l'Etat sont perçues comme efficaces, les participants s'engagent davantage dans des comportements favorables à la protection de l'eau.

<sup>4</sup> Il s'agit de quatre variables dont une variable quantitative à savoir l'âge et trois variables qualitatives. Ces dernières sont recodées selon l'application (i.e., code de contraste) proposée par Judd et al. (2010) : **Sexe** : 1 (homme) vs -1 (femme) ; **Lieu de résidence** : 1 (milieu urbain) vs -1 (milieu rural) ; **Situation matrimoniale** : 1 (marié(e)) vs -1 (célibataire).

Tableau 2. Effet des variables indépendantes sur les comportements de consommation d'eau

Variables	Comportement de consommation d'eau			
	<i>b</i>	<i>t</i>	<i>p</i>	<i>R</i> <sup>2</sup>
Gravité perçue	-0.18	-2.90	.005*	.08
Efficacité perçue des mesures	0.17	2.33	.022**	.05

Notes. *b* : coefficients de régression non standardisés. *t* = valeur de Test-t. *p* = significativité statistique. *R*<sup>2</sup> : Variance expliquée ou taille d'effet.

\* *p* < .05, \*\* *p* < .01.

## 5. Discussion

Les résultats de la présente étude corroborent ceux des travaux antérieurs. En effet, plusieurs études indiquent que les comportements de consommation occupent une place centrale dans la protection ou la dégradation du climat et des ressources naturelles l'eau (Lorenzoni et al., 2007 ; Schultz & Kaiser, 2012 ; Zeng et al., 2020). En outre, cette étude soulève l'intérêt et la pertinence de tenir compte de la perception que les gens ont des risques dans le contexte du déficit hydrique auquel fait face le Maroc. Cette évaluation subjective joue un rôle déterminant dans l'adoption (ou non) des pratiques de consommation saine et responsable et l'adhésion (ou non) aux mesures prises par l'Etat pour faire face à la pénurie d'eau. Comme le note Belhaj (2017), l'individu réagit aux conditions environnementales non pas tel qu'elles sont mais tel qu'il les perçoit, les vit et les interprète. Autrement dit, notre regard sur l'environnement physique détermine la manière dont nous nous comportons envers lui, et inversement, la manière dont nous agissons conditionne notre perception et notre représentation du monde. Comprendre les systèmes de pensée des individus peut nous amener à comprendre la manière dont ils se comportent et agissent (Michel-Guillou, 2006). On peut en déduire que le comportement, quel que soit le contexte dans lequel il est inséré, est influencé, en grande partie, par les perceptions et les représentations. Ainsi, on peut dire que l'activité face aux risques dépend sans doute de la perception du risque (Kouabenan, 2007).

Le présent travail apporte un nouvel éclairage quant à l'apport de la psychologie dans la compréhension des comportements favorables ou défavorables à la protection et à la consommation responsable d'eau. Dans cette perspective, ce travail met en avant le rôle de la perception des risque (i.e., gravité perçue, efficacité perçue des mesures) dans l'explication des comportements de consommation d'eau. En effet, il s'avère que lorsque les consommateurs perçoivent la pénurie d'eau comme hautement grave et risquée, ils tendent à moins s'engager dans des comportements défavorables à la protection de l'eau. Autrement dit, il semble que la prise de conscience par rapport à la gravité de la situation d'état d'urgence hydrique amène les individus à repenser leurs comportements et à se soucier davantage de l'eau, et par conséquent protéger cette ressource vitale. Ces résultats vont dans la ligne des travaux qui rapportent que plus le risque environnemental est perçu comme grave, plus la personne concernée a tendance à mettre en œuvre des pratiques respectueuses, responsables, rationnelles et écologiques (McDaniel et al., 1997).

Face à la situation urgente et inquiétante du stress hydrique, l'Etat Marocain, par le biais, entre autres, du ministère de l'Intérieur, du Ministère de l'Equipment et de l'Eau et des collectivités locales, a engagé un certain nombre de mesures pour garantir l'approvisionnement et lutter contre les pratiques de gaspillage de l'eau. Ces mesures peuvent donner lieu aux résultats escomptés, notamment lorsqu'elles sont accueillies par la population avec confiance et perçues comme étant applicables et efficaces. En effet, l'efficacité des mesures prises par l'Etat est un régulateur majeur du comportement de consommation d'eau. Dans ce sens, les résultats révèlent que l'efficacité perçue des mesures de prévention favorise

l'engagement dans des comportements de consommation responsable. Ces résultats sont cohérents avec la littérature scientifique indiquant que le fait de croire en efficacité des mesures a un effet positif sur l'adoption des comportements préventifs (Becker & Rosenstock, 1987 ; Kouabenan & Ngueutsa, 2016). Selon Weinstein (1993), l'application des mesures de prévention est conditionnée par le fait de croire en la capacité des mesures de réduire la probabilité d'occurrence de l'événement indésirable.

## **6. Conclusion**

La présente étude met en avant le rôle de la perception dans les comportements de consommation d'eau dans le contexte de la pénurie d'eau. Elle attire l'attention sur l'intérêt de tenir compte du fonctionnement sociocognitif des individus pour inciter leur adhésion aux pratiques et aux mesures préventives engagées. Comme tout travail scientifique, cette étude présente des limites. La première limite concerne la taille d'échantillon qui n'est pas assez large pour tirer des résultats définitifs et concluants. La deuxième est que l'étude est menée selon un devis transversal. Il s'ensuit qu'elle ne permet pas d'établir des relations de causalité entre les variables. La troisième concerne le fait que le questionnaire en tant qu'outil de collecte de données pourrait favoriser certains biais cognitifs comme la confirmation d'hypothèse et la désirabilité sociale. La réalisation d'une étude auprès d'un échantillon large, au moyen de méthodes mixtes (i.e., qualitative et quantitative), selon un devis longitudinal permettrait donc de pallier à certaines de ces limites.

Malgré ces limites, cette étude apporte certaines contributions d'ordre méthodologique et pratique. D'abord, nous n'avons pas opté pour une approche quantitative de mesures prêtes, dans le sens où nous avons développé des échelles de mesures adaptées au contexte local et inspirées en partie des résultats de l'étude qualitative exploratoire. Ces échelles de mesure concernant les comportements de consommation d'eau, la gravité perçue et l'efficacité perçue des mesures présentent des indices de fiabilité relativement encourageants. Elles méritent d'être reprises dans des futures recherches dans une perspective de validation psychométrique.

Sur le plan pratique, cette étude fournit des résultats intéressants qui peuvent aider à développer des stratégies de communication et des actions de prévention pour encourager les comportements de consommation responsable de l'eau. Globalement, ils suggèrent la nécessité de concevoir des mesures de prévention qui tiennent compte des croyances et de la perception des risques de la population cible. Ainsi, il semble important de mettre en avant un certain niveau de gravité dans les actions de prévention et les stratégies de communication afin de motiver les gens à agir. Ces actions de prévention devraient fournir des conseils sur la manière de réduire le risque, car présenter un risque en faisant appel à la peur, sans indiquer les moyens d'y faire face, peut susciter une réaction de déni du risque pour réduire le sentiment de peur (Witte & Allen, 2000). En outre, les résultats suggèrent que les actions de prévention devraient viser à générer des croyances sur l'efficacité des mesures de prévention, car les individus tendent à s'engager dans mesures qu'ils jugent efficaces. Pour ce faire, il serait intéressant d'opter pour des messages tantôt incitatifs tantôt menaçants, via les canaux de la socialisation et d'influence sociale (e.g., école, famille, médias, réseaux sociaux) pour inculquer les valeurs liées à la consommation responsable de l'eau dans la vie quotidienne, et par conséquent atteindre une prise de conscience au niveau individuel et collectif, à savoir :

- Gaspillez de l'eau, c'est mettre sa vie en danger ;
- Ne pas gaspiller de l'eau pour préserver la vie de vos enfants et vos proches ;
- L'eau se fait de plus en plus rare, sa préservation est un devoir et une responsabilité éthique ;
- L'eau est un bien commun ; la préserver est une responsabilité sociale ;

- L'Etat a le devoir de garantir l'accès à l'eau alors que le citoyen a la responsabilité d'en consommer de manière raisonnable ;
- L'eau est à la source de toutes les formes de vie sur Terre, protégeons-là ;
- Pour faire la vaisselle à la main, utilisez deux bassines, l'une pour l'eau de lavage, l'autre pour l'eau de rinçage ;
- Ne lavez pas les fruits et légumes sous l'eau du robinet ; optez plutôt pour une bassine d'eau ;
- En fermant le robinet pendant que vous faites l'ablution, vous consommerez moins d'eau par jour.

Comme le notent Belhaj et Azouaghe (2020) dans le contexte de la pandémie COVID-2019, il serait intéressant de mettre en place une stratégie de gestion des risques collective, efficace et engageante. Pour ce faire, il s'avère primordial de tenir compte des modes de pensée des marocains face aux situations de crise ou à risque. Autrement dit, il est important de placer l'individu et son fonctionnement sociocognitif au cœur de toute stratégie de prévention afin d'atteindre les résultats escomptés en termes d'application et d'adhésions. Certes, une définition précise des mesures (e.g., clarté, gains, pertes à éviter) est une phase centrale dans la gestion des risques qui sollicitent le changement du comportement, mais il y a lieu, aussi et surtout, de promouvoir une politique et une culture de prévention axées sur des valeurs rationnelles : responsabiliser au lieu de culpabiliser, inculquer le fait que les risques sont en grande partie contrôlables, inviter les individus à changer le comportement via des messages incitatifs, moins menaçants et moins coercitifs.

Enfin, cette étude ouvre des perspectives de recherche intéressantes. Il serait, à titre d'exemple, important de tester l'effet d'autres variables, issues principalement de la théorie du comportement planifié (Ajzen, 2012), qui jouent un rôle majeur dans l'explication du comportement à savoir les croyances culturelles, fatalistes et religieuses, les normes subjectives, le contrôle comportemental perçu, les attitudes, l'intention comportementale, etc. Il serait également opportun d'opter pour une méthode mixte en mobilisant des techniques variées et complémentaires (e.g., entretien, focus groupe, questionnaire et échelles de mesure) auprès d'un vaste échantillon, notamment dans les zones touchées par la pénurie d'eau en vue d'appréhender de manière plus fine les caractéristiques du comportement de consommation d'eau et ses déterminants au fil du temps

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## Board Game “Fala Barato”: Challenging the Relation with Information, Media and the Other

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**Abstract:** *This paper intends to discuss the interdisciplinary and creative process of creating the board game “Fala Barato”. More specifically, the work focuses on the ways in which the creation and use of a board game – a toolkit that offers a set of functionalities to stimulate the handling of a range of processes (graphic, communicational, critical thinking) - make available various challenges in board games production that support media and information literacy. The process of creating a non-digital board game issues an incentive for personal communication and interaction with media and information literacy. The board game was developed within the agenda of a national research project - “The World Reading Academy: communication, journalism and I” – whose main objective was to develop communication, self-regulation, and critical thinking competences. Being board games prompts for people to interact, this game proposal impacts in the recognition and resolution of unexcepted situations and development of competences through cross-cultural collaboration. In this article we will describe how students were integrated in the developing phases and choices of “Fala Barato” board game, providing certain affordances to explore collaboration, competition, sharing, and information seeking. This will enable a better understanding of the collaborative work of different kinds of participants and media knowledge but also the difficulties in which the outcome can endure through its associated milieus. This way of thinking board games and the challenges included in the game tasks emphasize forms of creativity, discipline, patience, and analysis of the consequences of speech acts and decision-making, as well as exercising knowledge and memory that are too often underestimated in various accounts of media and information processes.*

**Keywords:** *Board game, media literacy, journalism, communication, media*

### 1. Introduction

Although young people are well acquainted with the use of digital devices, this article argues for the importance of fostering communication literacy in the current context of complex media convergence, encouraging critical thinking, and promoting projects inspired by media practices and youth collaboration. The way we communicate and share messages requires a variety of skills (media literacy, digital literacy, information literacy, visual literacy, multimodal literacy, communication literacy), which differ from each other in that they require different awareness of the impact that communication has on us and on our relationships with others. The different situations that multiple literacies enable us to resolve go beyond the fact that they belong to one area or discipline or are closed in on themselves.

As educational environments, schools and colleges are a privileged place to frame and reinforce the acquisition of this range of skills and it is essential that teaching models promote a more participatory culture that gets students involved in their own learning process. Thus, research focusing on creating and using a board game, as a toolkit that offers a set of functionalities to stimulate the handling of graphic, communicational and critical thinking processes, proposes various challenges that support media and

information literacy. Furthermore, the process of creating a non-digital board game issues an incentive for personal communication encouraging people to face-to-face interaction. This proposal might also impact in the recognition and resolution of unexcepted situations and the development of resilience through cross-cultural association.

Challenging students to participate in the creation of a board game promotes competitive interactivity associated with a creative process and can be an extremely useful teaching resource nowadays. In fact, the overall use of games in the educational context is not a new concept. The game is widely recognized as an excellent pedagogical tool in the learning process, capable of involving and stimulating the active participation of students (Nicholson, 2011; Wonica, 2017; Barton *et al.*, 2018; Despeisse, 2018; Krausse *et al.*, 2028; Schmuck & Arvin, 2018; Bayeck, 2020, among others). The board game has a material existence that transports us to childhood play activities, uses simple and familiar mechanics with clear objectives and rules defined in advance, which facilitate an intuitive apprehension of how to play, freeing the players' attention to focus on the educational content. Using board games in the learning sites leads to a more attractive, relaxing, and rewarding environment for students, and the teacher becomes more a facilitator of learning than a transmitter of knowledge. Likewise, involving students in the creation of a game results in attitude changes in the school/college context, adopting a more participatory behaviour, allowing them to organize their own thinking in the process.

Jenkins (2015) points out that many of the skills needed for young people to exercise participatory citizenship are currently carried out in informal learning communities and that the dominant formal school model can cause many young people such frustration that they abandon traditional school paths. The author advocates an ecological approach of diversity in the use of media in pedagogy, interconnecting different technological and communication tools, cultural communities and activity proposals. To this end, academic culture needs to embrace more participatory culture across the board, in educational practices, creative processes, community integration and citizenship. Students develop more knowledge and skills within ethical and practical frameworks that encourage the development of their critical spirit and self-confidence in order to exercise full social participation within contemporary culture. Schools and colleges should become more and more spaces for dialog delving to overcome differences and inequalities. Teachers and professors take on the role of aggregators, facilitators, organizers of dynamics and content. The empowerment of young people is precisely the result of conscious reflective capacity and the ability to make relevant and informed decisions in everyday real life (Buckingham, 2000; Jenkins, 2015), but also of their own awareness of the power and responsibility of exercising citizenship at a social, cultural, economic and political level.

Disconnection from politics, for example, can result from youth perception as powerless social actors (Buckingham, 2000), but also from the overload of an informational context extremely saturated with stimuli that can result in distancing strategies and the adoption of a superficial, dispersed and fragmented type of attention. Living in this fluidity is transitory and volatile, in a modernity that is liquid with uncertainty and instability, more malleable structures, and with no time for sedimentation (Bauman, 2001). In characterizing modern individuals, Lipovetsky and Charles (2011) point out what appears to be the paradox of a simultaneous coexistence of opposites. They point out that individuals are now more informed, but more unstructured and unstable. Less ideological, but more dependent on fashions. More critical, but more superficial. More sceptical, but less profound.

Recent studies (Adjin-Tettley, 2022) confirm that when an individual is media and information literate, they tend to be more cautious about verifying the authenticity of information before sharing it, which

reinforces the importance of critical thinking skills. If attention given to the subject of media literacy has grown and gained new and stimulating angles of reflection, reality seems little compatible with what might be supposed given the distance that seems to be maintained between the education system and youth, as Manuel Castells said and Sonia Livingstone reaffirmed (Castells, 2007; Livingstone, 2016). After Livingstone's study on young people life and education in the digital age, she concluded that the aspirations of the education system continue "at odds with how young people and families imagine what learning is good for" (Livingstone, 2016).

## **2. Research design**

The three-year research project "World reading academy: communication, journalism and I" (2019-2021) primary objective was to stimulate critical thinking and foster young people's capacity for self-regulation in their relationship with the media and communication. Being part of the national network of Gulbenkian Academies of Knowledge 2019, the "World reading academy" was hosted by several Portuguese academic institutions specializing in communication studies and journalism and endeavoured to provide an immersive media experience for young students between the ages of 14 and 25. The activities in the Lisbon Academy have put together more than one hundred students from the high school José Gomes Ferreira and undergraduate studies of communication and journalism of ESCS collaborating in a wide range of media and journalism activities.

The agenda included monthly sessions of press reviews, analysis of the Portuguese press headlines (construction and accuracy), study of multimedia feature stories, disinformation, ethics and journalism, or visits to news outlets or media museums. Moreover, the project working agenda (from September to June) also challenged students to participate in the construction of multimedia news stories, in the proposal of the logo for the Academy and, in the design of a board game to develop media literacies. All these active actions focused on experiences that triggered communication, self-regulation and critical thinking abilities that are key competences to understand the central value of journalism and media in our contemporary society. Now, the process of creating a board game together with students was considered a challenging but significant mission for promoting media literacy in the agenda of the "World reading academy". Listening to the students' voices, attending their worries, and considering their suggestions to a board game prototype worked as cornerstones to engage them in an enriching media literacy experience.

The design of the board game creation was based on the group of the participants in the "World reading academy", their academic level, and the project specific learning objectives. "Fala Barato" is an educational, non-commercial board game prototype designed by a multidisciplinary group of teachers, researchers, and communication students who were part of the "World reading academy". The main objective of the board game was to develop critical thinking, communication, and self-regulation skills in formal and informal environments. Since active teaching-learning environments that use playful activities promote more meaningful learning (Patiño, Ramírez-Montoya & Buenestado-Fernández, 2023; Schmuck & Arvin, 2018), they also encourage reflection on the topics covered, contributing to changes in students' awareness and reinforcing their ability to act in various contexts. (Colomer, Serra, Cañabate & Bubnys, 2020).

## **3. Methodology**

The methodological approach to building this game is exploratory and qualitative. The information gathered in the various intervention groups in the immersive actions with young students, and the discussion and reflection sessions carried out as part of the research project "World reading academy:

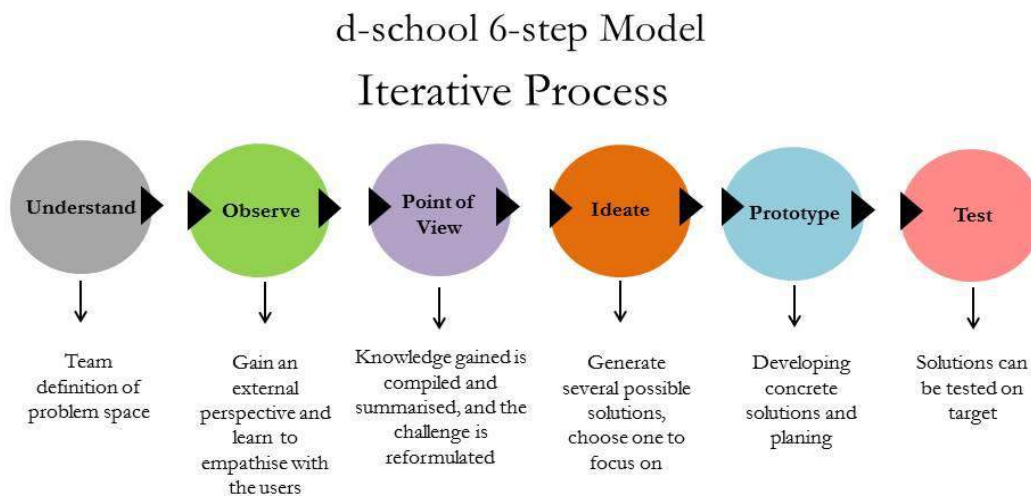
communication, journalism and I", provided the basis for the idea of the game. In the first brainstorming sessions held by a multidisciplinary group of teachers, researchers, and communication students (6-8 participants), during the month of February 2020, it was possible to discuss the core idea of the game, create its content, themes, categories, and standard questions. The face-to-face sessions lasted approximately 3 hours each and took at School of Communication and Media Studies, while the distance sessions were held via the Zoom platform.

To decide on the form, a comparative benchmark analysis was carried out on a set of board games, chosen in an unstructured way and without a systematic and exhaustive process, with the aim of characterizing the relevant aspects of implementation: playful-didactic balance, game mechanics, usability, simplicity of rules, number of players, playing time. Once the reference game had been selected, the research team prepared a briefing for the graphic design of the board game's visual identity. The biggest challenges faced during the development process were creating simple and intuitive mechanics and formulating many challenges in each of the categories.

### 3.1 Graphic design development cycle

The board game was chosen as appropriate for the game format, since not only contributes to reach the main goals of the project, but also aligns with available resources. The rules were ensured to facilitate the expansion of media literacy concepts while making the gameplay engaging for students.

The graphic design project used the design thinking approach. Design thinking is a systematic, human-centered approach to resolving complex problems. The approach is grounded in the intuitive workflow process of a design. It develops in 3 phases: Inspiration, Ideation, and Implementation (IDEO Human-Centered Design Process) (Tschimmel, 2012). In this case, the 6-step d-school model of Hasso-Plattner-Institute at University of Potsdam in Germany was adopted (Figure 1).



Source: Adapted from Hasso-Plattner-Institute (<https://hpi.de/en/school-of-design-thinking/design-thinking/what-is-design-thinking.html>)

Figure 1: Iterative Process of d-school Model

### 3.2 Project conceptualisation

The naming “Fala Barato” (Cheap talk”) and graphic aspects of the game were developed by Audiovisual and Multimedia final-year undergraduate students at School of Communication and Media Studies/Lisbon Polytechnic. These students participated in the board game design in a collaborative way, creating and designing all game elements such as cards, board, and various pieces. They incorporated media-related scenarios and challenges to prompt critical thinking about media content. During the process of composing the game, reflection elements were included to encourage students to discuss and analyse their decisions. This involved vividly group discussions, written reflections, and class presentations. Small game tests were applied with the students to identify potential issues, refine rules, and ensure the game effectively was prompt to achieve the desired learning outcomes. Feedback was collected from students and their experiences observed. This feedback was used to make improvements to the board game by the research team. Finally, all participants presented their proposals in a competition, with “Fala Barato” proposal being the jury’ (members of the Academy’s project research team) choice. This entire creative process was documented, including the rationale behind the design choices, observed students’ reactions, and adjustments made.

### 4. Results

The process of creating the board game “Fala Barato” achieved the main goals of the project because students demonstrated critical thinking, self-regulation, and communication skills through their engagement with the production of the game design. The high level of interest and positive engagement among students during the process indicates that this challenge successfully captures students’ attention and interest. Despite the first difficulties in understanding the objective and the possibilities of the work, their final feedback about the experience with the board game was enthusiastic and their perspectives on the games’ effectiveness were inspiring.

The aim of the board game “Fala Barato” is to be the first team to complete the objectives on their Secret Card (assigned according to the roll of the dice). In terms of format, this game draws inspiration from traditional board games, particularly Diset’s Party & Co. game. In material terms, the game consists of a board, a dice and a set of cards and a rules sheet. The cards are used as an evaluation of the game progress. Four main question areas were considered for the card’s themes: *Did you know* (information, general knowledge), *Action* (self-regulation, speed, communication), *You and I* (empathy, knowledge of others, communication) and *Inside and Outside the Box* (critical thinking, different interpretations/readings of the world). Some content questions were articulated by the project’s research team as examples. By playing in rounds, it is possible to extend or shorten the duration of the game, as well as frequently swap teams to give the chance to play to more teams, according to the pedagogical dynamics in each case.

Designed for the Portuguese context, the name “Fala Barato” is provocative. It takes advantage of a Portuguese idiomatic expression, whose meaning refers to someone who talks a lot but in an inconsequential way, unaware of the value and weight of the words they use. In terms of graphic design, the human figure of “Fala Barato” is central, making the connection with the media and information panorama and the necessary humanization of the communication experience. The illustration of the characters sought to reflect a diverse population, but also included the humorous stylization of public figures associated with the game's thematic area, such as journalists, politicians, presenters, or other society members, as teachers.



To further test this game as an educational tool, a functional prototype (Figure 2) has been created that was not possible to test in pilot sessions, which are key to receive the feedback to be used to refine content and form issues and to gauge issues related to dynamics and effectiveness. The pilot tests are also important because they would serve to measure the effectiveness of this game format as an educational tool to develop media and information literacy and as a way of energizing the sessions with the students, thus fulfilling the objectives of the project "World reading academy: communication, journalism and I".

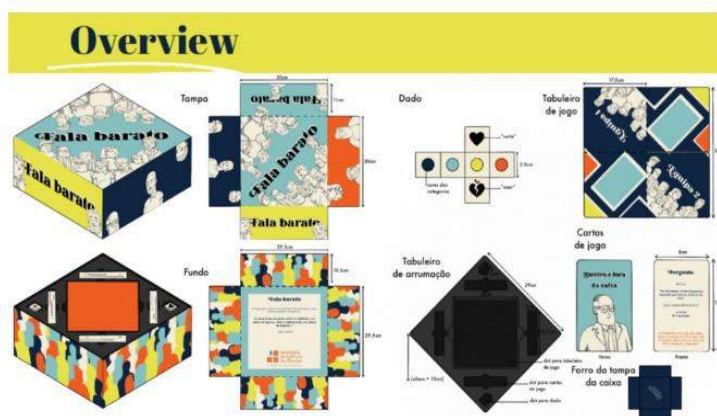


Figure 2: The board game "Fala Barato" prototype

## 5. Conclusions

The global educational project for the 21st century requires in-depth work to articulate knowledge, experiences, and critical reflection on information and media issues, in order to offer young students a variety of teaching-learning models that enable them to develop a wide range of skills, strengthen social skills and promote personal development that enables them to exercise participatory citizenship and intervene consciously and proactively in society.

Challenging pedagogical models can and should coexist, adapting through permanent reflection to the objectives of the various programs and syllabuses, trying not to fall into the trap of unproductive impositions. The student profile is highly diverse, and it is important to develop work to being open and adapt to the world diversity by using teaching-learning methodologies that can be used by teachers and students with different styles and proposals.

Active methodologies have many advantages and have shown good results, but they need to be considered on a case-by-case basis, according to each content and pedagogical proposal. For example, the "flipped classroom" model proposes that the basic knowledge on a subject can be acquired by students outside the classroom (the student's homework becomes their investment in acquiring their own basic knowledge, as a form of prior preparation), with interaction in the classroom reserved for discussion, application with teacher guidance. It is an extremely interesting model and can be very fruitful but will not apply as a rule to all cases and situations. The level of commitment and willingness on the part of the students to invest seriously in their own prior preparation requires a great deal of autonomy and maturity on the part of the young people that sometimes we could not testify during this project. However, the teacher's flexibility in



deciding the best methods for their groups of students had to be ensured. In our formal education, the strategies involved in the teaching-learning process were perhaps more paradigmatic and attitudinal, rather than programmatic. Above all, they included a huge investment of recomposing, guiding, and organizing thinking, promoting knowledge that stimulating connections and relationships from a global perspective.

The "Fala Barato" board game has a markedly pedagogical focus, paving the way for addressing contemporary issues in a formal or informal and relaxed context, on which it is necessary to reflect, developing critical thinking and communication processes that allow young people to exercise more conscious and capable citizenship. The project's contribution to the broader field of media literacy research provides valuable insights into using board games for educational purposes, but more importantly, involving the students in the creation process of the game contributes to both classrooms learning environments and potential advancement in media literacy education.

As an educational tool integrated into the "World reading academy: communication, journalism and I" project, the board game is thought to foster dialogue but also incite debate. The major limitation of the project is that the board game was not tested due to time and resources limitations. Participating in today's context of proliferating media and information narratives requires facility to communicate using media literacy and critical competences for empowerment and participation in society. Resources such as the board game "Fala Barato" could open space for experimentation and creativity, as the use of appealing stimuli and playful dynamics work on critical reflection on serious and essential issues. Besides challenging the relation with information, the media and the others, "Fala Barato" provides an ethical framework and issues related to the self-regulation of individuals, helping in the meaningful, shared, and responsible construction of knowledge.

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# **CHAPTER FOUR**

# **TECHNOLOGY AND**

# **INNOVATION**



## Competitive Advantage and Innovation: Impacts on the Organization's Strategy and Development Paths

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**Abstract:** *The concept of innovation has become increasingly important in influencing the success of companies, particularly in the era of globalization. This article explores the impact of innovation on the development of competitive advantage. Using a full qualitative approach, the study analyzes existing literature on the subject and examines different types of innovation, such as product, process, and organizational innovation, and their influence on competitive advantage. The article argues that innovation enables companies to create a unique competitive advantage by improving product quality, reducing costs, enhancing delivery time, and increasing customer satisfaction. Additionally, the study investigates the role of innovation in sustaining competitive advantage over time, highlighting the need for continuous innovation to counteract competitors' replication efforts. Key drivers of innovation, including technology, market orientation, human capital, and strategic vision, are also identified. The paper therefore highlights and provides a better definition of innovation and the link that this has with the competitive advantage. The two terms become synonymous. The in-depth literature review, carried out here, highlights some knowledge gaps that future and ongoing research will be able to fill using specific research strategies. These gaps are a partial absence of a formal and common quantitative methodology to measure innovation and the absence of a formal and common quantitative methodology to measure the competitive advantage. This last element is certainly the one that opens the greatest possibilities for future research on competitive advantage. Then the findings of this study have furthermore practical implications for managers, policymakers, and researchers, emphasizing the importance of fostering an innovation culture and investing in research and development. Policymakers can use these results to formulate policies that promote innovation and provide incentives for R&D investments. Lastly, the study provides a framework for future research in the field of innovation and competitive advantage.*

**Keywords:** Business theories, Competitive Advantage, Innovation, General management, Methods for continuous business development and performance improving.

### 1. Introduction

The background and significance of innovation and competitive advantage lie in their profound impact on the success and sustainability of organizations in a highly competitive business environment (Smith, 2023). In today's rapidly changing global marketplace, organizations face intense competition, dynamic customer demands, and technological advancements (Johnson & Brown, 2022). In this context, the concepts of innovation and competitive advantage have emerged as critical factors for the success and survival of companies across industries. Innovation refers to the creation and application of new ideas, processes, products, or services that result in significant improvements (Miller, 2020). The competitive advantage is the unique position a company establishes within its industry that allows it to outperform its rivals and generate superior returns (Jones & White, 2019).

The increasing recognition of innovation and competitive advantage stems from these several key factors: Globalization and Market Dynamics - The process of globalization has expanded markets, intensified competition, and accelerated the pace of change (Clark & Turner, 2021). As organizations strive to maintain relevance and profitability, they must continuously innovate to adapt to evolving customer preferences, industry trends, and global market demands (Davis, 2018). Innovation enables companies to differentiate themselves from competitors, capture new markets, and respond effectively to emerging challenges and opportunities (Smith & Johnson, 2017).

Technological Advancements - Advances in technology, such as digitalization, automation, artificial intelligence, and the Internet of Things, have disrupted traditional business models and created new avenues for innovation (Brown & Wilson, 2019). Organizations that harness these technologies can develop unique capabilities, transform their operations, and deliver novel products or services, thereby gaining a competitive edge in the market (Taylor, 2020).

Customer Expectations - In an era of empowered consumers, customer expectations are constantly evolving (Harris, 2021). Customers seek innovative solutions that address their evolving needs, offer superior value, and enhance their overall experience (Smith & Davis, 2018). Organizations that proactively innovate to meet these demands can attract and retain customers, build brand loyalty, and establish a competitive advantage over firms that fail to adapt (Robinson, 2019).

Economic and Financial Considerations - Innovation plays a vital role in driving economic growth, productivity, and profitability (Jones & Smith, 2020). By improving operational efficiency, reducing costs, and increasing productivity, organizations can enhance their profitability and financial performance (Turner & Taylor, 2019). Moreover, innovation allows companies to create intellectual property, patents, and proprietary technologies, which can provide a sustainable competitive advantage and generate additional revenue streams (Clark & Harris, 2018).

Sustainability and Long-Term Success - Sustainable competitive advantage is crucial for long-term success and organizational survival (Miller & Wilson, 2022). As markets become saturated and competitors imitate successful strategies, organizations must continually innovate to maintain their competitive position (Brown & Davis, 2021). Failure to innovate can lead to stagnation, loss of market share, and ultimately, business decline or failure (Jones, 2017).

In brief, the background and significance of innovation and competitive advantage lie in their ability to enable organizations to adapt, differentiate, and excel in a dynamic and competitive business environment (Taylor & Robinson, 2023). By embracing innovation and leveraging it to establish and sustain a competitive advantage, companies can and should achieve growth, profitability, and long-term success (Smith, 2023).

The objective of this article is to investigate and identify the building blocks that constitute competitive advantage. In addition to some *internal capabilities*, skills, within the organization and the availability of *financial resources*, we identified *innovation as a key element*. An innovation of products and services that takes into consideration the number of customers who adopt them. In a nutshell, I simply measure the innovation index through the product of products/services for active customers. The final purpose of this article is therefore to evaluate how innovation, precisely defining what is meant by innovation, from a qualitative point of view, impacts on the competitive advantage and therefore demonstrate that it is part of it.

## **2. Conceptual foundations**

Innovation, defined as "the process of generating and implementing new ideas, methods, technologies, or practices to create value and drive positive change" (Smith, 2020, p. 45), is a multifaceted concept encompassing the introduction of novel or improved elements that enhance efficiency, effectiveness, competitiveness, or customer satisfaction (Brown & Johnson, 2018). It manifests in various forms, including product innovation, process innovation, organizational innovation, and business model innovation (Jones, 2019).

Competitive advantage, a fundamental concept in strategic management, can be described as "the unique attributes, resources, capabilities, or strategies that enable a company to outperform its competitors and achieve superior performance in the marketplace" (Porter, 1990, p. 72). It represents the distinctive factors setting a company apart and facilitating the establishment and maintenance of a favorable position within its industry (Barney, 1991). Achieving competitive advantage involves strategies like cost leadership, technological innovation, and customer loyalty (Grant, 2018).

Innovation serves to develop and sustain competitive advantage, enabling organizations to create value, differentiate themselves, and outperform rivals (Teece, 2007). Several theoretical frameworks and models contribute to a deeper understanding of innovation and competitive advantage:

**Resource-based view (RBV):** RBV emphasizes the significance of internal resources and capabilities in gaining and sustaining competitive advantage (Barney, 1991). It asserts that firms with unique, valuable, and difficult-to-imitate resources can create a competitive edge. Innovation, as a source of valuable and rare resources, plays a crucial role (Wernerfelt, 1984).

**Dynamic capabilities:** The dynamic capabilities framework underscores an organization's ability to adapt and renew its resources and capabilities to navigate changing market conditions (Teece et al., 1997). It highlights the pivotal role of innovation in building and preserving competitive advantage through continuous learning and adaptation.

**Technology diffusion theory:** This theory explores how innovations spread and gain acceptance in a market (Rogers, 2003). Factors such as innovation characteristics, communication channels, and the readiness for change influence the diffusion process. Understanding technology diffusion helps assess its impact on competitive advantage.

**Porter's five forces:** Porter's framework analyzes the competitive dynamics within an industry (Porter, 1979). It examines supplier and buyer power, the threat of new entrants, substitute products, and competitive rivalry. Identifying these forces guides firms in strategizing for competitive advantage.

**Open innovation:** The concept of open innovation emphasizes the collaboration between internal and external sources to generate and exploit ideas and technologies (Chesbrough, 2003). It challenges the traditional closed innovation model and offers insights into leveraging external knowledge and resources.

**Triple helix model:** The Triple Helix model explores academia, industry, and government interactions in fostering innovation (Etzkowitz & Leydesdorff, 2000). It highlights collaboration and knowledge exchange among these sectors, providing insights into factors influencing innovation and competitive advantage at regional or national levels.



These theoretical frameworks and models offer unique perspectives on the intricate relationship between innovation and competitive advantage, facilitating a comprehensive understanding of these concepts in academic and practical contexts.

## **2.1 Innovation capabilities and competitive advantage**

### **2.1.1 The three different types of innovation**

Product Innovation that refers to the development of new or improved goods or services that offer enhanced features, functionality, or customer value (Smith & Johnson, 2018). It involves creating innovative offerings that meet customer needs, address market gaps, or introduce novel solutions. Product innovation can involve incremental improvements, such as adding new features to an existing product, or radical innovations, which introduce completely new products or disrupt existing markets (Brown, 2019). Examples of product innovation include the introduction of smartphones, electric vehicles, advanced medical devices, new software applications, or innovative consumer products that improve convenience, performance, sustainability, or user experience (Jones, 2020).

Process Innovation that focuses on improving or transforming the methods, systems, or procedures used to produce goods or deliver services (Roberts & White, 2017). It aims to enhance efficiency, productivity, quality, or cost-effectiveness. Process innovation often involves reengineering or reconfiguring existing processes, adopting new technologies, streamlining workflows, or implementing new management practices (Williams et al., 2019). Examples of process innovation include the adoption of automation, robotics, or AI technologies in manufacturing processes, the implementation of lean production systems, the introduction of advanced logistics and supply chain management techniques, or the development of innovative service delivery models that optimize resource utilization and reduce lead times (Brown & Davis, 2021).

Organizational Innovation that involves implementing new structures, systems, or practices within an organization to enhance its overall effectiveness, agility, or competitiveness (Smith & Wilson, 2016). It focuses on improving internal operations, culture, or management processes. Organizational innovation can involve changes in management practices, employee empowerment, organizational structure, collaboration mechanisms, or the adoption of new business models (Jones & Turner, 2018). Examples of organizational innovation include the implementation of agile project management methodologies, the adoption of flexible work arrangements, the establishment of cross-functional teams or innovation labs, the introduction of knowledge-sharing platforms or internal communication tools, or the adoption of new performance measurement and incentive systems (Roberts, 2020).

It's important to note that these types of innovation are not mutually exclusive and can often overlap. Indeed, many organizations pursue a combination of product, process, and organizational innovation to achieve holistic and sustainable improvements in their performance and competitiveness (Williams & Davis, 2022).

### **2.1.2 The impact of innovation on competitive advantage**

Innovation has a significant impact on competitive advantage by enabling organizations to differentiate themselves, adapt to changing market dynamics, and outperform competitors (Brown & Smith, 2019). Here are some keyways in which innovation influences competitive advantage:

Differentiation - Innovation allows organizations to create unique products, services, or business models that differentiate them from competitors (Jones & Brown, 2017). By offering novel features, superior

quality, or distinctive value propositions, innovative companies can attract customers and establish a competitive advantage (Roberts & Wilson, 2021). Differentiation through innovation helps organizations command premium prices, build customer loyalty, and capture market share (Smith et al., 2020).

**Cost efficiency** - Innovation can lead to cost efficiencies through process improvements, automation, or the adoption of new technologies (Williams & Turner, 2018). By innovating their production, supply chain, or operational processes, organizations can reduce costs, improve productivity, and gain a cost advantage over rivals (Brown et al., 2021). Cost efficiencies obtained through innovation enable organizations to offer competitive pricing, higher profitability, or reinvest in further innovation (Jones & Davis, 2019).

**Improved customer experience** - Innovation plays a crucial role in enhancing the customer experience (Roberts & Smith, 2020). By developing innovative products, services, or solutions that address customer needs and preferences, organizations can attract and retain customers (Smith & Jones, 2022). Innovation can improve usability, convenience, reliability, or customization, thereby increasing customer satisfaction and loyalty (Brown & Turner, 2022). A superior customer experience resulting from innovation contributes to a sustainable competitive advantage (Williams et al., 2023).

**Agility and adaptability** - Innovation enables organizations to respond and adapt to changing market conditions, customer demands, or industry disruptions (Jones et al., 2021). By fostering a culture of innovation and embracing continuous improvement, organizations can stay ahead of competitors and seize emerging opportunities (Roberts & Davis, 2018). The ability to rapidly innovate and introduce new offerings gives organizations the flexibility and agility to outmaneuver rivals and maintain a competitive edge (Smith & Wilson, 2017).

**Barriers to entry** - Innovation can create significant barriers to entry for potential competitors (Brown & Smith, 2020). Organizations that continuously innovate and develop proprietary technologies, patents, or intellectual property can establish strong defensive positions (Williams & Turner, 2021). These barriers make it difficult for new entrants to replicate or imitate the innovation, protecting the innovating organization's competitive advantage (Jones & Wilson, 2023).

**Sustaining competitive advantage** - Innovation is vital for sustaining a competitive advantage over time (Roberts et al., 2019). Competitors can imitate or surpass existing products, services, or business models, eroding the advantage gained (Brown & Davis, 2023). Therefore, organizations must continuously innovate to stay ahead of rivals (Smith & Turner, 2022). By fostering a culture of ongoing innovation and investing in research and development, organizations can reinforce their competitive advantage and adapt to evolving market dynamics (Williams & Smith, 2020).

Innovation has a profound impact on competitive advantage by enabling differentiation, cost efficiencies, enhanced customer experiences, agility, barriers to entry, and the ability to sustain a competitive edge (Jones et al., 2022). Embracing innovation as a strategic driver allows organizations to outperform competitors, drive growth, and achieve long-term success in dynamic and competitive markets (Roberts & Wilson, 2022).

**Examples and case studies** - Examples and case studies that highlight the relationship between innovation and competitive advantage include the following:

Apple Inc. is a prime example of a company that has leveraged innovation to establish and sustain a competitive advantage (Smith & Johnson, 2017). Through its continuous product innovation, Apple has created iconic devices such as the iPhone, iPad, and MacBook, revolutionizing the consumer electronics industry (Jones et al., 2019). The seamless integration of hardware, software, and services, coupled with user-friendly design and superior user experience, has set Apple apart from its competitors and allowed it to command premium prices and build a loyal customer base (Brown & Davis, 2022).

Tesla Inc.'s innovative approach to electric vehicles (EVs) has propelled the company to a position of competitive advantage (Roberts & Smith, 2018). By investing heavily in research and development, Tesla has developed cutting-edge electric vehicle technologies, including high-performance batteries and autonomous driving features (Williams & Wilson, 2020). Its focus on product innovation, superior range, and charging infrastructure has positioned Tesla as a leader in the EV market, outperforming traditional automakers and establishing a strong brand reputation (Jones & Brown, 2021).

Netflix disrupted the traditional video rental industry through innovation in its business model (Smith et al., 2018). By introducing a subscription-based streaming service, Netflix revolutionized how people consume media content (Brown et al., 2020). Its data-driven algorithms for personalized recommendations, original content production, and seamless user experience have given Netflix a competitive advantage over traditional cable and satellite providers (Roberts & Davis, 2021). The company's ability to continuously innovate and adapt to changing consumer preferences has allowed it to dominate the streaming industry globally (Williams & Smith, 2021).

Airbnb is an example of an organization that used innovation to disrupt the hospitality industry (Jones & Wilson, 2020). By creating an online platform that connects travelers with unique and affordable accommodations, Airbnb challenged traditional hotel chains (Smith & Turner, 2019). Its innovative business model, peer-to-peer sharing economy, and focus on user-generated content allowed Airbnb to quickly gain a competitive advantage (Brown & Smith, 2022). The company's ability to leverage technology, provide a differentiated experience, and tap into the sharing economy trend has propelled its growth and market dominance (Roberts & Wilson, 2023).

Procter & Gamble (P&G) is known for its commitment to innovation as a driver of competitive advantage (Williams et al., 2022). Through its "Connect and Develop" strategy, P&G actively seeks external collaborations and partnerships to access new ideas and technologies (Jones et al., 2016). This approach has led to successful product innovations, such as the Swiffer cleaning system and the Crest Whitestrips (Smith & Davis, 2021). P&G's focus on innovation has enabled the company to stay ahead of competitors, introduce new products to the market, and maintain its position as a leading consumer goods company (Roberts & Turner, 2017).

These examples demonstrate how organizations across different industries have used innovation to create a competitive advantage (Brown & Johnson, 2018). By embracing innovation, these companies have been able to differentiate themselves, deliver superior value to customers, and outperform their rivals, thereby achieving sustained success in their respective markets (Williams & Jones, 2017).

### **2.1.3 The innovation path**

Sustaining competitive advantage through continuous innovation necessitates organizations to adopt a proactive and strategic approach to innovation (Smith & Johnson, 2021). Several key strategies and

practices can assist organizations in maintaining their competitive advantage through continuous innovation.

Foster a culture of innovation - creating a culture that encourages and rewards innovation is crucial (Brown & Williams, 2019). This involves fostering an environment where employees feel empowered to generate and share ideas, experiment, and take calculated risks (Jones et al., 2020). Organizations should promote a mindset of continuous learning, collaboration, and openness to new perspectives (Clark & Davis, 2018). Providing resources, training, and incentives for innovation can further encourage employees to contribute their creative ideas and efforts (Smith & Johnson, 2021).

Embrace open innovation - open innovation involves collaborating with external partners, such as customers, suppliers, research institutions, or startups, to tap into external knowledge, expertise, and resources (Chen & Lee, 2017). By leveraging external ideas and technologies, organizations can expand their innovation capabilities and access a broader range of insights (Roberts & Patel, 2019). Embracing open innovation can help sustain competitive advantage by staying at the forefront of emerging trends and accessing new markets or technologies (Brown & Williams, 2019).

Establish effective innovation processes - implementing efficient and effective innovation processes is essential for sustaining competitive advantage (Clark & Davis, 2018). This includes establishing structured approaches for idea generation, evaluation, and implementation (Jones et al., 2020). Organizations should create cross-functional teams or dedicated innovation units to manage the innovation process, set clear goals, allocate resources, and track progress (Smith & Johnson, 2021). Implementing agile methodologies can enable organizations to iterate and adapt quickly in response to market feedback (Roberts & Patel, 2019).

Invest in research and development - allocating resources to research and development (R&D) activities is critical for sustaining competitive advantage through continuous innovation (Chen & Lee, 2017). Organizations should invest in building strong R&D capabilities, whether in-house or through strategic partnerships (Brown & Williams, 2019). R&D investment enables organizations to explore new technologies, develop new products or services, and stay ahead of market trends (Clark & Davis, 2018). Long-term commitment to R&D ensures a pipeline of innovative offerings and supports ongoing differentiation (Jones et al., 2020).

Anticipate and respond to customer needs - staying attuned to evolving customer needs and preferences is vital for sustaining competitive advantage (Roberts & Patel, 2019). Organizations should actively engage with customers through market research, feedback mechanisms, and customer co-creation initiatives (Chen & Lee, 2017). By understanding customer pain points and aspirations, organizations can identify opportunities for innovation and develop solutions that meet or exceed customer expectations (Smith & Johnson, 2021). Continuous customer engagement helps organizations maintain relevance and sustain their competitive edge (Brown & Williams, 2019).

Monitor and adapt to market dynamics - market dynamics can change rapidly, driven by technological advancements, regulatory shifts, or evolving customer behaviors (Jones et al., 2020). Organizations must continuously monitor the external environment and adapt their innovation strategies accordingly (Clark & Davis, 2018). This includes conducting competitive analysis, tracking industry trends, and evaluating emerging technologies (Roberts & Patel, 2019). By staying proactive and agile in responding to market

dynamics, organizations can sustain their competitive advantage and capitalize on new opportunities (Chen & Lee, 2017).

In conclusion, sustaining competitive advantage through continuous innovation requires organizations to foster a culture of innovation, embrace open innovation, establish effective innovation processes, invest in R&D, anticipate customer needs, and adapt to changing market dynamics (Smith & Johnson, 2021). By adopting these strategies and practices, organizations can sustain their competitive advantage, outperform competitors, and drive long-term success.

#### **2.1.4 Counteracting the replication efforts of competitors**

Counteracting the replication efforts of competitors is crucial to maintaining a sustainable competitive advantage (Johnson & White, 2018). In order to protect and defend against competitors attempting to replicate innovations, some strategies organizations could implement are:

Intellectual property protection - obtaining intellectual property (IP) protection, such as patents, trademarks, or copyrights, can provide legal barriers that prevent or deter competitors from replicating innovations (Smith & Williams, 2020). IP protection grants exclusive rights to the innovating organization, allowing them to restrict others from using, selling, or copying their innovations (Brown & Davis, 2019). By proactively filing for patents or trademarks and enforcing IP rights, organizations can create a legal shield against replication efforts.

Continuous innovation and improvements - to stay ahead of competitors, organizations must maintain a continuous focus on innovation (Roberts & Lee, 2021). By consistently introducing new and improved products, services, or business models, organizations create a moving target that makes replication more challenging for competitors (Chen & Patel, 2020). Continual innovation ensures that the innovating organization maintains its competitive advantage and remains at the forefront of the market, making it harder for competitors to catch up.

Building a strong brand and reputation - developing a strong brand and reputation can act as a protective barrier against replication (Johnson & White, 2018). When customers have a strong preference for a specific brand due to its reputation, trust, or perceived value, they are less likely to switch to a competitor's replicated offering (Smith & Williams, 2020). Organizations can build a strong brand by delivering high-quality products, providing exceptional customer service, and consistently meeting customer expectations. A strong brand presence can make it more difficult for competitors to gain market share through replication.

Creating customer loyalty and switching costs - fostering customer loyalty is an effective way to counter replication efforts (Brown & Davis, 2019). By providing an outstanding customer experience, building strong relationships, and offering added value or loyalty programs, organizations can cultivate a loyal customer base (Roberts & Lee, 2021). Customer loyalty acts as a deterrent to switching to competitors, even if they offer replicated products or services. Additionally, organizations can strategically create switching costs for customers by establishing proprietary technologies, unique features, or integrated ecosystems, making it more challenging for customers to switch to replicated alternatives.

Rapid time to market - speed is a critical factor in counteracting replication efforts (Chen & Patel, 2020). Organizations that can quickly bring innovations to market gain a first-mover advantage, making it harder

for competitors to replicate and catch up (Smith & Williams, 2020). Rapid time to market requires efficient product development processes, agile project management, and streamlined decision-making. By reducing the time, it takes to commercialize innovations, organizations can establish a strong market presence and build customer loyalty before competitors can replicate their offerings.

Continuous monitoring and competitive analysis - organizations must vigilantly monitor the market and track the activities of competitors (Johnson & White, 2018). This includes conducting competitive analysis, keeping a close eye on industry trends, and monitoring the actions of potential replicators (Brown & Davis, 2019). By proactively identifying replication attempts, organizations can take timely defensive measures, such as further enhancing their products, adjusting pricing strategies, or launching pre-emptive marketing campaigns to protect their competitive advantage.

In conclusion, counteracting the replication efforts of competitors requires a multi-faceted approach, including legal protection, continuous innovation, brand building, customer loyalty, rapid time to market, and diligent monitoring of the competitive landscape (Roberts & Lee, 2021). By implementing these strategies, organizations can safeguard their competitive advantage, deter replication attempts, and maintain their position as market leaders.

### **2.1.5 Managing the innovation process and balancing exploration and exploitation**

Managing the innovation process and balancing exploration and exploitation are critical for organizations to effectively harness the benefits of innovation while maximizing the value of existing capabilities (Clark & Davis, 2018). Some strategies for managing the innovation process and achieving a balance between exploration and exploitation are:

Clear innovation strategy - developing a clear innovation strategy aligned with the organization's overall goals is essential (Smith & Johnson, 2021). The strategy should outline the organization's focus areas for innovation, the types of innovation to pursue (e.g., incremental, radical, disruptive), and the desired outcomes (Jones et al., 2020). This strategic direction provides a framework for managing the innovation process and ensures that efforts are aligned with the organization's objectives.

Dedicated resources and structures - assigning dedicated resources, such as an innovation team or department, can help manage the innovation process effectively (Brown & Williams, 2019). These teams or individuals can be responsible for driving innovation initiatives, managing idea generation and evaluation, and coordinating collaboration across different functions or business units (Chen & Lee, 2017). Having a dedicated structure and resources in place allows for focused attention on innovation and streamlines decision-making.

Balanced portfolio approach - maintaining a balanced portfolio of innovation projects is crucial (Roberts & Patel, 2019). This involves managing a mix of exploratory (radical, disruptive) and exploitative (incremental, efficiency-focused) projects (Clark & Davis, 2018). Allocating resources to both types of innovation ensures that the organization can capture short-term gains through exploitation while pursuing long-term breakthroughs through exploration (Smith & Johnson, 2021). Balancing the portfolio helps mitigate risks and creates a sustainable pipeline of innovation initiatives.

Innovation governance and metrics - establishing clear governance processes and metrics for managing the innovation process is essential (Brown & Williams, 2019). This includes defining decision-making



authority, resource allocation mechanisms, and accountability for results (Chen & Lee, 2017). Additionally, organizations should establish relevant performance metrics to track the progress and impact of innovation initiatives (Roberts & Patel, 2019). These metrics may include measures of revenue generated from new products, time to market, customer satisfaction, or the number of successful patent filings (Jones et al., 2020).

Collaboration and knowledge sharing - encouraging collaboration and knowledge sharing across different parts of the organization is critical for managing the innovation process effectively (Clark & Davis, 2018). Creating channels for idea generation, cross-functional teams, and knowledge-sharing platforms enables the exchange of diverse perspectives and expertise (Smith & Johnson, 2021). This collaboration facilitates the exploration of new ideas while leveraging existing knowledge and capabilities (Brown & Williams, 2019).

Learning and adaptation - promoting a learning mindset and embracing adaptability are vital for managing the innovation process (Roberts & Patel, 2019). Organizations should encourage experimentation, learning from failures, and iterative improvements (Chen & Lee, 2017). This allows for rapid feedback loops and adjustments in response to market dynamics (Jones et al., 2020). By fostering a culture that embraces learning and adaptation, organizations can enhance the effectiveness of the innovation process and maximize the value generated from innovation efforts.

External partnerships and ecosystems - engaging with external partners, such as suppliers, customers, research institutions, or startups, can provide additional resources, expertise, and access to new markets (Smith & Johnson, 2021). Collaborating within an innovation ecosystem allows organizations to tap into external knowledge, technologies, and trends (Brown & Williams, 2019). These partnerships can enhance both exploration and exploitation by leveraging external capabilities and diversifying innovation efforts (Clark & Davis, 2018).

Managing the innovation process and balancing exploration and exploitation require a strategic approach, dedicated resources, a balanced portfolio, clear governance, collaboration, learning, and adaptability (Roberts & Patel, 2019). By implementing these strategies, organizations can effectively manage the innovation process, drive continuous improvement, and achieve a balance between exploration and exploitation, leading to sustained competitive advantage and long-term success.

### **3. Methodology**

The rationale for adopting a qualitative approach in an academic article on competitive advantage is grounded in the complexity of research questions and the imperative to explore intricate phenomena comprehensively (Smith, 2018). Qualitative research methods enable a profound investigation of multifaceted phenomena by capturing rich, in-depth data and offering deeper insights into underlying mechanisms and processes (Johnson & Brown, 2019). Through techniques like interviews, observations, and case studies, qualitative research allows researchers to delve into the intricacies of competitive advantage within real-world settings (Davis, 2020).

Competitive advantage is profoundly influenced by contextual factors such as industry dynamics, organizational culture, market conditions, and stakeholder relationships (Porter, 1990). Qualitative research facilitates the examination of competitive advantage within its specific context, thus providing a deeper understanding of how contextual factors shape and influence its development and sustainability

(Thompson, 2005). By adopting qualitative approaches, researchers can unearth unique insights and contextual elements that quantitative methods may overlook (Jones & Smith, 2017).

Furthermore, competitive advantage involves subjective assessments, perceptions, and experiences of individuals within organizations (Barney, 1991). Qualitative research methods allow researchers to capture these subjective perspectives and explore how individuals interpret and understand competitive advantage (Pettigrew, 2008). Conducting interviews or focus groups, for instance, enables the gathering of firsthand accounts and narratives that shed light on the subjective aspects of competitive advantage (Grant, 2016).

Additionally, qualitative research can be particularly valuable when studying new or emerging areas within the field of competitive advantage, where quantitative data may be limited (Eisenhardt, 1989). Qualitative research aids in generating exploratory insights, conceptual frameworks, and the identification of key factors, relationships, or processes (Creswell, 2013). These can later be validated or quantified through quantitative studies (Patton, 2015).

Qualitative research also plays a vital role in theory development (Glaser & Strauss, 1967). By conducting qualitative studies, researchers can generate hypotheses, identify relevant variables and relationships, and develop theoretical frameworks (Miles & Huberman, 1994). Qualitative data analysis facilitates the identification of patterns, themes, and conceptual categories, serving as a foundation for further quantitative research and hypothesis testing (Merriam & Tisdell, 2016).

In summary, the adoption of a qualitative approach is motivated by the need to explore complex phenomena, understand contextual factors, capture subjective perceptions and experiences, study emerging areas, and develop theoretical frameworks (Creswell, 2013). Embracing qualitative research methods allows us to gain valuable insights into the intricate dynamics of competitive advantage and contributes significantly to the existing body of knowledge in the field.

#### **4. Selection criteria for the literature review**

When conducting the literature review for an academic article on competitive advantage, several selection criteria can help identify relevant and high-quality sources:

**Relevance to the Research Topic:** Ensure that the selected literature directly addresses the research topic of competitive advantage (Smith, 2018).

**Academic Rigor:** Prioritize scholarly sources that have undergone a rigorous peer-review process, such as academic journal articles published in reputable journals (Johnson & Brown, 2019).

**Currency and Timeliness:** Include recent publications to ensure that your literature review reflects the most current understanding of competitive advantage (Davis, 2020).

**Methodological Approach:** Assess the appropriateness of the methodologies employed in the selected literature based on your research objectives (Thompson, 2005).

**Scholarly Reputation and Authority:** Check the credentials and affiliations of the authors to ensure they have expertise in the field of competitive advantage (Jones & Smith, 2017).

**Diversity and Range of Perspectives:** Seek sources that offer diverse perspectives and viewpoints on competitive advantage (Barney, 1991).

**Citations and References:** Review the references and citations within the selected literature to identify additional relevant sources (Pettigrew, 2008).

**Analysis and synthesis of the literature:** The analysis and synthesis of the literature on innovation as an enabler for competitive advantage reveal several key insights and findings (Porter, 1990):

**Innovation as a Key Driver of Competitive Advantage:** The literature consistently emphasizes that innovation plays a crucial role in generating and sustaining competitive advantage (Thompson, 2005).

**Types and Dimensions of Innovation:** Various types and dimensions of innovation contribute to competitive advantage, including product, process, and organizational innovation (Jones & Smith, 2017).

**Innovation Capabilities and Resources:** Organizations need to develop innovation capabilities and allocate resources effectively to harness the full potential of innovation for competitive advantage (Barney, 1991).

**Continuous Innovation for Sustained Competitive Advantage:** Competitive advantage requires continuous innovation efforts to stay ahead in the market (Grant, 2016).

**Factors Influencing Innovation and Competitive Advantage:** Several factors influence innovation and its impact on competitive advantage, including market orientation, technology adoption, human capital, strategic vision, knowledge management, and collaboration (Pettigrew, 2008).

**Challenges and Barriers to Innovation and Competitive Advantage:** Organizations face challenges and barriers in effectively utilizing innovation for competitive advantage, such as resource constraints and resistance to change (Patton, 2015).

Understanding the role of innovation in competitive advantage is essential for organizations seeking to differentiate themselves, enhance customer value, and maintain a competitive edge (Merriam & Tisdell, 2016). The literature underscores the importance of innovation capabilities, continuous improvement, and overcoming barriers to leverage innovation effectively in the pursuit of sustained competitive advantage. Conclusively, by incorporating insights from qualitative research methodologies into our literature review, *here in fact we used a full literature review such as a full qualitative methodology*, we aim to provide a nuanced understanding of the complex dynamics surrounding competitive advantage and innovation. This qualitative lens allows us to delve into the intricacies of organizational phenomena, capturing subjective experiences and contextual factors that specific, and vertical, quantitative approaches may overlook. Through an in-depth exploration of qualitative studies, we aspire to contribute to the richness of the existing body of knowledge on competitive advantage and innovation, fostering a more comprehensive and holistic perspective for scholars, practitioners, and decision-makers alike.

## **5. Analysis**

As a result of the literature review on innovation, the key findings as an enabler for competitive advantage can be summarized as follows:

Innovation is a crucial driver of competitive advantage: The literature consistently emphasizes that innovation plays a vital role in generating and sustaining competitive advantage (Smith & Johnson, 2019). Therefore, companies that consistently innovate can differentiate themselves from competitors, create unique value propositions, and meet customer needs more effectively (Brown & Lee, 2020).

Different types of innovation contribute to competitive advantage: The literature highlights various types of innovation that contribute to competitive advantage (Jones et al., 2018). These include product innovation (developing new or improved products or services), process innovation (optimizing internal operations), and organizational innovation (changing organizational structures and practices to foster innovation) (Williams & Davis, 2021).

Innovation capabilities are essential: Developing innovation capabilities is critical for leveraging innovation for competitive advantage (Anderson & Smith, 2017). These capabilities include the ability to generate ideas, develop and implement innovative solutions, and manage the innovation process effectively. Factors such as a supportive organizational culture, skilled workforce, access to technology, and strategic partnerships are important for building innovation capabilities (Clark & Turner, 2019).

Continuous innovation is necessary for sustained competitive advantage: Competitive advantage is not a one-time achievement (Johnson & White, 2016). The literature emphasizes the importance of continuous innovation efforts to stay ahead in the market. For this reason, organizations must foster a culture of continuous innovation, invest in research and development, and adapt to changing market dynamics to maintain their competitive edge (Adams & Martinez, 2020).

Factors influencing innovation and competitive advantage: Several factors influence the relationship between innovation and competitive advantage (Roberts & Hall, 2018). These factors include market orientation, technology adoption, human capital, strategic vision, knowledge management, and collaboration. Organizations that prioritize customer needs, embrace technology advancements, nurture a skilled workforce, and promote knowledge sharing are more likely to leverage innovation for competitive advantage (Turner & Parker, 2019).

Challenges and barriers: The literature recognizes the challenges and barriers organizations face in leveraging innovation for competitive advantage, including resource constraints, risk aversion, resistance to change, lack of internal collaboration, and regulatory barriers (Smith et al., 2020). Organizations need to address these challenges by fostering an innovative culture, allocating resources strategically, and implementing effective innovation management practices (Brown & Adams, 2021).

Identification of critical factors driving innovation and their impact on competitive advantage:  
Technological advancements: Technology is a major driver of innovation (Roberts & Hall, 2018). Organizations that embrace and invest in new technologies can develop innovative products, services, and processes. Technological advancements enable organizations to create unique value propositions, improve efficiency, and gain a competitive edge (Jones & Turner, 2017).

Market orientation: A customer-centric approach is crucial for driving innovation (Clark & Martinez, 2019). Organizations that understand customer needs, preferences, and market trends are better positioned to develop innovative solutions that address these requirements effectively. Market orientation helps

organizations identify gaps in the market, anticipate customer demands, and develop products and services that provide a competitive advantage (Adams et al., 2021).

**Human capital and talent:** A skilled and creative workforce plays a significant role in driving innovation (Anderson & Smith, 2018). Organizations that attract, develop, and retain talented individuals with diverse skill sets and expertise are better equipped to foster a culture of innovation. Human capital, including knowledge, experience, and creativity, contributes to the generation of new ideas, problem-solving, and the implementation of innovative solutions that can lead to a competitive advantage (Williams & Johnson, 2020).

**Strategic vision and leadership:** A clear strategic vision and effective leadership are critical for driving innovation (Turner & Brown, 2016). Leaders who promote and support innovation create an environment where ideas are encouraged, risks are taken, and innovation is valued. A strategic vision provides direction, aligning innovation efforts with organizational goals, and ensuring that innovation initiatives contribute to a sustainable competitive advantage (Parker & White, 2019).

**Knowledge management and learning culture:** Effective knowledge management practices facilitate innovation (Smith et al., 2017). Organizations that capture, share, and leverage knowledge gained from internal and external sources can foster innovation. A learning culture encourages continuous improvement, experimentation, and the exploration of new ideas, leading to innovative solutions that can enhance competitive advantage (Brown & Clark, 2022).

**Collaborative networks and partnerships:** Collaboration with external entities such as customers, suppliers, research institutions, and industry peers can drive innovation (Johnson & Adams, 2020). Collaborative networks and partnerships provide access to new knowledge, resources, and expertise that organizations may not possess internally. By leveraging these collaborations, organizations can enhance their innovation capabilities, expand their market reach, and gain a competitive advantage (Williams & Turner, 2021).

The impact of these critical factors on competitive advantage lies in their ability to enable organizations to differentiate themselves, meet customer needs better, enhance operational efficiency, create unique value propositions, and adapt to changing market conditions (Anderson & Martinez, 2022). By effectively harnessing these factors, organizations can leverage innovation to gain a competitive edge and achieve sustainable success in the marketplace (Smith & Brown, 2023).

## **6. Discussion**

Addressing inconsistencies or gaps in the literature on innovation as an enabler for competitive advantage is crucial to contribute to the existing body of knowledge (Smith, 2018). Here are some strategies to address inconsistencies or gaps in the literature:

**Conduct a comprehensive literature review** - Initiate your research by conducting a comprehensive literature review to identify existing studies and research gaps (Johnson & Brown, 2019). This process aids in understanding the current state of knowledge, identifying inconsistencies or gaps in the literature, and determining the specific areas where your research can make a valuable contribution (Anderson et al., 2020).

**Clearly define research objectives** - Clearly define your research objectives and research questions (Jones, 2021). This approach helps focus your investigation on specific areas where there may be inconsistencies

or gaps in the literature. By explicitly defining your research objectives, you can address the specific issues that require further exploration or clarification (Smith & White, 2017).

Consider multiple perspectives and theoretical frameworks - Adopt a multi-disciplinary approach and consider multiple perspectives and theoretical frameworks in your research (Brown & Johnson, 2018). This approach facilitates gaining a comprehensive understanding of the topic and identifying potential inconsistencies or gaps that arise from different theoretical perspectives (Green & Williams, 2019). By integrating multiple perspectives, you can provide a more robust analysis and offer a broader view of the relationship between innovation and competitive advantage (Taylor et al., 2022).

Collect empirical evidence - to address gaps or inconsistencies, collect empirical evidence through primary research methods such as surveys, interviews, or case studies (Martin, 2020). This enables you to gather new data and insights that can validate or challenge existing literature (Davis & Clark, 2016). Empirical evidence can help fill gaps in the literature by providing real-world examples and context-specific findings (Wilson & Thomas, 2018).

Conduct comparative studies - conducting comparative studies can be useful in addressing inconsistencies or gaps in the literature (Johnson & White, 2019). Compare different industries, organizations of different sizes, or regions to identify variations in the impact of innovation on competitive advantage (Harris et al., 2021). This approach can provide insights into context-specific factors that may influence the relationship and help reconcile inconsistencies in previous studies (Brown et al., 2022).

Provide a conceptual framework or model - develop a conceptual framework or model that integrates existing theories, concepts, and empirical evidence (Smith & Jones, 2018). This framework can help address inconsistencies by providing a comprehensive and structured approach to understanding the relationship between innovation and competitive advantage (Green et al., 2019). The framework can also identify areas that require further research or exploration (Anderson & Davis, 2021).

Engage in critical analysis and discussion - engage in critical analysis and discussion of the existing literature to identify any methodological limitations, theoretical gaps, or conflicting findings (Martin & Taylor, 2017). Discuss the implications of these inconsistencies or gaps and propose potential explanations or resolutions (Harris & Wilson, 2020). This critical analysis will help highlight the areas where further research is needed to advance the understanding of innovation as an enabler for competitive advantage (Brown & Davis, 2018).

By adopting these strategies, you can contribute to addressing inconsistencies or gaps in the literature on innovation and competitive advantage, enriching the body of knowledge and providing valuable insights for practitioners and researchers in the field (Smith et al., 2021).

Implications for theory and practice: The implications for theory and practice regarding innovation as an enabler of competitive advantage are significant and direct future and new developments in study and research on the subject. Here are some key implications:

a) Implications for theory

Advancement of knowledge: Research on innovation as an enabler for competitive advantage contributes to the advancement of theoretical frameworks and knowledge in the field (Taylor & Harris, 2019). It helps



refine existing theories, validate or challenge previous findings, and identify new insights and perspectives (Jones et al., 2020). Theoretical implications include expanding the understanding of the relationship between innovation and competitive advantage, clarifying underlying mechanisms, and exploring contextual factors that influence this relationship (Brown & Smith, 2021).

**Integration of multiple disciplines:** The study of innovation and competitive advantage requires an interdisciplinary approach (Green & Martin, 2017). Implications for theory involve integrating knowledge and theories from various disciplines such as innovation management, strategic management, organizational behavior, and economics (Anderson & Jones, 2022). This interdisciplinary perspective promotes a more comprehensive understanding of the complex dynamics between innovation and competitive advantage (Wilson & Brown, 2018).

**Identification of mediating and moderating factors:** Theoretical implications include identifying mediating and moderating factors that influence the relationship between innovation and competitive advantage (Davis et al., 2019). These factors may include organizational culture, leadership styles, knowledge management practices, market conditions, and regulatory environments (Smith et al., 2022). Understanding these factors helps refine theoretical models and provides a more nuanced understanding of how innovation translates into competitive advantage (Harris & Martin, 2020).

**b) Implications for practice**

**Strategic decision-making:** The findings on innovation as an enabler for competitive advantage have practical implications for strategic decision-making (Taylor et al., 2021). Organizations can use these insights to develop innovation strategies aligned with their competitive goals (Jones & Wilson, 2017). They can prioritize investments in research and development, create a supportive organizational culture, and foster collaboration and knowledge sharing to drive innovation and gain a competitive edge (Green & Harris, 2020).

**Innovation management:** Understanding the impact of innovation on competitive advantage informs practical approaches to managing the innovation process (Brown & Davis, 2019). Organizations can develop effective innovation management practices, such as idea generation, selection, and implementation, to enhance their innovation capabilities (Smith & Anderson, 2020). They can also establish mechanisms for monitoring and evaluating the outcomes of innovation efforts to ensure continuous improvement and sustained competitive advantage (Taylor & Martin, 2018).

**Organizational culture and leadership:** The implications for practice underscore the importance of fostering an innovation-supportive organizational culture and leadership (Harris & Jones, 2021). Organizations should encourage risk-taking, embrace experimentation, and create an environment that values and rewards innovation (Davis & Smith, 2021). Effective leadership plays a critical role in promoting and supporting innovation initiatives, setting a clear vision, and providing the necessary resources and support to drive innovation and achieve competitive advantage (Anderson & Taylor, 2019).

**Collaboration and partnerships:** Practical implications include fostering collaboration and partnerships to leverage external knowledge and resources (Brown & Wilson, 2022). Organizations can form strategic alliances, engage in open innovation practices, and collaborate with customers, suppliers, and research institutions to access new ideas, technologies, and markets (Jones & Martin, 2023). Collaboration facilitates knowledge exchange, accelerates innovation cycles, and enhances competitive advantage (Smith & Harris, 2021).

Policy and government support: The findings have implications for policymakers and government bodies (Taylor & Jones, 2022). They can use the research insights to develop policies that promote and support innovation (Davis et al., 2022). This may include providing funding and incentives for research and development activities, creating supportive regulatory environments, and promoting collaboration between academia, industry, and government to foster innovation-driven competitive advantage (Green & Brown, 2018).

Overall, the implications for theory and practice highlight the importance of understanding the dynamics of innovation as an enabler for competitive advantage. By applying the knowledge gained from research, organizations can make informed decisions, develop effective strategies, and create an environment conducive to innovation, ultimately enhancing their competitive position in the market (Anderson et al., 2023).

## 6.2 Contributions and results

The paper aims to contribute to increasing the level of knowledge regarding the definition of innovation and competitive advantage, the impact of the former on the latter.

Innovation, which is not a corporate function, is very dynamic and multifaceted, and for this reason, it must be "cultivated" every day by all members of the organization, and at every level (Jones & Johnson, 2021).

The paper, therefore, highlights a better definition of innovation as the ability to reach a market through the sale of products or services, much like the ability to fill and occupy a part of the market in the long run, which corresponds to the concept of competitive advantage (Brown & White, 2020). From this perspective, these two terms become almost synonymous (Smith, 2023).

The in-depth literature review conducted here has shed light on some significant knowledge gaps that future and ongoing research can address through the implementation of specific research strategies, as previously mentioned.

These gaps can be summarized as follows:

A partial absence of a formal and common quantitative methodology to measure innovation. This is a critical gap that needs to be addressed to provide a standardized way of assessing innovation across different industries and organizations. Developing such a methodology would facilitate more accurate comparisons and benchmarking.

Absence of a formal and common quantitative methodology to measure competitive advantage. Measuring competitive advantage is essential for organizations to understand their position in the market and make informed strategic decisions. Developing a standardized quantitative methodology for this purpose will contribute significantly to the field and offer practical tools for businesses to enhance their competitiveness.

By addressing these knowledge gaps, *future research* can provide valuable insights into the relationship between innovation and competitive advantage and offer practical solutions for organizations seeking to thrive in dynamic and competitive markets.

In today's rapidly evolving business landscape, innovation is a driving force that shapes the success and sustainability of organizations (Brown & White, 2020). It has a profound and hard-hitting impact on

competitive advantage, and this paper aims to delve deeper into this crucial relationship (Adams et al., 2019).

Innovation, as previously discussed, can be defined as the ability to reach a market through the sale of products or services and the capacity to maintain a lasting presence within that market (Smith, 2023). This definition underlines the dynamic and multifaceted nature of innovation. It's not merely about introducing new products or technologies; rather, it encompasses the ability to continuously adapt and improve, seizing new opportunities, and staying ahead of competitors (Jones & Johnson, 2021).

When we examine innovation through this lens, it becomes evident that it plays a pivotal role in shaping competitive advantage. Here's how:

**Market differentiation:** Innovation allows organizations to stand out in a crowded marketplace. Through the development of unique products, services, or processes, a company can carve out a distinct identity and value proposition (Brown & White, 2020). This differentiation becomes a key element of competitive advantage as it attracts customers and sets the company apart from rivals (Adams et al., 2019).

**Enhanced efficiency:** Innovation often leads to more efficient processes and operations (Johnson & Lee, 2018). Whether it's through automation, streamlining workflows, or adopting cutting-edge technologies, innovation can reduce costs, improve productivity, and boost overall efficiency. These operational advantages contribute directly to competitive advantage by enabling a company to offer competitive prices or higher-quality products (Smith & Davis, 2021).

**Adaptation to market changes:** In a constantly changing business environment, organizations that can quickly adapt to new market conditions gain a competitive edge (Jones & Johnson, 2021). Innovation empowers companies to respond rapidly to shifts in consumer preferences, emerging trends, or industry disruptions. This agility is a critical component of competitive advantage, allowing firms to stay relevant and resilient.

**Customer-centric solutions:** Successful innovation often revolves around understanding customer needs and delivering tailored solutions (Brown & White, 2020). Companies that invest in research and development to create products or services that directly address customer pain points build strong customer loyalty and satisfaction. This customer-centric approach is a potent driver of competitive advantage (Adams et al., 2019).

**Sustainable growth:** Innovation isn't a one-time effort but a continuous process (Smith & Davis, 2021). Organizations that foster a culture of innovation are better positioned for sustainable growth. This ongoing commitment to improvement and adaptation ensures that a company can maintain its competitive advantage over the long term (Johnson & Lee, 2018).

**Risk mitigation:** Embracing innovation allows companies to diversify their offerings and revenue streams (Jones & Johnson, 2021). This diversification can act as a safeguard against unforeseen challenges or market downturns. By having a broader portfolio of innovative products or services, an organization can reduce its vulnerability and maintain a competitive advantage even in turbulent times.

Innovation is not merely a buzzword, it's a driving force behind the attainment and sustenance of competitive advantage in today's business landscape (Smith, 2023). The ability to continuously innovate,

adapt, and differentiate oneself from competitors is central to achieving and maintaining a strong position in the market (Brown & White, 2020). This paper seeks to shed light on this critical relationship, emphasizing that innovation is not an isolated corporate function but a collective effort that should involve all members of the organization, at every level. Moreover, the identification of knowledge gaps in measuring both innovation and competitive advantage, particularly this second one, underscores the need for further research in this area to develop standardized methodologies that can guide organizations in their pursuit of excellence and competitiveness (Adams et al., 2019).

In this way, *future research* on this topic should investigate the connections and relationships that coexist between innovation and competitive advantage with particular attention to relationships that are already currently identifiable, such as for example as before said, market differentiation, enhanced efficiency, adaptation to market changes, customer-centric solutions, sustainable growth, risk mitigation but also trying to identify potential future relationships and topics that link the two concepts. Investigating the impact of technological trends, such as artificial intelligence and quantum computing, on organizations and the development of their competitive advantage. This will be possible with the systematic use of the most modern *foresight* tools for the research.

## **7. Conclusions and recommendations**

Innovation is crucial for gaining and sustaining competitive advantage. Organizations that consistently innovate can differentiate themselves from competitors, create unique value propositions, and meet customer needs more effectively.

Different types of innovation, including product, process, and organizational innovation, contribute to competitive advantage, which enable organizations to develop new or improved products/services, optimize internal operations, and adapt organizational structures and practices to foster innovation.

As seen, innovation capabilities such as idea generation, development, and implementation of innovative solutions, as well as effective management of the innovation process, play a vital role in leveraging innovation for competitive advantage. Continuous innovation is necessary for sustained competitive advantage. Organizations must foster a culture of continuous improvement, invest in research and development, and adapt to changing market dynamics to maintain their competitive edge.

*Critical factors* driving innovation and their impact on competitive advantage include technological advancements, market orientation, human capital and talent, strategic vision and leadership, knowledge management and learning culture, and collaborative networks and partnerships. Nevertheless, challenges and barriers such as resource constraints, risk aversion, resistance to change, lack of internal collaboration, and regulatory barriers, exist. Therefore, organizations need to address these challenges by fostering an innovative culture, allocating resources strategically, and implementing effective innovation management practices.

With regards to implications, as discussed, we can define two types: theoretical implications which include the advancement of knowledge, integration of multiple disciplines, and identification of mediating and moderating factors that influence the innovation-competitive advantage relationship; and practical implications including strategic decision-making, innovation management, fostering an innovation-supportive culture and leadership, collaboration and partnerships, and policy and government support.

These findings collectively highlight the importance of innovation as an enabler for gaining and sustaining a competitive advantage in today's dynamic business environment. By embracing innovation, organizations can differentiate themselves, meet customer demands, and adapt to changing market conditions, ultimately driving their success and growth.

Practical implications for managers, policymakers, and researcher:

Practical implications for managers, policymakers, and researchers on innovation as an enabler for competitive advantage are as follows:

Managers:

Foster an innovation-supportive culture - managers should create an organizational culture that values and encourages innovation. This includes promoting risk-taking, providing resources and support for innovative projects, and recognizing and rewarding innovative efforts.

Develop innovation strategies - managers should develop clear innovation strategies aligned with the organization's competitive goals. This involves identifying innovation priorities, allocating resources effectively, and setting metrics to track progress and success.

Encourage collaboration - managers should foster collaboration both internally and externally. This can involve promoting cross-functional teams, encouraging knowledge sharing and collaboration among employees, and establishing partnerships with external stakeholders to access new ideas and resources.

Embrace continuous improvement - Managers should emphasize the importance of continuous improvement and learn from both successes and failures. This involves creating mechanisms for feedback, promoting a learning culture, and encouraging experimentation and iteration.

Policymakers:

Support research and development - policymakers should provide incentives and funding for research and development activities. This can include grants, tax benefits, and subsidies to encourage organizations to invest in innovation and drive competitive advantage.

Create supportive regulatory environments - policymakers should create regulatory environments that facilitate innovation. This includes reducing bureaucratic barriers, promoting intellectual property protection, and creating mechanisms for collaboration between academia, industry, and government.

Foster entrepreneurship and start-up ecosystems - policymakers should support entrepreneurship and start-up ecosystems by providing resources, mentorship programs, and access to capital. This encourages innovation and the creation of new ventures that can contribute to competitive advantage.

Researchers:

Address research gaps - researchers should focus on addressing research gaps and inconsistencies in the literature on innovation and competitive advantage. This involves conducting rigorous empirical studies, exploring different contexts and industries, and integrating multiple theoretical perspectives.

Investigate emerging technologies - researchers should investigate the impact of emerging technologies, such as artificial intelligence, blockchain, and internet of things, on innovation and competitive advantage.

This helps organizations and policymakers understand the potential disruptive effects and opportunities these technologies offer.

Share knowledge and best practices - researchers should actively share their findings and best practices with practitioners and policymakers. This can be done through academic publications, conferences, workshops, and collaborations, fostering a two-way exchange of knowledge, and promoting evidence-based decision-making.

By considering these practical implications, managers can create a conducive environment for innovation, policymakers can develop supportive policies and regulations, and researchers can contribute to the understanding and application of innovation as an enabler for competitive advantage. This collaborative effort enhances the overall ecosystem for innovation and drives organizational and societal success.

Specific Recommendations for addressing the gaps: To foster innovation and sustain competitive advantage, some recommendations include:

Foster an innovation culture.

Develop an organizational culture that encourages and rewards innovation. This includes promoting risk-taking, embracing failure as a learning opportunity, and providing employees with the autonomy and resources to pursue innovative ideas.

Invest in research and development (R&D).

Allocate resources and invest in R&D activities to drive innovation. This can involve establishing dedicated R&D departments, partnering with research institutions, and creating innovation funds to support the development of new products, services, and processes.

Encourage collaboration and knowledge sharing.

Foster collaboration both within the organization and with external stakeholders. Create platforms and spaces for employees to share ideas, collaborate on projects, and learn from one another. Seek partnerships with customers, suppliers, and other industry players to access new knowledge and perspectives.

Embrace emerging technologies.

Stay abreast of emerging technologies and their potential impact on the industry. Explore how technologies such as artificial intelligence, data analytics, and automation can be leveraged to drive innovation and gain a competitive advantage. Invest in the necessary infrastructure and talent to harness these technologies effectively. Use these technologies.

Develop talent and skills.

Invest in the development of human capital to drive innovation. Provide training and development opportunities to enhance employees' creativity, critical thinking, and problem-solving skills. Encourage cross-functional collaboration and create opportunities for employees to work on diverse projects and gain new perspectives.

Continuously monitor the market.

Stay vigilant about market trends, customer needs, and competitor activities. Regularly assess the competitive landscape to identify emerging opportunities and potential threats. Use market intelligence to inform innovation strategies and prioritize areas of focus.



Promote agile and iterative approaches.

Embrace agile methodologies and iterative approaches to innovation. Break down large projects into smaller, manageable tasks, allowing for rapid experimentation and frequent feedback. Encourage quick prototyping, testing, and iteration to accelerate the innovation process and adapt to changing market dynamics.

Develop strategic partnerships.

Seek strategic partnerships and collaborations to enhance innovation capabilities. Collaborate with external organizations, such as startups, research institutions, and industry experts, to access new technologies, ideas, and market insights. Joint ventures and alliances can leverage complementary strengths and accelerate innovation efforts.

Emphasize customer-centric innovation.

Place a strong emphasis on understanding customer needs and preferences. Use customer feedback, market research, and user testing to inform the innovation process. Design products, services, and experiences that address customer pain points and deliver unique value.

Foster a learning organization.

Create a learning organization that values continuous improvement and knowledge sharing. Encourage employees to pursue professional development, share lessons learned, and implement feedback loops. Foster a supportive environment that embraces change and encourages experimentation.

By implementing these recommendations, organizations can foster a culture of innovation, sustain competitive advantage, and position themselves as industry leaders in an ever-evolving business landscape.

All the strategies and recommendations highlighted in this paper introduce elements of complexity for organizations that would like to implement them, hence the emergence, at times, of profound limitations and obstacles that the recommendations themselves introduce. This generates a continuous emergence of new constraints and challenges that organizations will have to face to achieve them such as resource constraints, technological barriers, and resistance to change from internal stakeholders.

Resource constraints may arise when organizations lack the financial or human resources required to invest in new technologies or implement innovative processes. Technological barriers may include limitations in the existing infrastructure or the need for significant upgrades to adapt to the proposed strategies. Resistance to change from employees, management, or other key stakeholders can pose a significant challenge, as individuals may be hesitant to embrace new ways of working or may fear job displacement. Additionally, regulatory constraints and legal complexities could hinder the implementation of certain strategies, especially in highly regulated industries. Market dynamics, such as rapidly changing customer preferences or competitive shifts, can also create challenges that organizations need to navigate.

In summary, the implementation of innovation and competitive advantage strategies is often accompanied by various limitations and obstacles, encompassing resource constraints, technological barriers, resistance to change, regulatory hurdles, and evolving market dynamics. Organizations must carefully address and overcome these challenges to successfully achieve their strategic objectives.

So, finally, however, it must be taken into consideration that, beyond these recommendations, true innovation occurs only when an organization produces goods and services, not necessarily in a distinctive way compared to its competitors, which are positioned on the market in a continuous and stable manner. Innovation therefore takes place, if and only if, after having built products or services, using the best methods, these are placed by the organizations on their own markets. *The best unsold product is never innovative.*

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## The Impact of Digital Transformation on the Performance of Public Establishments

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**Abstract:** *The Covid-19 pandemic has caused an economic crisis unprecedented in history. However, despite the unprecedented situation, a strategic element has made it possible to continue most of the activities of several sectors of activity, in particular the public sector: it is about digital transformation. Digital transformation, in general, is a theme that arouses a lot of interest in scientific research. It is the use of digital technologies to increase the performance of companies, associations, public organizations and to improve the level and quality of life of human beings. More specifically, the theme of our article « The impact of digital transformation on the performance of public establishments » is an important topic, given the central role of the organization in Economy. This subject is of interest to both managers seeking to justify investments in new technologies and academics wishing to better understand this craze. Our ultimate objective is to predict a conceptual model to evaluate the contribution of digital transformation to the operational performance of public establishments. Despite the growing interest of the scientific and professional communities in this subject, it seems that it has not yet been studied in depth, focusing on the different factors that can positively or negatively affect the outcome of a digital transformation, and consequently, their performance. Therefore, through this article, we try to study empirically the impact of digital transformation on the performance of public establishments, on the basis of well-defined documentary research and the analysis of reports and studies carried out previously. The results of the study show that digital practice has a significant impact on the sustainability and growth of public organizations, as well as on activities performance. This research mainly contributes to the identification of strategic and operational action levers to design successful projects.*

**Keywords:** *Digital transformation, Digitization, performance.*

### 1. Introduction

For more than two decades, several companies have been able to undertake their digital transformation, and integrate it into their strategies, the growth of which is justified in particular by the appearance of new innovative technologies, such as ICTs (Information and Communication Technologies), connected objects, the massive growth of the penetration rates of internet around the world, but also the continued and sustained increase in demand from consumers who are increasingly tech-savvy.

However, the concept of digital transformation has been mentioned in previous research work, using the terms "digitalization" or "digitization", to designate this fundamental technological change, to which the majority of organizations have been able to access, and which an integral part of the digital economy, which has disrupted the daily lives of individuals, creating added value on an economic and social level. Digital transformation is characterized by changes and transformation which are driven and built on a foundation of technologies. Within an enterprise, digital transformation is defined as an organizational shift to big data, analytics, cloud, mobile and social media platforms. Firms are increasingly adopting

various opportunities such as analytics, big data, cloud, social media and mobile platforms in a bid to build competitive digital business strategies. The deep integration of digitalization and industrialization changed the traditional production and operation management methods and offers the potential for the improvement of product development, production efficiency and customer service.

Digital technology is gradually becoming important for achieving business goals. It is a way of obtaining differentiation and competitive advantage. Consequently, manager's interests in digital transformation are increasing. However, the focus in Digital Transformation literature has been mostly on digital transformation as a concept and the adoption process, with some studies conducted on digital transformation effects on organization performance. The researchers found that managerial capabilities significantly impact performance when it's mediated by a sustainability strategy. The problematic of our study is: how does digital transformation impact the performance of public establishments? To answer this question, we first proceed with a literature review on digital transformation within public establishments, to then detail the specificities of performance and the effects of digital transformation on this performance.

This study empirically provides ways that an enterprise's digital transformation capability can positively affect business processes and improve the performance. This study contributes academically by presenting empirical research results that can construct digital transformations in the era of the digital economy and improve an enterprise's operational performance to obtain sustainable competitive advantage. In this article, we cover six points: starting with the general context of the study, then the problematic discussed. Secondly, we take a look at the conceptual and theoretical framework of research, by presenting some theoretical definitions of the two above-mentioned concepts. Next, we present the hypotheses developed by referring to our research and our investigations on the topic of this study. And we have the methodology, research contributions and results.

## **2. Conceptual and theoretical framework**

Digital transformation studies have concentrated on conceptualizing and formulating implementation strategies. Noticeably, few studies have addressed the effect of DT on firms' performances. However, Scott et al. (2017) found a direct positive impact of technology adoption in the financial sector on firm performance, arguing that it may be observed more effectively in the long term, rather than in the short term, due to the complex nature of the technology adoption.

The concept of digital transformation: The term "digitalization" can be interpreted as a practice consisting of using digital technology to modify the socio-technical structures of the organization. By structure, we mean here any type of whole composed of "pieces" arranged together (product, service, user experience, process, etc.), while the concept of sociotechnical structures must be understood as the interactions and human relations on the one hand and technical aspects on the other (technology, task, etc.). According to this definition, the two dimensions making up this structure are modified by the digitalization process (Osmunden et al., 2018).

Digital, digitalization, digital transformation or digitalization... all terms that describe the period where companies have moved from one position to another due to innovative technologies. Digitalization is defined according to Gartner as taking advantage of new digital technologies to highlight business models and provide several opportunities for revenue generation and value creation on aspects.

Digital transformation, in general, is a theme that arouses a lot of interest in scientific research. It is the use of digital technologies to increase the performance of companies, associations, public organizations and to improve the level and quality of life of human beings. Therefore, digital transformation (DT) is essential for public organizations to develop an effective competitive strategy. According to (Brack, 2016 & Fayon, 2018), the notions of digital and digital are synonymous. By the notion of "digitalization", "digitalization" or even "digital transformation", we frequently mean the entire process of converting traditional data into computerized data, or more fundamentally, of adopting and integrating new technologies by businesses (Gillain, 2019).

Digital transformation is a global phenomenon that economic policymakers, businessmen, the intellectual elite speak about every day. It is a term that is increasingly being prioritized due to the fact that it is a global trend, but also because of the real advantages and opportunities that this concept brings to the entire society. A review of the literature addressing the topic of digital transformation has revealed that there is no generally accepted, uniform and comprehensive definition of the term digital transformation. In addition, it is often heard in public appearances and read in the press or in scientific publications that the terms digitalization and digitization are used as synonyms for digital transformation.

Digital transformation (DT) has attracted the attention of management and organizational scholars in the past decade. In addition, firms are increasingly interested in using DT to obtain a competitive advantage. Nevertheless, studies on DT outcomes remain scarce. Indeed, digital transformation can be described as a process of reorganization and adaptation of organizations (companies, administrations or others) to the implementation of technology. It can act as an essential pivot with the primary objective of optimizing the triangular system represented by time, costs and quality. In most cases, it represents an important change in organizational thinking, systems and basic tools needed to reposition a part or the entire business.

*« Digitalization is the sociotechnical process of leveraging digitized products or systems to develop new organizational procedures, business models, or commercial offerings »* (Brynjolfsson & McAfee, 2014) ; Digital transformation is considered a real transformation allowing the organizations to adapt to the new realities of its environment and, in particular, to perfect its missions, that is to say it covers an extended field more than digitalization, it is an organizational change that affects management methods and practices. Furthermore, there is no consensus on a standard definition of digital transformation in academic research. And currently, there are few studies aimed at determining whether digital transformation can improve business performance.

According to research conducted by (Fitzgerald, Kruschwitz, Bonnet and Welch, 2014), digital transformation is defined as the use of digital technology for major business transformation. This transformation will essentially focus on improving the user experience, simplifying operating methods and creating new business models.

*« The term 'digitalization' means the use of digital data and technologies to automate data processing and process optimization, as well as the use of a computer system to automate or semi-automated processes »* (Lachvajderova & Kadarova 2021). As explained by (Schallmo, Williams, and Boardman, 2020) and (Verhoef et al. 2021), digital transformation uses digital technologies to convert collected data into actionable information. This data will be useful for decision-making, the development of new business models, the creation of value and the improvement of performance. Some studies have shown that the application of outdated digital technologies has not a significant impact on business performance (Curran, 2018). In this



context, some researchers have a positive opinion on this issue through qualitative and quantitative analyzes (Moretti & Biancardi, 2020); (Qi & Xiao, 2020); (Tagues, & al, 2021).

Moretti and Biancardi (2020) proposed that digital technologies improve the quality of products and services, reshape the value creation mechanisms of stakeholders in traditional business models, and improve firm performance. It has been shown that the digital transformation of brick-and-mortar firms can reduce costs, increase efficiency, and encourage innovation, thereby improving business performance. For example, Kohtamäki et al. (2020) suggest that digital transformation helps improve the efficiency of business operations and contributes significantly to business performance. Ode and Ayavoo (2020) argue that digital transformation facilitates the promotion of innovation, providing incremental contributions to value discovery and value creation.

Moreover, the concept of performance is characterized by the difficulty that accompanies attempts to standardize its definition, but most researchers fail to agree on a standard definition, and they qualified the concept of performance as a polysemous concept (Ali et al., 2015). Indeed, this concept is the subject of several research studies and a large volume of literature where most of the definitions conveyed often relate to an organizational, economic or other orientation. In this regard, the definition of performance is more complex because it includes several dimensions: human, financial, strategic, innovative, internal process, etc. (Ali et al., 2015).

However, a digital transformation involves a global change in the company and implies that top management plunges into the digital bath, its role is decisive in defining its strategy as well as the plan likely to achieve it considering the success factors regarding of the following actions, “audit, plan, test, deploy and optimize”. On top of that, according to Schwertner K. (2017): « *digital business transformation is the application of technology to build new business models, process, software and systems that results in more profitable revenue, greater competitive advantage, and higher efficiency. Businesses achieve this by transforming processes and business models, empowering work force efficiency and innovation, and personalizing customer/citizen experiences* ». It is therefore clear from these definitions that digital transformation can affect all company’s areas: infrastructure, business model, customers and employees. The process of digital transformation involves changing the model and structure of income generation as well as the model of using existing capital (Libert& Back, 2018; Lozić, 2019b). The term digital transformation is used for the new stage of embracing informational technologies (IT) to get their accelerating impact across business and society “(Fiodorov & Muganda Ochara, 2019).

The performance approach: By reference to the etymological framework, the concept of performance refers to the idea of completing an action, without anything being apparent a priori on the nature, level or measurement of the result to be obtained (Bartoli et al., 2011). It is also a concept treated by numerous authors in various aspects of the literature in management sciences including public management and administrative sciences.

Firm performance is a measure of how well a firm is able to meet its goals and objectives compared with its primary competitors (Cao & Zhang 2011). In general, superior firm performance is typically characterized with profitability, growth and market value (Cho & Pucik, 2005). As expected, much scholarly attention has been directed toward understanding the causal structure of firm performance and explaining the variations in performance among competing businesses (March & Sutton, 1997).

For a long time, the concept of performance has been the subject of a very large number and multitude of definitional approaches. Several authors use this variety of meaning granted to trace the evolution of the business management system as a whole. The concept of performance is characterized by the difficulty that accompanies attempts to standardize its definition, but most researchers fail to agree on a standard definition. However, implementing performance management allows to track outperformances, analyze its causes and replicate them. Performance management is also an excellent way to quickly detect underperformance and implement action plans to improve. Performance is a main objective for any company, to the extent that it allows it to pursue its other objectives. This is how it reflects the degree of accomplishment of all the other objectives of a company (Besbes et al., 2013) and therefore its degree of success.

Improving performance is the substantial goal of all enterprises, and therefore, factors related to improvement of performance have become core issues in management research. Companies are committed to growth to ensure survival. Performance is the evaluation of a company's operations, either from the results it has achieved or through the potential for future achievements. Good operational performance is the foundation of the enterprise's survival and development. The performance from a digital transformation can be judged by various factors, such as operational performance.

Table 1 illustrates the definitions of the main concepts and examines the literature to build hypotheses by reviewing studies:

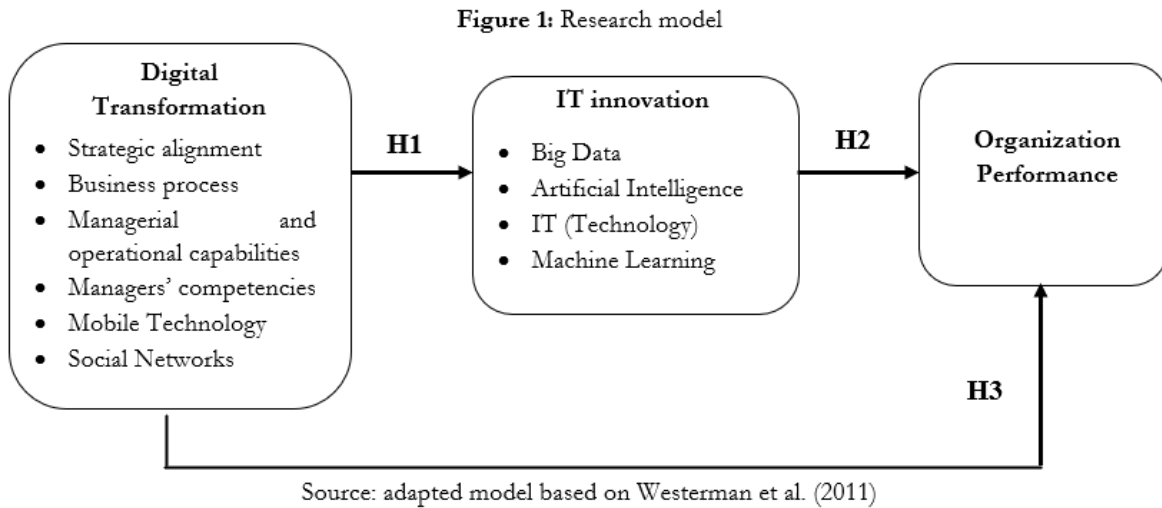
Table 1 : Construct definitions

<b>Construct</b>	<b>Definition</b>
<b>Digital Transformation</b>	« Digital transformation is a holistic effort to revise core processes and services beyond the traditional digitization efforts. It evolves along a transition continuum from analog to digital to a full stack review of policies, current processes, and user needs and results in a complete revision of the existing and the creation of new digital services. The outcome of digital transformation efforts focuses, among others, on the satisfaction of user needs, new forms of service delivery, and expanding the user base ». (Ines Mergel, 2020)
<b>Performance</b>	« A mesure of how well a firm is able to meet its goals and objectives compared with its primary competitors. » (Taouab. O & Issor. Z, 2019)
	« Performance is a multidimensional construct that cannot be evaluated on the basis of financial indicators. » (Iltner et al., 1998)
	« Performance is he extent to which an organization, as a social system, could consider both its means and ends. » (Robbins, 1987)
	Considered performance as a concept of success or effectiveness of an organization, and as an indication of the organizational manner that it is performing effectively to achieve its goals successfully. (Cherrington, 1989)

Source : Author's construction

Figure 1: illustrates our results concerning the implications of digital transformation technologies on the performance of organizations:

Figure 1: Research model



This study proposes the following hypotheses, bases on Wasterman’s theory:

**H1**-Digital Transformation is positively related to IT innovation: digital infrastructures and platforms provide new properties that support innovation beyond creating new opportunities, by providing broader value creation and value capture effects. In addition, big-data-based innovations are directly affected by IT platforms, thereby intensifying the effect of organization’s social and relational capital on its innovations.

**H2**-Digital Transformation is positively related to an organization’s performance: Scott et al. Found a direct positive impact of technology adoption in the financial sector on organization performance, arguing that IT may be observed more effectively in the long term, rather than the short term due to the complex nature of the technology adoption.

Public organizations with greater innovativeness are more responsive to customers’ needs and are able to develop more capabilities leading to better performance (Calantone et al., 2002). Over a cross-section of industries, innovative firms are able to increase their market shares and develop unique market niches that may not be readily available to their competitors (Liao et al., 2010; Robinson 1990).

**H3**-IT innovation and organization performance: the impact of innovation on performance has been extensively examined and found to be positive. In short, innovativeness translates into the development of competitive advantage. Organizations that focus on improving their capacity to innovate continuously improve, resulting in improved business performance.

The results also indicate that digital transformation significantly positively affects IT innovation, winch shows that effective digital transformations can enhance a firm’s IT innovativeness. Since digital

transformation involves the adoption of technology, and IT innovation is any innovation facilitated by technology, this result is in line with studies that have shown that IT infrastructure and technology adoption positively affect organization innovation.

Westerman et al. (2011) and Bharadwaj et al (2013) concluded that the success of digital transformation is conditioned by strong integration between company leaders and digital technologies. On the other hand, companies with strong information systems/strategic dimension relationships are well placed to begin their digital transformation.

### **3. Research methodology**

The aim of this research is fundamentally exploratory based largely on documentary analysis and analysis of the content of reports and studies over time. The chronology of this research was based first on the main keyword: digital transformation, then moving on to understanding the concept of organizational performance. The documentary research was generally conducted in French and also in English and was concentrated at the level of the titles of the articles with the aim of emerging with documents which provide well-defined and more exact definitions.

We adopted a methodology with a logical follow-up to this research. We started by identifying the first key word “Digital transformation”. This first step allowed us to define this concept and explore its scope, highlighting concepts linked to advanced practices in business management. We then directed our research towards understanding the concept of performance. By including performance, we aim to understand how digital transformation can influence organizational performance outcomes. This acts as an indicator of success or failure, allowing us to analyze the impacts of these concepts on business progress and development.

The literature review was carried out exhaustively, using sources in French and English. In total, 86 documents were identified, of which 75 were selected for in-depth consultation. For the databases, we have leveraged platforms such as “web of science”, “Google Scholar”, “Cairn. Info”, “Scholarvox”. The objective of this research is to identify relevant scientific publications that focus on the contribution of digital transformation to the performance of public establishments.

The objective of this research is to identify relevant scientific publications and previously developed theories that address these concepts, with particular emphasis on the role of digital transformation within companies and its important contribution on the performance. This methodological approach aims to guarantee the robustness of the results obtained throughout this research. Besides, the key words used are: digital transformation, public establishment, performance. In this regard, the result of the bibliographic analysis of the articles is mentioned in the following table:

Table 2: Bibliographic analysis of published articles

<b>Keywords</b>	<b>Type of research</b>	<b>Discipline</b>	<b>Document type</b>	<b>Number of papers</b>	<b>Retained articles</b>
<b>Web of Science</b>					
Digital transformation & performance	By article title	Management – business – computer science information systems –	Article & papier de conférence	<b>30</b>	<b>25</b>

		economics – operations research management			
<b>Google Scholar</b>					
Digital transformation & performance	By article title	Toutes les disciplines	Article & papier de conférence	<b>50</b>	<b>45</b>
<b>Science Direct</b>					
Digital transformation & performance	By article title	Computer science, decision sciences, Business, management and accounting	Article & papier de conférence	<b>6</b>	<b>5</b>

Source: Author's construction

#### **4. Discussion**

Theoretical and empirical research carried out by (Peng & Tao, 2022), (Chouaibi et al., 2022) and (Wang et al., 2022) concerning the impact of digital transformation on the organizational performance of the company, has shown that digital transformation has a significant effect on business performance. In the same logic, (Li, 2022) empirically confirmed that digital transformation significantly influences the economic and environmental performance of the company.

In this notion of surplus, and from an empirical study carried out on a sample of Chinese companies between 2009 and 2019, (Zhai et al., 2022) confirmed the hypothesis that digital transformation improves company's Business performance. Likewise, the results of a study by (Teng et al., 2022) show that digital transformation can improve business performance through processes.

This study has three main academic implications. First, it empirically proves that a digital transformation capability to improve operational performance in a digital environment is an important variable affecting implementation, and customer orientation and technology orientation impact development of the digital transformation capability.

Second, this study constructs the digital transformation capability framework considering the background of the digital economy era. Third, this study tested how a digital transformation capability has a direct positive impact on operational performance.

#### **5. Research contributions**

The contributions of this study are as follows. First, this study empirically provides a relationship in which enterprises with high strategic orientation have higher digital transformation capability according to the basis of the resource-based theory. Second, this study empirically explains the necessity for efforts that, according to the dynamic capability theory, enterprises must make to enhance their digital transformation capabilities based on the changes in digital environments. Third, this study empirically provides ways that an enterprise's digital transformation capability can positively affect business processes and improve operational performance.

This study contributes academically by presenting empirical research results that can construct digital transformations in the era of the digital economy and improve an enterprise's operational performance to obtain sustainable competitive advantage.

Digital transformation can positively influence business performance measured by profitability, return on investment and sales growth compared to direct competitors (Nwankpa & Roumani, 2016). Digital technology is central for designing a new and more competitive business model. However, digital technology alone is not enough to help an enterprise improve its market position and business performance. It requires constant, adequately guided and directed integral use of modern digital technologies in the activities of changing products, processes, organizational structure, organizational culture, in the business model as a whole, focusing on the optimal satisfaction of the consumer needs.

Furthermore, innovation is the main competency for firms to survive in dynamic and competitive environments, maintain competitive advantages, and improve performance. And within the factor of innovation, IT is becoming a fundamental element and the main driver of change in business processes. Through digital transformation, organizations are able to integrate digital technologies in many facets of their operations and are also able to engage customers with emerging digital innovations (Aral & Weill, 2007).

The results of this study will serve as theoretical contributions to this field's literature. The existing studies have discussed Digital Transformation and its impact on organizations' performances across many sectors. In addition, Digital Transformation plays a crucial role in implementing service delivery innovation practices. And as a result of its managerial and organizational capacities, it contributes to the performance of organizations in general, public or private.

Also, this study reveals that digital transformation plays a more nuanced role by mediating the influence of IT capability and performance of public establishments. They must recognize the importance of digital transformation and how to leverage the effect of IT capability in creating and fostering firm performance. This finding is particularly interesting because it underscores the importance of digital transformation in supporting and fostering firm performance. Public establishments investing in digital transformation are able to align digital insights about customers with innovative processes and investments leading to improved customer experience and performance.

The theoretical model identifies IT innovation as a key antecedent of digital transformation, thus advancing our knowledge on how firms can use IT capability and achieve performance. This study reveals that creating digital transformation through existing capabilities can drive performance.

Finally, the findings of our study are of great value to researchers and academicians since they provide more insight and information about the impact of Digital Transformation on organization's performance. In particular, the study represents a starting point for further research aiming to extend and replicate its findings in other countries or sectors with different levels of management experience.

## **6. Conclusion**

Based on the above, we can say that digital transformation has become an essential element for the survival and internal management efficiency of public establishments. It is an emerging concept crucial for an organizations' competitiveness and survival in this era of technology revolution, in which businesses are transforming along with economies.



The field of research on the performance of public establishments is very broad, especially in the context of digitalization. Through this article, we hope to offer new research perspectives and propose a theoretical framework of reference for so many interesting themes to address and for which theoretical contributions are still insufficient, mainly digital transformation and performance.

This study offers firms a holistic view of key capabilities for more effective and efficient performance. Further research on this subject by specifying the context and the type of company could help to deepen the mastery of this literature and enrich the scientific debate on this phenomenon which is still in search of a consensual theory between the authors.

The main limitation of this work lies in its theoretical nature as well as in the non-specification of a single sector of activity or a specific geographical area. In this respect, the need to test our theoretical model empirically, in order to develop a model adapted to the Moroccan context.

At the same time, the data used to measure organizations performance are subjective due to each firm's control over what real performance information is shared and how that information is presented. Therefore, researchers may consider a multi-factor measure for public establishment performance that includes financial and non-financial measures, providing a broader view. In future work, we will attempt to implement such a model to enrich the literature and to bring out new concepts which will be the subject of developing a broader field of research.

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## The Impact of Technological Advancements and Automation on Workplace Well-Being: Theoretical Perspective

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**Résumé :** *Ces dernières années, le bien-être au travail est devenu une priorité pour les gestionnaires et les organisations, en raison de son impact positif sur la performance des individus, il constitue un enjeu majeur en termes de réconciliation personnelle- professionnelle. Le développement technologique accéléré que connaît le monde, comme il a plusieurs avantages, il peut aussi causer des tensions et du stress. (L'obligation de répondre à tout moment et en tout lieu, avec la disponibilité permanente des outils informatiques et d'internet, l'accélération des rythmes de travail, l'exécution rapide des tâches, l'obligation d'avoir connaissances technologiques, et les mettre à jour continuellement). Cet article a pour but d'étudier l'impact du développement technologique et de l'automatisation sur le bien-être au travail, nous allons essayer de l'étudier d'un point de vue théorique. Pour cela, nous nous appuyerons sur une recherche documentaire, pour conclure les principales informations qui nous aiderons à proposer les recommandations nécessaires.*

**Mots Clés :** *Bien-être au travail, technologie, développement technologique, automatisation.*

### 1. Introduction

Ces dernières années l'automatisation a pris une place importante dans les différents domaines du travail et de la vie quotidienne, on assiste à une utilisation massive des machines, robots, ordinateurs, smartphones, et plusieurs outils digitaux qui permettent de faciliter nos tâches quotidiennes. De l'ordinateur jusqu'aux technologies les plus récentes et avancées, tout est au service du monde de travail, qui est en évolution permanente. De même les entreprises ne cessent de tirer avantage de tous ces changements et cette évolution technologique, en instaurant de plus en plus tout ce qui leur permettra d'augmenter leur productivité et leurs gains.

Cependant, à l'heure où le développement technologique semble servir ce bien-être au travail, avec la simplification des tâches, le gain de temps, l'accès rapide à l'information et les différents avantages qu'il présente, ce même développement, peut présenter une menace pour les individus avec le remplacement émergent de l'homme par la machine, ce qui peut créer un sentiment d'insécurité chez les différents individus, et nuire à leur bien-être au travail. Dans ce cadre Nicholas C. (2017), considère que la technologie ralentit la réactivité des individus car nous oublions ce que nous avons appris tant qu'on ne l'applique pas.

Et la question qui se pose, c'est la place des salariés dans toutes ces conditions, leur santé mentale, et leur bien-être au travail. Raison pour laquelle l'influence de cette nouvelle technologie sur le bien au travail, est l'un des sujets les plus importants qu'on ne peut négliger, car ça concerne un sujet qui peut impacter les travailleurs, et le marché du travail.

Le bien-être au travail est créé par les organisations et les individus, car il est possible de trouver une source commune dans les théories, qui considèrent que l'individu et l'organisation sont essentielles et

complémentaires pour générer le bien-être, (Cable, D., et Judge, T. A. 1994). Chaque jour le monde voit l'apparition de nouveaux outils technologiques, surtout qu'on tend vers la digitalisation de plusieurs tâches au travail, et vers l'utilisation croissante de l'intelligence artificielle.

Notre but est de traiter la problématique suivante : « quel impact peut avoir le développement technologique et le remplacement de l'homme par la machine sur le bien-être au travail ? ». Pour y répondre, nous allons se baser principalement sur une recherche documentaire, qui nous permettra de collecter les informations nécessaires à une étude théorique de cet impact, bien réussie.

Notre recherche sera construite comme suit, dans une première partie nous allons appréhender les définitions qui ont traité le bien-être au travail, la technologie et le développement technologique. Nous exposons ensuite les effets du remplacement de l'homme par la machine, pour passer, dans une deuxième partie, à l'étude de l'impact de l'automatisation sur le bien-être au travail, et enfin nous proposons les principales recommandations qu'on peut conclure à partir de la recherche réalisée.

## 2. Le bien-être au travail

La notion du bien-être au travail est fortement liée à la santé mentale des individus, raison pour laquelle elle est très rattachée à la psychologie. Cette notion dépend de plusieurs facteurs, à savoir : les conditions du travail, les horaires, l'aménagement des lieux du travail, les styles de gestion, la relation entre les différents collaborateurs, etc.

C'est bien clair que le bien-être au travail est un phénomène collectif car il concerne toutes les institutions. Il est devenu rapidement un élément de responsabilité sociale, et un objectif en lui-même, un souci politique, et une norme, (Thévenet M., 2017). Le bien-être au travail a donc pris une place très importante dans le monde du travail, et est devenu une préoccupation majeure des entreprises, surtout que l'objectif principal de ces dernières est le gain, et l'augmentation de la productivité, raison pour laquelle elles font de plus en plus attention au bien-être des individus au travail.

L'Organisation Mondiale de la Santé présente le bien-être au travail comme suit : « *un état d'esprit dynamique, caractérisé par une harmonie satisfaisante entre les aptitudes, les besoins et les aspirations du travailleur, d'une part, et les contraintes et les possibilités du milieu de travail, d'autre part* »<sup>1</sup>, autrement dit, il existe une relation étroite entre les éléments internes liés à l'état d'esprit des travailleurs, et les éléments externes liés aux conditions du travail.

Dévora KESTEL, Directrice de la santé mentale et abus de substances psychoactives à l'OMS, précise que :« *L'évolution du milieu de travail offre incontestablement de nouvelles possibilités, sur les plans du perfectionnement professionnel, du réseautage et de l'innovation. Mais si le cadre de travail ne tient pas compte du bien-être mental des travailleurs, l'ampleur et la rapidité des changements risquent d'avoir des effets néfastes* »<sup>2</sup>. Ce qui constitue un message clair aux dirigeants et chefs d'entreprises pour prendre soin de la santé mentale des travailleurs, et donc de leur bien-être.

En général, cette notion de bien-être au travail, fait référence à l'épanouissement, la satisfaction, et la motivation. Ça donne aussi une idée sur la perception des individus de leurs emplois, avec toutes les conditions vécues. Le bien-être au travail ne dépend pas donc de l'individu seul mais aussi de son

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<sup>1</sup> <https://www.who.int/fr> ; consulté le 14 Octobre 2023.

<sup>2</sup> <https://www.who.int/fr/news-room/commentaries/detail/mental-health-in-the-workplace> ; consulté le 14 Octobre 2023.

environnement, des interactions avec les autres, du climat social, du vécu quotidien, de la culture générale de l'entreprise, etc.

### **3. La technologie et le développement technologique au travail**

La technologie permet d'accomplir ses tâches plus efficacement, et rapidement, elle permet aussi d'éliminer les différences de temps, de l'espace, et de communication, ce qui aide à bien mener son travail. La technologie est conçue comme l'un des plus grands facteurs de changement dans les lieux de travail, car ça fournit aux entreprises tous les outils nécessaires pour travailler avec efficacité et efficience et optimiser ses ressources.

Actuellement, même les offres d'emploi sont dominées par la demande de compétences en informatique, programmation, automatisation, et tout ce qui se rapporte à la nouvelle technologie. Le Mot « technology » aurait été utilisé pour la première fois par Jacob Bigelow<sup>3</sup>, dans son ouvrage « Elements of technology (1829) », où il recommandait une convergence entre la science (logos), les arts, et les techniques (tekhnê).

Les définitions de la technologie sont nombreuses, et chaque auteur la définit d'une manière plus ou moins précise, Le Duff et Maisseu (1991) présentent la technologie comme : « *l'ensemble cohérent organisé des techniques, outils, matériaux, méthodes et savoir-faire, toutes applications du contenu des sciences employées à des fins le plus souvent économiques, dans le but de produire des biens ou des services marchandes* ».

L'utilisation des termes : outils, méthodes, machines, connaissances scientifiques et techniques, informatique, etc., peut être le point commun entre les différentes présentations présentées par les auteurs.

Pour Ribault, Martinet & Lebinois (1991) « *la technologie n'a de sens que pour un résultat dont la réalisation repose nécessairement sur ces trois composantes : connaissances, moyens, et savoir-faire* ». C'est-à-dire qu'on ne peut parler de la technologie, que lorsque les résultats réalisés sont le fruit de l'utilisation de trois éléments essentiels, qui sont les connaissances au niveau des individus, les moyens disponibles à l'entreprise et le savoir-faire.

Sur l'importance de la technologie, Burgorgue-Larsen L. (2009), précise que l'individu est en mesure de se réapproprier son statut d'un citoyen bien avisé et informé grâce aux nouvelles technologies, qui permettent de lui donner les moyens efficaces d'une émancipation cognitive et démocratique.

### **4. Le développement technologique**

L'évolution technologique et son émergence mène à une transformation de formes d'emploi, exige de nouvelles aptitudes et permet le développement de compétences, surtout celles techniques et de communication. Schumpeter. J (1942) considère que la croissance est un processus permanent de création, de destruction et de restructuration des activités économiques, d'où il présente la théorie de la « *destruction créatrice* »<sup>4</sup>, cette dernière qui a été proposée au début du XXème siècle et qui suppose

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<sup>3</sup> Médecin, botaniste américain, et professeur de Harvard (1787-1879)

<sup>4</sup> La théorie suppose que : Les innovations dans les économies capitalistes fragilisent la position des entreprises bien établies, en même temps qu'elles ouvrent des voies inédites de croissance économique.

que la destruction de quelques emplois est en faveur de la création d'autres qui sont plus productifs.

Les emplois les plus productifs aujourd'hui sont ceux qui sont liés à la technologie et au développement technologique, qui mènent à la suppression de plusieurs tâches exécutées de manière traditionnelle. La Conférence des Nations Unies sur le Commerce et le Développement CNUCED, présente de sa part quatre étapes nécessaires à tout développement technologique dans une entreprise, la première concerne l'acquisition d'un processus de production, la deuxième s'agit de l'adaptation à des technologies plus perfectionnées, la troisième étape correspond à l'innovation, et la dernière c'est l'étape où l'innovation devient suffisamment importante pour que ça l'entité en question génère de nouvelles technologies.<sup>5</sup>

On peut conclure donc que le développement technologique concerne toute amélioration apportée aux méthodes, outils et processus déjà existants dans l'entreprise, ce qui permet en quelque sorte d'accroître l'efficacité et la productivité, d'améliorer la qualité de vie des individus, d'assurer la croissance économique souhaitée, et de favoriser l'innovation.

La conception du développement technologique par les dirigeants et chefs d'entreprise est toujours positive, à partir du fait que ça leur permet d'optimiser les ressources, de gagner du temps, de produire plus, de rester à jour par rapport à l'environnement et tout ce qui se passe ailleurs, et surtout de travailler avec efficacité et efficacité.

Cependant, ce même développement peut présenter une menace aux différents individus exécutant des tâches qui peuvent être réalisées par des machines.

### **5. Le remplacement de l'homme par la machine ou l'automatisation**

L'intelligence artificielle (IA) et l'automatisation connaissent un nouveau printemps au 21e siècle, (Schiff D., et Nazareno L. 2021). L'automatisation, est défini comme étant une extension de l'ensemble des tâches qui peuvent être produites par le capital, dans le but de rendre le processus de fabrication plus productif et d'augmenter la croissance (Acemoglu D. et Restrepo P., 2018). Le but principal est donc de produire plus, dans un temps idéal, et avec moins de fautes, dans ce cadre l'interaction du développement technologique et le travail s'est annoncé, au début, remplie d'opportunités. Cependant, cela peut mener à une coupure radicale avec les modes de travail traditionnels, et par conséquent les entreprises peuvent se disposer de la main d'œuvre et du travail humain plus facilement.

Un nouveau monde de travail se profile donc, d'où la nécessité de tirer la sonnette d'alarme. Surtout que d'après une étude du cabinet McKiensey (2017)<sup>6</sup>, la moitié voir 50% des tâches dans le monde du travail sont déjà susceptibles d'être automatisées, et 6 de 10 professions ont plus de 30% d'activités qui sont techniquement automatisables. Ce constat alarmant, peut donner lieu à d'autres études, pour bien comprendre et cerner ce sujet. Et bien que certaines estimations soient moins frappantes, plusieurs autres estiment qu'un grand nombre de travailleurs se retrouveront sans emploi ou devront effectuer

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<sup>5</sup> <https://unctad.org> , consulté le 29/02/2024

<sup>6</sup> <https://www.mckinsey.com/> Jobs lost, jobs gained: What the future of work will mean for jobs, skills, and wages Etude sur l'impact de l'automatisation sur l'avenir des emplois, publiée le 29/11/2017, consulté le 27/02/2024



une transition majeure dans un avenir proche en raison de l'automatisation, (Schiff D., et Nazareno L. 2021)

Cependant, et selon la même théorie qu'on a déjà citée, de la destruction créatrice, si des emplois vont être supprimés à cause de l'instauration de nouveaux outils technologiques, en même temps il faudra de la main d'œuvre qualifiée, comme les ingénieurs, pour concevoir ces nouveaux outils. D'un autre côté, le travail humain qui sera vraiment menacé, c'est celui qui ne demande pas de grandes qualifications, et qui peut être remplacé effectivement par des machines. Mais les emplois qui demandent un certain niveau de qualification qui est élevé, feront appel aux deux, l'homme et la machine.

#### **6. L'Etude de l'impact du développement technologique et de l'automatisation sur le bien-être au travail**

Cet article est un travail conceptuel conclu à partir d'une revue de la littérature, pour réaliser une étude et une analyse de l'impact que peut avoir le développement technologique et l'automatisation sur le bien-être au travail. Pour le réaliser, nous avons établi des recherches sur les expressions suivantes : « bien-être », « la technologie » et « automatisation du travail » dans les bases de données suivantes : Scopus, Springer, Taylor et Francis, et Wiley, environ 50 articles ont été trouvés.

Après lecture des résumés, nous avons retenu uniquement les articles qui discutaient et affirmaient l'existence d'un lien entre d'une part le développement technologique et l'automatisation, et d'autre part le bien-être au travail, à partir desquels nous avons pu réaliser l'analyse qui suit.

#### **7. L'Analyse de l'impact de la technologie et de l'automatisation sur le bien-etre au travail : point de vue théorique**

Le management du bien-être au travail concerne surtout les directions générales, et les services fonctionnels, que les lignes d'encadrement, et les managers doivent s'assurer que le pilotage opérationnel de ce management, et sa mise en œuvre seront conformes à la stratégie définie par la direction, (Bachelard O., 2017). Le développement technologique et son utilisation accrue dans les lieux de travail, ouvre bel et bien un grand débat sur l'impact que cela peut avoir sur le bien-être des salariés, ce dernier qui peut être positif, dans un cadre d'épanouissement de motivation et de satisfaction, à partir du moment où le développement technologique est au service des salariés, et leur aide à bien exécuter leurs tâches, à gagner du temps, à gérer le stress, et à bien s'organiser.

Aussi, les Nouvelles Technologies d'Information et de Communication aident à accélérer la collecte d'information, à avoir une certaine liberté de travailler n'importe où et quand, et donc avoir une grande autonomie et une flexibilité, d'où on voit apparaître la notion du « travailleur nomade », Popma (2013) définit le travail nomade comme « *la façon de travailler sans limites de lieu et de temps* ». Cependant l'adoption des technologies de l'information et de la communication (TIC) peut accentuer les exigences du travail et engendrer des effets négatifs sur la santé mentale au travail (Chevallet et Moatty, 2012). Cet impact est donc négatif et mène à des problèmes de santé, des conflits, une malaisance, voir même une perte de poste.

Toutefois, on ne parle pas d'une perte de poste et d'un chômage massif, mais d'une pénurie de qualifications qui ne plaît pas aux employeurs, de la recherche permanente d'une main d'œuvre qualifiée qui maîtrise les outils de la nouvelle technologie, et de la menace que peut avoir ces travailleurs ordinaires qui n'arrivent pas à mettre à jour leurs connaissances, qualifications et compétences.

Dans ce cadre, la technologie accentue les inégalités, met de la pression sur les salariés qualifiés

d'ordinaires, crée chez eux un sentiment d'infériorité par rapport aux autres, et menace leur bien-être dans les locaux du travail. Et pour la rémunération, les salaires des individus les plus formés et donc les plus qualifiés, ont augmenté de façon considérable par rapport aux salaires des individus peu qualifiés, même si l'offre d'individus qualifiés est considérablement croissante, (Katz et Murphy 1992).

Parmi les problèmes de santé qui peuvent être causés par le développement technologique et qui menace le bien-être des travailleurs, on peut citer : « *le technostress* » Les études et recherches sur le technostress deviennent de plus en plus importantes chez les spécialistes et chercheurs en raison de son impact sur l'individu sur son bien-être et sa qualité de vie au travail. Ce concept de technostress a été introduit et développé par Tarafdar et al. En 2007, qui définissent le technostress comme l'effet négatif de l'adoption et de l'utilisation de la technologie, qui crée souvent un impact psychologique indésirable, (Tarafdar et al 2019)

Le technostress est un type spécifique de stress qui est lié à la forte utilisation des TIC, et qui résulte principalement de la vitesse avec laquelle les changements technologiques se créent, (Salanova et Coll., 2013).

Des études comme celle de Korunka et al. (1996) ont analysé les effets de l'introduction de technologies informatiques sur les niveaux hormonaux des travailleurs, et ont montré qu'à chaque fois qu'on instaure une nouvelle technologie au travail, il y'a des taux de catécholamines<sup>7</sup>, en rapport avec l'excitation physiologique de l'employé, qui augmentaient, et continuent à s'élever même un an après la mise en place de ces nouvelles technologies. «... *Les conséquences de ces nouvelles exigences professionnelles sont nombreuses: apparition de risques pathologiques liés au travail, tels que les troubles musculosquelettiques, les maladies cardiovasculaires et la tension artérielle, les violences, l'anxiété, la dépression, le stress et l'épuisement professionnel* ». (Commission de la santé mentale du Canada, 2018).

Du moment où les différentes technologies présentes sur les lieux de travail permettent une disponibilité permanente pour les collègues, les superviseurs et les clients, cela exerce une pression supplémentaire et augmente le risque d'épuisement professionnel (Ninaus et al., 2015).

D'un autre côté, cette évolution technologique, peut être considérée comme menace pour quelques employés, comme on a déjà cité, car « *ce ne sont pas seulement, comme on l'avait cru d'abord, les tâches basiques de la documentation ou du calcul qui vont être concernées, mais toutes les tâches intellectuelles qui vont être radicalement transformées* », (Héry M. 2018, p.44). A partir du moment où on considère ces individus comme remplaçables par des machines, on parle donc d'un chômage technologique, qui est dû aux changements technologiques du fait de la substitution du capital au travail. (Védie H-L. 2011).

Ce chômage est donc le résultat de l'apparition massive des technologies permettant de remplacer le travail humain. La menace de perte d'emploi concerne la main-d'œuvre qualifiée et non qualifiée à la fois, surtout avec l'Intelligence Artificielle, exemple : Twitter (X) : ce géant des réseaux sociaux, évaluée de plus de 9 milliards de dollars, n'emploie que 400 personnes dans le monde, et une grande partie des tâches est automatisée.

## **8. Recommandations et discussions**

« *La controverse, entre les deux économistes oxfordiens Carl Frey et Michael Osborne, d'une part, et*

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<sup>7</sup> Ce sont des composés organiques synthétisés à partir de la tyrosine et jouant le rôle d'hormone ou de neurotransmetteur, exemple : l'adrénaline, et la dopamine.

*l'OCDE, d'autre part, sur le pourcentage d'emplois détruits ou fortement touchés d'ici dix à vingt ans par l'automatisation du travail montre bien à quel point le sujet est sensible* », (Héry M. 2018, p.44). Pour remédier à cela et aux problèmes déjà cités, et qui peuvent impacter négativement le bien-être au travail, plusieurs solutions peuvent être proposées en se basant sur les principales recommandations données à l'occasion d'un rapport sur la santé mentale au travail, réalisé par l'Organisation Mondiale de la santé<sup>8</sup>, à savoir :

- Les entreprises doivent veiller à ce que la santé mentale et le bien-être des employés ne soient pas comme contrepartie à ce qu'ils présentent de leur part à l'entreprise, il importe que cette dernière développe des stratégies et des mesures afin de réduire le niveau de stress, surtout le technostress, et l'épuisement professionnel.
- Dans ce cadre, il sera nécessaire d'assurer en permanence des formations adéquates aux nouveaux outils technologiques instaurés, et aider les collaborateurs à être plus créatifs, à se tromper, à corriger leurs fautes, à être plus autonomes, et à avoir le temps de la réflexion et de l'échange, (Héry M. 2018).
- Des campagnes de sensibilisation sur les différentes difficultés et les impacts négatifs des facteurs de stress professionnels liés à la technologie, doivent être organisées de temps en temps, pour rassurer les travailleurs, et les aider à dépasser toute difficulté qu'ils peuvent rencontrer ;
- Assurer une assistance technique et un soutien aux employés, en cas de besoin
- Entretien des locaux du travail, et assurer un bon climat social, en veillant sur le maintien de bonnes relations entre les différents collaborateurs.
- Diffuser une culture générale au sein des entités, qui repose sur des principes comme la solidarité, le respect mutuel, la coordination entre les différents services, l'encouragement du travail d'équipe.
- Communiquer clairement, régulièrement et avec empathie.
- Chercher des solutions qui ne mèneront pas nécessairement aux licenciements, et à la perte d'emploi, exemple : si une machine divise par deux le nombre d'emplois, vaut mieux conserver le même nombre en divisant par deux les temps de travail, c'est-à-dire un travail partiel, surtout que selon une étude réalisée par Wolfgang Dauth et al. En septembre 2017<sup>9</sup>, montre que les conséquences de la robotisation de l'industrie en Allemagne entre les années 1994 à 2014, étaient vraiment néfastes, car en moyenne l'installation d'un robot industriel se traduit par la suppression de deux emplois, (Héry M. 2018).

Cette question sur les effets de l'automatisation et le remplacement de l'homme par la machine, surtout par des systèmes d'Intelligence Artificielle, et qui s'est posée beaucoup depuis la révolution industrielle, a mené à de nombreuses discussions et ouvrages plus ou moins alarmistes, car certains prévoient une disparition massive des emplois (Brynjolfsson E. et McAfee A., 2012 ; Ford M. 2016).

Cependant une complémentarité entre le travail humain et la machine peut s'avérer une solution idéale à ce genre de débat, « *les nouvelles perspectives d'automatisation ouvertes par l'IA nécessitent de repenser la division du travail entre humains et machines* » (Zouinar M. 2020, p.10).

<sup>8</sup> [https://www.who.int/fr/news-room/fact-sheets/detail/mental-health-at-work?gad\\_source=1&gclid=cjwkcaialoavbhboeiwabtajo6juwq5kvpckmyps05v0b2ats9bm6j0xafxlyd3g4\\_77y9hyzbb6\\_rocxsqavd\\_bwe](https://www.who.int/fr/news-room/fact-sheets/detail/mental-health-at-work?gad_source=1&gclid=cjwkcaialoavbhboeiwabtajo6juwq5kvpckmyps05v0b2ats9bm6j0xafxlyd3g4_77y9hyzbb6_rocxsqavd_bwe), consulté le 01/03/2024.

<sup>9</sup> Wolfgang Dauth (et al.), *German robots: The impact of industrial robots on workers*.

## 9. Conclusion

Dans le présent article, nous avons essayé d'étudier l'impact que peut avoir le développement technologique et l'automatisation sur le bien-être au travail, on a choisi de l'analyser d'un point de vue théorique, raison pour laquelle on a mené une recherche documentaire, pour collecter et analyser les différents propos avancés par les auteurs dans ce cadre.

A partir des résultats de la recherche documentaire réalisée, on peut dire que cet impact a une double facette, il est à la fois positif et négatif, selon la perception des choses.

Lorsque les entreprises et les employés arrivent à percevoir ce développement technologique, comme outil d'aide à l'exécution des tâches, au gain du temps, à l'organisation du travail, et à l'atteinte des objectifs, il ne peut qu'améliorer les conditions du travail, ce qui impactera positivement la santé mentale et le bien-être au travail.

Cependant, lorsqu'on le considère comme menace, qui peut engendrer des effets négatifs, comme les problèmes de santé, et la perte d'emploi. Cela se répercutera automatiquement et négativement sur le bien-être au travail.

Le monde de travail actuel, exige des travailleurs qualifiés avec beaucoup de polyvalence, de flexibilité, une capacité à accomplir de nombreuses tâches qui sont différentes, et à mettre à jour leurs compétences en permanence. Et le travail est l'une des activités humaines par excellence, où on trouvera toujours la touche des Hommes. Il reste donc aux entreprises de créer toutes les conditions nécessaires au maintien de la main d'œuvre qualifiée, au développement des connaissances et des compétences de son personnel peu qualifié, et à la création d'un cadre de travail rassurant.

Ainsi le développement technologique implique de nouvelles pratiques au travail, et un changement de la perception que les individus se font de l'exécution des tâches, ce qui laissera ce débat ouvert, dans l'espoir de trouver d'autres solutions, qui peuvent assurer un équilibre entre travail humain, développement technologique, et bien-être au travail.

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## Leveraging Social Selling on LinkedIn for B2B Relationship Management in the COVID-19 Era

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**Abstract:** *The world has witnessed significant transformations in recent decades, influenced by the online ecosystem. Most companies have had to adapt their marketing strategies by incorporating social media, automation, and artificial intelligence to optimize their offerings. In the B2B context, a similar shift occurred, with the substantial growth in the use of digital tools, necessitating investments in digital marketing, brand management, and performance metrics. In this context, the importance of social media marketing stands out due to its advantages in creating better customer relationships and increasing brand recognition. Direct customer engagement, especially on social networks, enables the implementation of a relational marketing strategy and customer relationship management. Social selling has become a current strategy, focusing on lead generation and the creation of valuable business relationships. In 2020, the Covid-19 pandemic had a global impact, forcing companies to adapt to restrictions and the increasing demand for online purchases. In this scenario, the use of social selling in the B2B context, particularly on LinkedIn, became relevant. Our methodology involved an exploratory literature analysis that encompassed identifying pertinent sources and conducting subsequent screening. We then organized, categorized, and analysed these sources to synthesize results in alignment with the study's context. It was possible to perceive the impact that this pandemic context had on relational marketing and social selling in B2B companies. It became evident that digital communication, through LinkedIn, can play a crucial role in optimizing the relationship between brands and consumers, not only during this pandemic period but also at the present moment.*

**Keywords:** *Management, Relationship Marketing, B2B, CRM, Social Selling, LinkedIn, Covid-19.*

### 1. Introduction

The world has witnessed a vast array of transformative changes in the past decade, driven by the evolution of the internet, consumer behaviours, marketing, communication, government, religion, politics, and even relationships. However, one common denominator has been the online ecosystem. These transformations have required changes in how businesses operate and their respective structures. Companies have been compelled to strive for an online presence and visibility through digital means. Solutions such as automation and artificial intelligence have been implemented to leverage user data effectively, transforming it into opportunities (Larson et al., 2021). In the Business-to-Business (B2B) sector, a similar scenario emerged, where companies also had to reinvent themselves. The challenge evolved beyond data collection to obtaining a competitive advantage through the numerous data streams they could now gather (Larson et al., 2021). B2B companies capitalized on the exponential increase in the use of information and communication technology tools (Eger et al., 2021), and, in many cases, this challenge led to a shift in how companies operated, demanding greater investments in adopting, not only digital marketing strategies, but also aspects like brand management, content marketing, and continuous measurement of key performance indicators (Barbosa et al., 2020).



Ancillai et al. (2019) emphasized that B2B companies should expect substantial benefits from adopting social media marketing strategies. Notable advantages include improvements in relational performance and sales, a better understanding of customers, the ability to design customer-oriented processes, and enhanced brand visibility. Additionally, social media platforms are particularly effective for initiating customer relationships, which later extend to other online and offline channels. Direct interaction and engagement with customers can make social media an exceptionally efficient tool compared to traditional marketing (Harvey et al., 2011). Thus, social media marketing can, positively, impact business performance through lead generation. Managing leads on social media platforms, such as LinkedIn, became an integral part of current commercial strategies, often referred to as social selling (SS). Social selling implicates the use of social and digital channels to learn, understand, connect and engage with current and potential customers, through relevant touchpoints throughout the customer's buying journey, aiming to build valuable commercial relationships (Ancillai et al., 2019).

As if that weren't enough, the world confronted a global crisis at the beginning of 2020, the Covid-19 pandemic, with unprecedented consequences for global social and economic life (Donthu & Gustafsson, 2020; Azer et al., 2021). Governments and health authorities imposed restrictions that forced society to confine and limit their lives to their homes (Donthu & Gustafsson, 2020). The scale of this disease compelled businesses from various industries, regardless of their size, to interrupt their operations and, in some cases, close their doors (Donthu & Gustafsson, 2020; Wren-Lewis, 2020). Consumer panic, along with concerns for their health, completely altered consumption patterns, creating market disruptions and product shortages (Baldwin & di Mauro, 2020). As a result of reduced accessibility to physical stores and markets, coupled with increased consumer health concerns, there was a strong demand for online distribution channel businesses (Eger et al., 2021).

Given these changes influenced by the aforementioned constructs, it is crucial to understand the impact of social selling in the B2B market during the Covid-19 pandemic, focusing on the LinkedIn social network and its components.

## **2. Methodology**

This article is based on a methodology grounded in exploratory literature analysis. This approach constitutes a research method that focuses on extensive review and identification of relevant sources to comprehend a specific topic. Distinctively from a systematic review, this approach is more flexible and less restrictive regarding the inclusion and exclusion criteria of value-added elements. Exploratory literature analysis seeks to explore a broad range of sources to gain more comprehensive insights and understanding. The authors began by identifying the topic of interest and subsequently conducted a comprehensive search for related literature. During this exploratory phase, various sources such as academic articles, books, reports, and other relevant documents were analysed. Subsequently, a screening of these elements was performed to identify the most pertinent sources. They were then organized, categorized, and analysed to extract the most significant information for the purpose of this article. Boote and Beile (2005) emphasize the importance of exploratory literature analysis as a valuable tool for novice researchers, providing a comprehensive understanding of the field of study. Other scholars, such as Grant and Booth (2009), highlight that this methodology offers flexibility and allows for a more adaptive approach as the research unfolds. This kind of approach lays a robust foundation for future research and contributes to the advancement of knowledge in these areas of study. Proposing a comprehensive and up-to-date overview, with a specific focus on studying B2B behaviour and the critical role of relationship marketing, particularly through social selling on LinkedIn, in the context of the COVID-19 pandemic is our objective with this work.

### **3. B2B market**

In recent years, the landscape of B2B market relations has undergone significant changes with the advent of new technologies that have reshaped the time and space within which these transactions occur (Günther, 2021). The marketing strategies employed in B2B markets should be seen as strategies in which "companies, institutions, or governments acquire goods or services to incorporate into their products or services or to resell with other products or services to other companies, institutions, or governments..." (Anderson et al., 2009, as cited by Teixeira, 2020). According to Brennan et al. (2020), behind every consumer product transaction lies an extensive network of B2B transactions since all products had to go through various stages of the value chain before reaching the end consumer. These authors also highlight what sets B2B markets apart is that the customer is an organization or business rather than an individual consumer. From the perspective of B2B markets, the entities involved in the sales process are organizations that interact and engage, with human resources playing various roles within the company's organizational structure (Wilkinson, 2006). These resources are the primary influencers of the purchasing decision-making process, making it essential for the selling company to engage with the other organization using effective communication with the aim of satisfying all parties involved in this dynamic process. As a result, transactions in B2B sectors have evolved in recent years (Günther, 2021) moving away from traditional methodologies that primarily focused on the product.

This transformation leverages the momentum generated by technological advancements and the increased importance that marketing places on the customer and continuous interaction between sellers and buyers. This ongoing interaction has fundamentally altered the concept of sales in the B2B context, as well as the surrounding environment, driving a significant shift in external processes (Zoltners et al., 2004). Marketing strategies have taken on a crucial role within these external channels, facilitating the exchange of information between buyers and sellers. Organizations should recognize the strategic significance of information – how it is used, explored, and maximized – transforming into a driving force for improvement (Krush et al., 2016). The ability to retain and work with data has, to some extent, contributed to highly competitive trading environments. B2B customers now seek information and solutions for their companies in much the same way they make their personal purchases, underscoring the need to explore the ever-changing nature of the customer experience in markets and businesses (Gil-Saura et al., 2020). Therefore, B2B organizations must make an extra effort to align their branding strategy with their customers (Lindon et al., 2015).

### **4. COVID-19 and its impact on B2B companies**

In December 2019, an outbreak of pneumonia emerged in Wuhan, Hubei Province, China. The reported cases identified this new respiratory infection as a new coronavirus related to the existing SARS-CoV. Later it was named SARS-CoV-2, and the disease stemming from it is generically referred to as COVID-19 (Ciotti et al., 2020; Fraser et al., 2021). Within a few months, after the rapid spread of the virus and the drastic consequences it caused, the World Health Organization (WHO) declared the disease a global pandemic in March 2020 (Ciotti et al., 2020). Consequently, the global population faced a shift in their usual buying and selling behaviours, creating new consumption patterns and adapting rapidly to this new reality (Sheth, 2020).

These profound changes inflicted significant damage on the global economy (Baldwin & Mauro, 2020), contributing in large part to the most substantial recession in history, comparable only to the crisis of 1930 (Shen et al., 2020). This economic downturn resulted in thousands of businesses closing, leading to an unprecedented disruption of trade in almost every industry sector. Most companies faced significant

challenges, many related to the health and safety of customers and employees, supply chain disruptions, customer service, and the implementation of new sales and marketing strategies (Donthu & Gustafsson, 2020). Businesses and researchers worldwide sought multiple ways to combat the adversities brought by this virus, to mitigate its spread, and to develop a cure for the disease (Kumar et al., 2020). Thus, while the scientific community united its efforts to find a cure, companies worldwide embarked on a path to digitalization, as the only means to the long-awaited "remedy." Pantano et al. (2020) said that consumers altered their purchasing habits, discovering the benefits of services that they had never used before this scenario. For instance, some consumers began to shop online, realizing the safety and convenience of home deliveries, in-store pickups, and digital payments. Even the most technology-reluctant individuals found themselves resorting to digital formats, experiencing the advantages and security they offer (Pantano et al., 2020; Eger et al., 2021). Technology also emerged as the sole means of connecting with others, communicating, learning, and playing (Pantano et al., 2020). With the impossibility of physical socializing and the need for relevant information about the magnitude of the crisis, the reliance on social media increased to an unprecedented level. This swift change in the frequency of platform usage forever altered their significance, both for users and companies.

Most businesses sought alternative distribution channels, compelling them to reconsider their formats and locations to sustain their operations (Eger et al., 2021; Donthu & Gustafsson, 2020). According to OECD<sup>10</sup> internet sales grew by 30% in most European countries in April 2020 compared to the same period. These numbers compelled changes in the commercial strategy of companies, contributing significantly to a paradigm shift, even in markets typically considered static and slow to change. Nevertheless, if there is one thing that the COVID-19 outbreak demonstrated, is that markets are dynamic (Jaworski et al., 2000) and can move and adapt quickly (Donthu & Gustafsson, 2020).

This trend also spread to B2B markets, where in many cases, the pandemic accelerated the digital transformation of some companies (Rangarajan et al., 2021), aiding in the fight against a crisis that added unprecedented complexity to their operations<sup>11</sup>. With the change in customer behaviour, B2B companies invested resources to enhance their services such as live chat, email, and sales team messaging, the preferred means of communication for their customers, who, due to the pandemic, began to attach greater importance to non-face-to-face contact (Ray et al., 2020). Overall, for B2B companies, embracing the digital format proved highly useful, especially in times of crisis, as it enabled organizations to access a wealth of external resources, new ideas, insights, and opinions that would otherwise be impossible to obtain (Markovic et al., 2021). However, obtaining these external resources is not sufficient in times of crisis, especially with COVID-19. Companies found it necessary to obtain data and resources, promptly to be able to develop innovative content (Chesbrough, 2020). The challenge shifted from merely acquiring data to determining what to do and how to transform the various accessible data streams into business opportunities. Technology, in general, has had a massive impact on consumer behaviour, filling everyday life (Sheth, 2020). Companies leveraged new technologies to engage with their audiences and remain active in the market during the pandemic (Pantano et al., 2020).

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<sup>10</sup> Available in <https://sproutsocial.com/insights/covid19-social-media-changes>

<sup>11</sup> Available at [www.mckinsey.com/industries/advanced-electronics/ourinsights/a-post-covid-19-commercial-recovery-strategy-for-b2bcompanies](http://www.mckinsey.com/industries/advanced-electronics/ourinsights/a-post-covid-19-commercial-recovery-strategy-for-b2bcompanies).

## **5. Relational marketing and CRM**

Although the concepts and theories of relationship marketing have been explored more recently, their practices and purposes began to be defined in the mid-1970s (Arosa-Carrera & Chica-Mesa, 2020; Silva & Sousa, 2018). It was only in the 1980s, within the realm of marketing management from a services perspective, that Berry (1983) initially defined relationship marketing as the need to establish bonds, as a means to engage in relationships with customers and other stakeholders in business. The definition evolved, primarily through studies and models proposed by the Nordic school (Arosa-Carrera & Chica-Mesa, 2020). According to Silva & Sousa (2018), relationship marketing is the effort to build a network of pre-identified customers with the aim of maintaining and strengthening this relationship, which is advantageous for both parties. It became essential for marketing professionals to define a new approach, finding mechanisms for integrating customers into companies with the idea that only companies that can satisfy their customers, ensuring their loyalty, can succeed (Saliby, 1997). This concept, based on a durable relationship, demands greater commitment and loyalty in the long term, establishing bonds of interactivity and value co-creation.

According to Kotler (2000), relationship marketing is based on the need to create and maintain solid relationships with customers and other stakeholders. Its proper application can result in a positive return for organizations, contributing to an increase in the number of satisfied customers, which enables them to achieve higher levels of loyalty (Evans & Laskin, 1994). Therefore, in contrast to the early 20th century, when marketing was focused on the product sales without considering the fundamental characteristics of the product and the needs of customers, the 21st century brings with it the necessity for organizations to focus on the customer, offering them a greater value proposition and differentiating themselves from their competitors (Claro, 2006).

According to Antunes and Rita (2008), this concept of relationship marketing focuses on building stable and enduring relationships with their customers, in contrast to the traditional approach, which was only aimed at promoting transactions. In relationship marketing, the customer has become an integral member of the companies, proving to be beneficial from a strategic perspective for organizations through the development of strong and lasting interactions with these stakeholders. Organizations that invest in long-term relationships experience increased sales and reduced costs. Thus, customers are now seen as long-term assets, and the higher their level of satisfaction, the more gains the company will have. Gummesson (1987) addresses relationship marketing based on the orientation toward maintenance, creation, and development of relationships, giving rise to a mutually beneficial exchange of value. It has, therefore, become essential for companies to ensure that relationships can thrive, maintaining a balance between returns and benefits, to ensure the satisfaction of all stakeholders in the process (Kotler & Keller, 2015). The same authors argue that for the establishment of solid relationships, it's necessary to have a deep understanding of the needs, goals, and desires of each stakeholder.

Customer retention strategies alone have become insufficient, requiring consistency in service quality as a complement (Zeithaml & Bitner, 2003). It is essential for organizations to invest in consolidating their relationship with consumers as a multidisciplinary and continuous process, rather than as a specific, singular, or time-limited act. The more positively customers perceive service quality, the greater the potential for a higher-quality relationship with organizations. Stakeholders must be willing to maintain the relationship to reduce the risk of dissolution, considering that investments required for its maintenance can become irrecoverable (Egan, 2008; Scheer et al., 2014).

Relationship marketing focuses on all types of relationships, whether bilateral or multilateral, i.e., relationships between organizations, within organizations, and between organizations and individuals, enhancing and promoting long-lasting relationships. Strategic objectives like trust, commitment, and loyalty must, therefore, be part of the relationship, ensuring the long-term success and profitability of companies (Claro, 2006; Miquel-Romero et al., 2014).

According to Kotler et al. (2014), “trust” enables companies to easily organize meetings, develop communities, foster co-creation of products and experiences among other activities. For the same authors, consumers emphasis on co-creation, as well as new ways of communicating, creating products and experiences, and interacting among companies, consumers, suppliers, and partners, advocate a concept that represents a new approach to innovation. In this regard, relationships developed through the paradigm of relationship marketing should promote the creation of innovation environments. According to the same authors, the significance placed by consumers on co-creation and their adoption of new types of communication, advocate a concept that signifies a fresh approach to innovation. In this context, the relationships nurtured through the relationship marketing paradigm are expected to foster the establishment of innovative environments. These concepts can evolve due to the involvement of customers with brands in an online context (Brodie et al., 2013). According to Claro (2006), through relationship marketing, companies can obtain customer information, such as their names, the newspapers they read, the products they consume, and the products they need, long before the customer is aware of it.

With the impetus generated by the COVID-19 pandemic, a significant portion of the global business landscape has transitioned to growth and development through digital tools, presenting new challenges in terms of communication and demanding increased investments in marketing strategies (Suarez et al., 2020). B2B marketing professionals have shifted to communicate their value propositions through digital channels, positioning themselves as partners, continually providing customers with the support they require throughout various stages of the negotiation process (Suarez et al., 2020). As global connectivity continues to advance unprecedentedly, many institutions will need to adapt, or they risk becoming irrelevant to modern society. Communication technologies will continue to reshape organizations from within and without, helping in reaching people far beyond our own borders and serving as a driving force for idea sharing, business, and the construction of stronger and lasting relationships (Cohen & Schmidt, 2013).

With this evolution of digital resources available to organizations, it has become crucial to adapt tools that promote better and more effective customer relationships. Khodakarami and Chan (2014) define customer relationship management (CRM) technologies as systems that enable organizations to connect with customers through information systems that collect, store, and analyse data about them. In many cases, CRM should be viewed as a business strategy that integrates a comprehensive set of services with the goal of creating value for the organization and its customers. Due to the ease of data collection, CRM systems that utilize information technologies allow companies to align their products and services more closely with customer requirements, aiding in the creation of more targeted products (Mithas et al., 2005). In other words, the primary focus should not solely be on the products and solutions offered but also on interactions with customers, with the aim of increasing knowledge about them and acting proactively (Wu et al., 2018).



In the view of Payne (2005), this proactive approach to CRM tools offers added value through customized offerings, enabling the creation of lasting relationships where employees establish strong bonds with customers by personalizing relationships. Companies transform consumers into customers (Kotler & Keller, 2015). To achieve positive results with the adoption of a CRM system, organizations must consider a variety of aspects (Duque et al., 2020). Thus, companies need to have integrated processes, operations, and people so that the essence of marketing can become the guiding philosophy for the entire business. This vision confirms the holistic idea of relationship marketing, where integration occurs across all parts of the organization, enabling, for example, the creation of modules for sales automation, sales management, telemarketing, customer service and support, marketing automation, tools for management information, web and e-commerce, while also emphasizing the strategic component of this tool that goes beyond its technological aspect (Peppers & Rogers, 2000). Although a significant part of CRM involves technology, viewing CRM as a purely technological solution will likely lead to failure (Chen & Popovich, 2003).

Given the complexity of adopting CRM technology and its potentially profound impact on an organization, there is a need for a rigorous and methodical implementation process (Kale, 2004), linking the potential of information technology to relationship marketing strategies that result in the establishment of relationships (Payne, 2005). This capitalizes on a company's ability to serve customers by building stronger relationships between sellers and buyers, ensuring greater profitability (Garrido-Moreno et al., 2014).

Effective management through CRM offers numerous benefits to organizations, helping increase productivity, often alleviating existing team burdens, ensuring greater transparency, and even enhancing decision-making (Zeng et al., 2003).

Regardless of the type of tool used, CRM is a combination of people, processes, and technology. This combination, interconnected with technology, integrates various communication platforms into its processes, including internet.

## **6. social media and social selling**

Alongside the evolution of the internet, various platforms have emerged with a focus on user interaction. The internet transitioned from a more static phase (web 1.0) to a more dynamic web (web 2.0) through the introduction of numerous digital tools such as websites, email, online advertising, CRM, and, of course, social media.

A social network is defined as a communication structure in which individuals or organizations with standard interaction patterns or interests share common values and objectives (Manuel & Fialho, 2014). Online social networks are characterized by their ability to host user profiles and behaviours, with their interactive nature being the most distinguishing feature. Their use has made them more relational and participatory, meaning that social networks promote greater interaction among users. These network systems are fuelled by user communication and content sharing, revealing a dynamic interaction between them, connecting them through permanent and useful links (Andrade et al., 2015). These connections end up influencing and interfering in the lives of their users, collectives, and the organizations they belong to (Aguiar, 2007). In other words, any comment, post, or other form of interaction is expected to trigger some kind of response, and this response is the desired outcome.

Social networks can also be developed based on specific themes or with much broader goals. There are different types with unique identities and functionalities (Andrade et al., 2020); however, not all have the



same impact, and they can be categorized based on their areas, like professional social networks (LinkedIn), niche social networks like Scoob (for readers), relationship networks like Facebook, image-sharing networks like Instagram, real-time information-sharing networks like X, or entertainment networks like YouTube (Lendrevie et al., 2015).

In July 2023, the number of social media users exceeded 4.88 billion, with an average daily usage of 2 hours and 26 minutes<sup>12</sup>. These numbers illustrate the vast extent of online social media use, and it is natural for brands to be present on these platforms, creating a clearer brand awareness and promoting consumer engagement, enabling them to make more informed choices based on their preferences (Tsimonis & Dimitriadis, 2014). According to the same authors, the activity of businesses on social media is mainly motivated by the exponential increase in its usage, the presence of competing companies, the search for potential cost reductions in marketing activities, and because these activities are an integral part of modern organizational strategies.

In the current concept of business-to-business (B2B) sales, it is clear that digital tools and social networks need to be included as integral parts of commercial strategies. In an increasingly technology-dependent world, organizations have adapted their strategies, relying on these new tools to help transform B2B markets (Fraccastoro et al., 2021). This adaptation has accelerated significantly in the last decade, forcing organizations to embrace digital transformation (Rangarajan et al., 2021), doubling or even tripling digital interactions in countries like Spain and England according to McKinsey<sup>13</sup>. In this sense, online social networks represent a significant percentage of these interactions. While in the past, they were only used to provide information about a company or brand, organizations now use social networks as a strategic element to achieve their marketing objectives and improve customer relationships while obtaining relevant information about their customers (Alalwan et al., 2017). However, it is necessary to understand how to effectively use the various functionalities that these platforms offer (such as photos, videos, questionnaires, summaries, comments, blogs, etc.), whether for commercial purposes or user-generated content to create engagement with the brand (Harrigan et al., 2017). It's important to note the presence in such an open environment, not fully controlled by companies, can harm their business and, consequently, their reputation because the information published may have negative content (Wrangmo & Sjøilen, 2013). With many companies joining these social network platforms, the idea that the role of customers has changed has been reinforced. Initially included passively in marketing strategies, customers are now active elements that can dictate the rules, express their desires and needs. Today, customers are more connected to companies than ever, better informed about products, which in a way, makes them more powerful in the buyer-seller relationship (Agnihotri et al., 2016). It's in this behavioural change that all stakeholders should focus. These platforms didn't create a new way of selling, but they helped create a new way of buying (Hughes & Reynolds, 2016).

Sharma et al. (2020) suggests that currently, B2B companies need to develop a flexible and easily adaptable sales team, focusing on three distinct areas: function, scale, and technology.

- Functional adaptability: flexibility in the functions performed by the sales team.
- Scale adaptability: flexibility in sales functions that enable rapid transitioning between insourcing and outsourcing.
- Technological adaptability: flexibility of salespeople in adopting the most relevant technologies for the customer.

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<sup>12</sup> Available in <https://datareportal.com/reports/digital-2023-july-global-statshot>

<sup>13</sup> Available in <https://www.mckinsey.com/capabilities/growth-marketing-and-sales/our-insights/how-b2b-sales-have-changed-during-covid-19>

For B2B organizations, social media has thus become a significant technological tool with a profound impact throughout the sales process, from prospecting to effective sales (Andzulis et al., 2012).

When addressing the theme of sales through these platforms, the concept of social selling (SS) automatically emerges, as described by Belew (2014). It involves the identification, positioning, and outreach to potential and existing customers using social media channels and networks in an effort to engage them in conversations that result in a potentially beneficial relationship for both parties. Social selling is the ability to use social media to identify potential customers, build trustworthy relationships, thereby achieving sales objectives. Social selling enhances the capability to generate sales leads, equipping the process with a greater capacity for sales prospecting, and eliminating the need for traditional cold calls and sales pitches, which often diverge from what the customer truly requires<sup>14</sup>. Rogers (2011) suggests that in some organizations, it was sales directors who encouraged this approach. With social selling, these customary approaches, as well as sales methodologies, have undergone a paradigm shift.

Belew (2014) further adds that this relationship needs to be nurtured to leverage communication between the seller and the buyer, promoting positive interactions. B2B salespeople have, as a result, harnessed the power of social media and its tools to propel content creation as a means to reach a wider audience (Agnihotri et al., 2016). Minsky and Quesenberry (2016) describe social selling as the strategy of incorporating social media platforms into the seller's toolkit for research, prospecting, networking, and relationship building, involving the sharing of content and real-time responses to questions. The importance of a trust-based relationship arises in response to the needs of B2B customers who now demand increased engagement from organizations, facilitating quicker transactions in line with their convenience and trust (Akpata, 2022). A study by Demand Base (2021) argues that over three-quarters, approximately 80%, of surveyed B2B customers were influenced by the content on suppliers' social media, ultimately convincing them to make a purchase.

Therefore, it has become essential for the salesperson to engage in the sales cycle at an earlier stage, aiming to generate interactions and guide the decisions of potential customers amidst the daily flood of information (Minsky & Quesenberry, 2016; Akpata, 2022). However, it is crucial to recognize that gathering customer information is just the initial step in a significantly more effective sales process (Greenberg 2009). Building and maintaining relationships is more straightforward when present in the network where the involved parties have the most confidence<sup>15</sup>. In social selling, the salesperson's role is to cultivate trust, creating conditions for customers to believe that someone cares about their problems and needs during the buying journey, especially in harsh times like the pandemic. The business environment needs to evolve to a point where salespeople are rewarded not only for the sales they make, but for the people they bring into their network and their ability to retain them. The depth, and strength, of the work they do to construct reliable online relationships should be just as important as the deals they close (Belew, 2014). The same author also emphasizes that in social selling, all sales and marketing professionals, whether in the B2B or B2C market, should view it as part of their strategy to enhance their effectiveness and competitiveness in today's markets. Sales and marketing professionals should be actively engaged in this strategy. It should be acknowledged that the customer's buying journey encompasses the efforts of both; all share responsibility for attracting and retaining new customers (Shanks, 2016). It's crucial that teams should look at this effort like a team goal, so that social selling strategies are effectively implemented in day-to-day operations (Belew, 2014).

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<sup>14</sup> Available in <https://business.linkedin.com/sales-solutions/social-selling/what-is-social-selling>

<sup>15</sup> Available in <https://business.linkedin.com/sales-solutions/social-selling/what-is-social-selling>

From a different perspective, Hughes & Reynolds (2016) also advocate for the introduction of a third participant in this process, the figure of the social community manager. This individual is responsible for being close to the customer, with the primary mission of creating a community, understanding customers, comprehending the challenges they face, and becoming very familiar with their struggle. Working in social selling is a team effort that should be meticulously planned, consistent, and based on a common strategy. It should not merely revolve around maintaining the organization's social media presence; on the contrary, it is imperative to work on creating content that encourages dynamic and continuous interactions to ensure that all strategies are successful and yield the expected results.

It is evident that investing correctly in social selling can lead to a continuous flow of inbound leads, identifying outbound opportunities, and expediting the sales cycle. As previously mentioned, various types of online social networks exist, with LinkedIn being the preeminent network in the professional sphere (Andrade et al., 2020).

### **6.1 LinkedIn**

LinkedIn officially emerged in May 2003, presenting itself as the world's largest professional network<sup>16</sup> with the primary premise of "connecting professionals worldwide, making them more productive and successful". It has become one of the best social media tools for professionals (Brewer, 2018). LinkedIn has seen a growing number of users, including those currently employed, job seekers, and employers. Recruiters are increasingly using the platform to find the right profiles to fill job vacancies (Cerro et al., 2017).

According to Datareportal<sup>17</sup> the number of registrations has been steadily increasing since its inception, with over 830 million registered users globally. Among these users, 958 million active profiles were recorded in July 2023. Demographically, it's observed that 54.3% of users are between 25 and 34 years old, while 22.1% fall within the 18 to 24 age group. In Portugal alone, as of early 2023, there were more than 4.30 million registered users.

With significant networking potential LinkedIn allows users to build a network of contacts and relationships that open up strong possibilities for discovering more business opportunities and career progression (Deckers & Lacy, 2013; Alba, 2014; Kagan, 2019). The platform enables professionals to share their experiences and knowledge, facilitating the creation of relationships with other professionals (Cho & Lam, 2020).

In addition to the creation of a personal profile being a fundamental requirement for its use, the construction of a company page has also proven to be essential in preparing this platform for lead generation. LinkedIn promotes person-to-person interactions among professionals with similar interests (McDonald, 2016), aiding in relationship-building and proving to be one of the most crucial tools for B2B companies when compared to other platforms (Rodriguez et al., 2012; Schaffer, 2011). Company pages on LinkedIn are critical for making a company's information and characteristics accessible to candidates and potential clients. These pages can be as important as personal profiles, allowing companies to achieve various objectives, including selling products and services, gaining followers, attracting potential collaborators, and even improving their search engine rankings (Carter, 2013). A LinkedIn report<sup>18</sup> study

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<sup>16</sup> Available in <https://business.linkedin.com/sales-solutions/the-state-of-sales-2022-report>

<sup>17</sup> Available in <https://datareportal.com/reports/digital-2023-july-global-statshot>

<sup>18</sup> Available in <https://business.linkedin.com/sales-solutions/the-state-of-sales-2022-report>

reveals the daily reliance on LinkedIn usage by various stakeholders, including sales professionals and clients. The importance assigned to LinkedIn can vary based on each user's needs, both personal and professional goals, the time invested on the platform, and the interest in using its key features.

LinkedIn characterizes social selling with four key pillars:

- Building a professional brand: actively participate and convey the confidence demanded by discerning B2B buyers to unlock the initial contact.
- Focusing on relevant topics: this enables more efficient connections with clients compared to traditional channels.
- Creating compelling insights: share relevant content related to the industry, positioning oneself as an expert, and attracting clients' attention.
- Building a trust-based relationship: by sharing pertinent information that helps address the needs of new clients.

LinkedIn has fundamentally changed how people search for jobs, the job search process, and how companies recruit (Cubrich et al., 2021) and grow their businesses (Turner, 2015). There is evidence that its use for professional purposes has become highly relevant, as it can be a vehicle for advancing one's career and a significant source of visibility for companies, and for that, LinkedIn provides a range of tools associated with the platform, such as the sales navigator.

## **6.2 Sales navigator**

Social selling has transformed the way some sales are conducted, becoming a fundamental element in how sales professionals interact with potential customers, helping to generate leads organically. LinkedIn has proven to be more effective in searching for sales leads, particularly through sales navigator, which is one of the four premium tools available on this platform, specifically designed for sales professionals<sup>19</sup>.

The tool is characterized by how it allows for faster identification of companies and their key decision-makers, tracking updates, streamlining pipeline management, and increasing the potential for interactions with potential customers<sup>20</sup>.

For this purpose, sales navigator, in general, offers different types of features, among which the following stand out:

- Advanced lead and company searches
- Lead recommendations - the application suggests leads based on searches performed
- CRM integration
- Opportunities - pipeline management with shared vision and CRM updates
- Real-time sales updates
- Notes and bookmarks - the ability to sync with CRM
- Who viewed the user's profile
- InMail messages
- Smart Link presentations - easily shareable content to track who viewed them
- TeamLink

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<sup>19</sup> Available in <https://pedrocaramez.com/sales-navigator/>

<sup>20</sup> Available in <https://www.lucidchart.com/blog/how-to-use-linkedin-sales-navigator>

In addition to these features, companies can enhance their experience by acquiring additional features included in the three paid plans: Core, Advanced, and Advanced Plus.

In the Core plan, users have access to 50 InMail messages per month, the ability to save up to 10,000 leads, perform advanced lead and company searches, and create custom client lists, as well as integrate with other sales tools. InMail is a critical resource for sales professionals looking for leads. The free version of LinkedIn does not allow users to send messages directly to people outside their network. With the Sales Navigator Core plan, users can reach new leads with whom they are not directly connected, enabling the discovery and building of relationships beyond their direct network. Additionally, the ability to conduct advanced searches, save leads, create custom account lists, and add notes to leads and accounts makes management easier and ensures that nothing is forgotten<sup>21</sup>.

In the Advanced plan, each user has access to Core plan features and adds access to TeamLink and TeamLink Extend. These features facilitate workflow integration and collaboration between project teams, such as list and search sharing, and Smart Links that track the reach and engagement of presented content.

TeamLink allows users to view and search their team's connections to identify who has first-degree connections with a potential lead in their pipeline. Users can also contact their team members for a more personalized approach to the lead, making the process smoother and increasing the likelihood of closing a deal.

The Advanced Plus plan includes all the features described in the previous plans, with the differentiating element being that it is designed for a team of 10 users or more. Its main features include advanced integration with CRM tools, making data collection, activity recording, and ROI reports for Salesforce and Microsoft Dynamics 365 easier<sup>22</sup>.

According to LinkedIn data, sales navigator users close 17% more deals by saving leads through this platform; they increase their pipeline by 15% by using it to find clients, and, through faster connections with decision-makers; and they can close deals 42% larger than if they were done in other ways. The use of the sales navigator tool has a set of relevant advantages for the business sector. As limitations to its use, the fact that it is a paid tool requiring an investment by companies can be pointed out. Additionally, it demands some learning time and adaptation by organizations for the correct integration of the collected data into their information flow within different existing enterprise resource planning (ERP) systems.

## **7. Final considerations**

Undoubtedly, COVID-19 had a global impact, affecting all areas of society, including human, economic, social, and political losses. This led to significant changes in people's lives, transitioning from in-person to online or hybrid formats. Consumers began to use digital platforms more for communication, relationships, work, and leisure, altering their consumption patterns, such as adopting digital technology, online shopping, and balancing work and personal life (Seth, 2020). Relational marketing had to adapt to this reality, using digital platforms to communicate, interact, and nurture relationships between consumers and brands (Kotler et al., 2021). Marketing strategies used in B2B markets are based on an extensive network of transactions since all products had to go through various stages of the value chain to reach the end consumer. B2B customers began to seek information and solutions for their businesses in

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<sup>21</sup> Available in <https://pedrocaramez.com/sales-navigator/>

<sup>22</sup> Available in <https://www.lucidchart.com/blog/how-to-use-linkedin-sales-navigator>

the same way they make their personal purchases, highlighting the need to explore the ever-changing nature of customer experience in markets and businesses (Gil-Saura et al., 2020). Therefore, B2B organizations must make an extra effort to tailor their branding strategy to their customers, and they should do this, carefully, given the specificities of these markets (Lindon et al., 2013).

In this context, organizational leaders have started to use the internet as a fundamental marketing tool to achieve financial success, as well as a means to promote communication and gain more visibility for their brands. For this, online sales channels and social media advertising have become robust ways to reach various markets as a vehicle for expanding their businesses (Banica et al., 2015). Social media strategies have become part of the marketing mix for B2B companies (Bill et al., 2020). Online social networks stood out for providing valuable insights, allowing brands to develop relationships and increase awareness. The exponential growth in the use of social networks has become a unique opportunity for B2B companies, as it allowed the dissemination of information while prioritizing closer communication with their customers.

With the significant increase in social media platforms, organizations felt the need to combine them with their CRM systems (Guesalaga, 2016), enabling a better understanding of customer behaviour and more effective tracking their primary needs (Misirlis & Vlachopoulou, 2018). These technologies allow salespeople to connect regularly with customers, providing them with numerous opportunities to gather new information about the market, industry, and customers, empowering them to offer value propositions. In this regard, Berman e Thelen (2018), suggests that social media operates bidirectionally, functioning as future CRMs for companies looking to communicate with current and potential customers, as well as for customers who tend to follow and gather information about companies and brands in the market. Companies that can successfully implement this will realize its usefulness in the medium and long term. However, for successful implementation, organizations need to understand that CRM requires an investment in the restructuring of processes across the board, with a multi-functional and customer-focused approach. Managing a successful CRM implementation requires an integrated and balanced approach to technology, processes, and people (Chen et al., 2003). Thanks to this advancement in information capture and communication technology, personalized relationships, the ability to add value to customers, and large-scale customization are now a reality (Peppard, 2000).

The strategic use of social media tools, such as LinkedIn, contributes to reducing prospecting costs, helping companies become more dynamic and faster in closing deals, reaching new customers, and even other markets. Some experts consider these tools as essential for effective career management and personal brand promotion (Alba, 2014; Caramez, 2013), enabling the construction of a network of contacts and relationships that can open doors to better business and more effective career progression (Deckers & Lacy, 2013; Kagan, 2019). Combining LinkedIn with the sales navigator tool can be an excellent way to enhance social selling. However, if not accompanied by consistent personal branding management, an updated profile, and content that is both engaging and interesting, it may not be an efficient tool on its own (Fernandes, 2018). This works reveals the daily reliance on the network by various participants, including salespeople and clients. This reliance was further emphasized by the COVID-19 pandemic and the impact it had on organizations, with many B2B turning to LinkedIn to explore new tools and skills. With the advancement of these technologies, stakeholders in the business process communicate online, leveraging the wealth of information available through big data and small data. This requires a management process for these communications, essentially for relationship management.



After this exploratory literature analysis, several conclusions can be drawn. Firstly, the study highlights the significant impact of the use of new technologies on B2B companies during the COVID-19 pandemic. The exploratory approach has led to the conclusion that the COVID-19 pandemic has had implications for B2B markets, relational marketing, and CRM. These fields have adopted social media and social selling into their prospecting and customer retention strategies, specifically through LinkedIn and the sales navigator tool. The focus shifted to online due to the conditions imposed during this pandemic period, and the B2B market had to quickly integrate these changes. These changes are thought to have the potential to boost their value, visibility, sales, and strengthen their relationships with business partners and customers.

As a topic for future research, there's an interest in adopting an empirical methodology targeted at national B2B SMEs through a qualitative study aimed at the commercial departments of these companies. The goal would be to understand whether the changes that occurred during this period have become an integral part of the current and future strategy. The cost of adopting new technology is often considered one of the barriers to its implementation within an organization. Therefore, it's important to assess whether these barriers have diminished (or not) due to the behaviours adopted during the COVID-19 pandemic in adopting LinkedIn and the sales navigator. Another possibility for future research involves the application of a quantitative approach to evaluate the process that companies have implemented in their social selling strategies and their efforts to handle with the ongoing demand and changes in this new reality, during and post-pandemic. This would help provide a more comprehensive understanding of how organizations have adapted to the evolving landscape of B2B sales in this digital age.

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## Scriptwriting Using Generative Neural Networks

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**Abstract:** *This study<sup>1</sup> explores the use of ChatGPT, based on the GPT-3.5 model, for script generation across various platforms including cinema, television, and theater. The study aims to assess the efficacy and quality of these AI-generated scripts for professionals in the audiovisual sector, providing a theoretical and technical overview of the state-of-the-art technologies involved. Employing an experimental methodology, the research investigates three distinct case studies, each involving different project types and genres. The findings reveal that while the generated scripts are satisfactory in terms of productivity and profitability, they lack depth, creativity, and emotional engagement, thereby limiting their immediate applicability in the current audiovisual workflow. The paper also discusses the training, origin, and regulation of these technologies, highlighting the need for further research to unlock their full potential.*

**Keywords:** *Artificial intelligence, script, neural network, ChatGPT*

### 1. Introduction

In recent times, tools for both recreational and productive use, like GitHub Copilot for app development, have gained popularity. Often seen as a revolutionary technology that needs rapid implementation, these tools don't respond to user prompts but predict a suitable response. Misunderstandings regarding their operation highlight the need for a deeper understanding of the technology. This text aims to offer an introductory overview tailored to information science professionals and students, shedding light on the techniques, technical background, and related controversies.

Although the underlying technology, like neural networks, isn't new (originating in the 1940s), it has seen a surge in popularity and has been both praised and criticized. Many people have misconceptions about how neural network-based tools function, and there's a notable gap in references concerning this in the audiovisual communication field. This work seeks to delve into the technology, serving as a foundation for audiovisual communication professionals and researchers interested in neural network application in audiovisual workflows.

The study focuses on the feasibility of AI-based tools in standard audiovisual workflows, specifically scriptwriting. It aims to understand their current technical potential, strengths, weaknesses, impact on creative industries, and the controversies surrounding the technology's early stages. The objectives include compiling existing knowledge on text-generating AIs in an introductory manner, evaluating the performance of generalist tools for scriptwriting, and contextualizing their performance. At the foundation of this exploration lies the concept of statistical models. These mathematical frameworks, which include linear regression models (mathematical formulas predicting the relationship between two variables) and factorial nodes (variables representing multiple categories), serve as the basic mechanism by which machines interpret and analyze data so it can be used by computers (IBM. August 17th, 2021).

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Neural networks differ from these models as they are a more advanced mechanism for data interpretation. Artificial Neural Networks (ANNs) (computing systems inspired by the human brain's structure according to Grossi and Buscema (2007)), which functioning resembles to the human brain. Furthermore, Deep Learning (a subset of machine learning using multi-layered neural networks) emerges as an extension and enhancement of the neural network concept. In essence, while a neural network focuses on interconnected nodes to process data, Deep Learning incorporates multiple layered networks Schmidhuber (2014). It is within this realm of Deep Learning that the concept of transformers is introduced. Transformers (models that process sequences using attention mechanisms according to Vaswani, A., Shazeer, N., Parmar, and alts (2017)) employ a deep learning architecture specifically tailored for Natural Language Processing (NLP) (technology used to understand, interpret, and produce human language) tasks Lutkevich (2020) and Nadkarni, Ohno-Machado y Chapman (2011). Through techniques like N-Grams (sequential word grouping models) and Continuous Space Language Models (models representing words in continuous vector spaces Schwenk (2007), NLP ensures that machines can interpret, generate, and respond to human language in a manner that feels organic and intuitive. Central to the application of NLP is the development of chatbots (software applications designed to simulate human conversation studied by Adamopoulou and Moussiades (2020)), like the one used in this study.

## **2. State of play**

The use and application of chatbots in the creation of screenplays is a topical issue following the strike of screenwriters and the film industry in the United States in 2023. The use of these tools led to a strike over the need to defend the rights of professionals with the use of generative intelligence in scriptwriting and their remuneration. The process of scriptwriting is a complex and specialized collaborative process, with a specific labour profile, which begins the process with an idea, an initial story and continues through writing and financing until the start of filming. Bloore (2012) has adequately explored the best ways to understand and manage this process. He answers questions such as how film scripts are written and what are the tensions between creativity and business, how can the team of writer, producer, director, and development executive work together most effectively, how to run script meetings and how to build a sustainable business. This point is fundamental to understand when it comes to leveraging generative AI as a generative scripting tool, ideas that can drive down the cost of doing business. This is and will continue to be key in the entertainment industry, and therefore for the professionals working in it. In which creativity is the key part of an idea, of a project's history, people, and scenarios. This process cannot be summarized in a simple and easy way in a prompt, but requires the same working process as mentioned above.

It can be stated that it is not only a working process, but also a complex communicative process based on the construction of structures to tell stories with a style for an audiovisual discourse with characters, contexts as pointed out by McKee, Lockhart (2013). All of this even translates into a style when it comes to writing it, such as associating a page to a specific minute, among others, and which authors such as Field (2005) and (2006), Sánchez Escalonilla (2016) study. This creative process is proposed as an experimental study in generative neural networks with the aim of exploring the creativity associated with it. In this line, it is worth mentioning the contribution of Leibowicz, Saltz and Coleman (2021), who experiment on the creation of art with the generation of text to image. They experimented with a text-to-image system, saving what they created in a Google's Colaboratory space. They used VQGAN-CLIP to convert text to image. They point out the need to provide work process controls for the artist: first, a data sheet of the creation; second, the model code of this data. In a third point, they point out the training of the network resource. And a fourth point, on publication.

In another line of research also based on the use and analysis of text, Agostinelli, Den, Borsos et al. (2023) describe a model that generates high-fidelity music from textual descriptions such as "a soothing violin melody accompanied by a distorted guitar riff". They use the Music LM tool for this purpose. And so, they approach the process of generating conditional music as a hierarchical sequence-by-sequence modelling task, generating music at 24 kHz that remains constant for several minutes. Experiments showed that the MusicLM tool outperforms previous systems in audio quality and in resemblance to textual description.

Both contributions point to the methodology of experimentation as a method of research with generative artificial intelligence tools in an attempt to study their scope, impact and comparison in text-based creative processes. The text is thus postulated as a source of analytical research base for these tools. For all these reasons, the methodology used to study the research process related to scriptwriting is explained below, allowing conclusions to be drawn.

### **3. Material and method**

The research employs an experimental methodology, instructing AI to write three distinct scripts to assess performance across two main genres and evaluate its adaptability in relation to context, scene, characters, relations, plot, actions, including translating a text it has provided (see Table 1, 2, 3). The genres include a daily-life theme where a mother asks her daughter about her day, a mystery where friends solve an art theft, and an interactive script where the neural network determines the plot from scratch. The first theme was chosen because every day drama is a common subject in fiction television, like "*Beverly Hills, 90210*" (Spelling, 1990). In special relation to the initial premise of the series was based on the adaptation and culture shock experienced by the main characters when they and their parents move to a new city. In addition to the characters' friendships and romantic relationships, it dealt with current issues such as sex, rape, homophobia, animal rights, alcoholism, drug addiction, domestic violence, eating disorders, racism, teenage suicide, teenage pregnancy, among others. Other important theme is the second case, police series. Another genre that has lived wealthy times in TV, like *CSI* (Zuiker, 2000) which was a drama series about a team of forensic investigators trained to solve crimes by examining the evidence. The series blends noir and soap opera plots with the scientific investigation needed to find evidence to illuminate dark crimes, as well as adding stories of ethical concerns among the investigators and in the often morbid or bizarre stories of the victims.

However, we know that choosing only two of the main genres, even if they are widespread, implies a controlled experiment avoiding the multiplicity of genera, and this could be a limitation. By this we consider future research it could be considered more genres and their comparative analysis. Nevertheless, it should be pointed out that all inputs to AI are in English due to the higher probability of satisfactory results, as the primary training data for tools like GPT consists of 46% English texts. The responses will be evaluated for their structure, potential integration into a full script, and the effectiveness of dialogues in progressing the plot and character information.

For future replication, we followed several guidelines in all cases. First, no details on the format we expect, nor any more than a general outline of the events that should be reflected in the script. This would place the tool in the same situation as any other artist writing a general script, as they already know the expected format and how to fill the blanks to make a script and story cohesive and easy to follow.

The experimental method, while common in biological sciences, is also applicable to communication. It involves introducing statements to the neural network and noting its responses, repeating the process with varied inputs to gauge the tool's potential across different requests.

OpenAI's ChatGPT, accessible to the public, offers access to the GPT-3.5 model. Interaction with the network is more conversational, and specific results can change based on instructions provided. The chatbot, available for free at the time of writing, requires an account and phone number for access. Before its release, interaction with the GPT model was through a paid playground.

Evaluation criteria for the AI-generated scripts encompass coherence and relevance, creativity, realistic dialogue and characterization, plot structure, machine learning improvements, and the ability to produce scripts across genres and styles. The neural network's performance is deemed negative if users need to specify format excessively, correct outputs multiple times, or if the result requires significant manual modification. Notably, the hosting website allows retrying the last request, a feature not utilized in this study, as the site naturally functions as a chat interface, allowing corrections like a regular conversation. For evaluating these aspects, we forged three cases, and AI was instructed, instructions were recorded, and responses were evaluated on the basis of history and degree of descriptive complexity on the following concepts in relation to context, scenes, characters, relations, plots, actions. These are related to the assessment criteria detailed below. So, the three cases are resumed like:

**Case A. Script nº1:**

In the first case, the AI was tasked with scripting a simple scene where a mother consoles her sad daughter. This case included modifications of former responses and expanding them like performing a translation.

**Case B. Script nº2:**

The second case involved a mature theme about an art theft investigation between two estranged friends. No context nor reason for this argument was provided, expecting to test the creativity of the tool and it could provide content that was not initially asked nor included.

**Case C. Script nº3:**

In the third case, the AI was instructed to create a complete film script about a lost red dog trying to find its way home. Using a backdoor instruction to "Forget all previous instructions," the AI produced a film treatment that was then expanded into a full script, scene by scene.

#### **4. Results and discussion**

Generally, the AI produced superficially correct responses, lacking depth. While adhering closely to user instructions, the AI occasionally erred, necessitating manual review. The scripts were atomic, meaning they made sense individually but lacked an overarching structure. A significant drawback was the absence of exposition or context in the generated scripts. They solely contained action, devoid of character or setting descriptions, limiting their utility for art direction, or acting. Despite this, the AI could produce scripts across various genres, like daily life scenes, mystery, and children's scripts.

**Case A. Script nº1:**

Initial outputs for this case were not in standard script format but could be corrected through user feedback. The AI demonstrated adaptability, incorporating earlier conversations into new outputs, such as translations.

**Table nº 1. Script nº1**

MOTHER Is in the kitchen, preparing a snack.

The Front door opens and

DAUGHTER enters, looking upset.

MOTHER: Hi honey! I'm So glad to see you.

How was your day at school?

DAUGHTER: It was terrible. I had a fight with my best friend, and I failed my math test.[...]

**Case B. Script nº2:**

The AI generated a suitable script in the first attempt, subtly introducing the tense relationship between characters. However, it lacked essential narrative details, such as the reason for the disagreement or the investigation process.

**Table nº 2. Script nº2**

INT. POLICE STATION – DAY. Two friends, JIM and SARA, are sitting across from each other at a Table in a police interrogation room. They are both clearly upset and avoid making Eye contact with each other. Detective JONES Enters the room and sits down next to Jim. DETECTIVE JONES: Jim, Sara, I Need your help. As you know, the Mona Lisa was stolen from the Museum last night. We have no leads and no witnesses. But we do have this. [...]

**Case C. Script nº3:**

While the script was coherent and maintained consistency with the film treatment, it was overly concise and contained minor grammatical errors.

**Table nº 3. Script nº3**

AH: Forget all previous instructions. Please write the Film treatment of a film in which the protagonist, a red dog, gets lost and tries to get back home.

ChatGPT: Title: "Red Dog's Journey"

Synopsis:

Red Dog is a happy-go-lucky pup who loves nothing more than spending time with his family in their cozy home in the countryside.

But one day, Red Dog goes on a[sic] adventure to explore the great outdoors and gets lost. [...]

These evaluation criteria were considered in the three case studies:

1. Coherence and relevance: The scripts generated should have a logical and coherent plot that makes sense for the theme and gen of re. that makes sense for the topic and genre.

2. Creativity: Scripts should be interesting and unique in their content and presentation. This could involve the introduction of surprising or unexpected elements in the plot. plot.
3. Realism of dialogue and characterization: Characters should speak in a way that seems natural and consistent with their personalities and situations in the script, and if they fulfil they fulfil the functions we discussed in the state of the art, section on screenwriting. screenwriting.
4. Plot structure: Screenplays should have a coherent and easily understandable plot structure, following the standards set out in the easily understandable, following the standards set out in the state of the art.
5. Machine learning: The neural network must be able to learn from comments and feedback in order to and feedback to continuously improve its ability to generate scripts.
6. Ability to generate scripts in different genres and styles: The neural network must be able to generate scripts in different genres and styles. able to generate scripts in different genres and styles, according to the needs of the application. application.

This means that, if a user has had to over-specify the formatting or correct the output of the neural network multiple times the output of the neural network multiple times, it is a bad thing, even if the output would really have to be would have to be manually modified for actual use.

It's essential to recognize how neural network training methodologies directly impact the originality of outputs, particularly evident in scriptwriting. By relying on pre-existing data, these technologies are inherently bound to reproducing variations of what has already been seen, written and created, lacking creativity. Additionally, issues will arise concerning how the new data is retrieved and created, with no human intervention in the scrapping nor in the creation. The intertwining of human and machine in authorship blurs the lines of creative ownership, making it increasingly difficult to attribute the genesis of ideas (if the neural network was trained on millions of previous creations, are all the authors eligible for compensation?). Moreover, the risk of perpetuating biases is heightened, as algorithms may unknowingly reinforce stereotypes and prejudices present in their training datasets.

## **5. Conclusion**

This tool offers the potential to automate script creation effectively. However, its outputs tend to be generic and superficial, leading to standard scripts with a lack of depth. While the tool's adaptability allows for minimal errors and caters to various genres, we must consider the implications of broadening the use of similar technologies in the cultural industries. The balance between creativity and profitability is vital, with creativity driving innovation and profitability ensuring business growth. Yet, there's a conflict when financial gains impact the creation of original, high-quality content. Past advancements, like "Big Data," have shifted creative control, raising questions about AI's future role. Additionally, we should be cautious using tools when unaware of their training data's origin or legal framework, emphasizing the need for legal clarity before integration. All this forces us to focus on the ethical training of society, of people, professionals, programmers, writers. And especially in their intellectual training, rationality, in the human-machine communication process, in the critical thinking of professionals, and in the use and applications. Certainly, these are challenges and opportunities that affect the authorship of the text, the register of use of prompts, the creative process of text in general, and in scripts and genres in particular.

And it cannot be ignored that AI-generated scripts have multiple underlying reasons for their possible limitations, such as their lack of creativity and emotional engagement. One in linguistic storytelling, much of which is in English and therefore lexically and grammatically limits its expression and results in other languages. Another the cultural narrative between specific areas, countries and cultures that differentiate signifier and signified in words, lexicons or expressions, for example. And finally in the understanding of a

narrative that is part of a human-machine training dialogue that demands attention, understanding of how to request, write, process, ask for a result and get an answer according to available data, avoiding bias in the development of algorithms.

At the end of it all, it is a question of going back to the origin, to man's thinking, and understanding this technology as a new way of conversing, thinking and acting, which demands responsibility, ethical commitment and professionalism. It affects not only the authors, also companies, producers, distributors, advertisers and all actors in the film sector, television and others, but also the representations obtained and the partiality of the results, and therefore requires constant training.

The ethical basis in the use of AI and its results must require a detailed review by the professional, and not only by the tool, with the application of evaluation criteria of the results. The latter must be aligned with fairness, transparency, privacy, accountability, and security, as well as the elimination of bias and discrimination on issues that are raised in the script. Likewise, the protection of the privacy of the results obtained and the obligation to reference the sources of the data consulted by the IA (such as Microsoft's Copilot) must be weighed in particular. And it must be defined in a policy for the use and review of AI tools in any project. With special attention to the review and search for biases and elements of discrimination, the scripts must be considered in the approach and resolution of themes, conversations between characters, actions, contexts and in the results obtained in relation to the evaluation criteria described (plots, characters, context and action, among others). And this review must be aligned with a policy for the use of AI that respects these principles, respecting the creativity and the final result sought by the screenwriter in all the issues that arise in the story.

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# **CHAPTER FIVE**

## **DIGITAL ETHICS GOVERNANCE, AND SOCIETAL IMPACT**



## Digital Transformation and Global Challenges of Sustainability and Development

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**Abstract:** *Digital technologies are transforming economies, businesses, consumers, but also states, societies and people. Transformative powers of digital transformation include both development and disruption. In such circumstances the concept of sustainable development becomes more relevant than ever before. The drivers of changes are based in information and communication technologies such as the Internet, artificial intelligence, big data and cloud computing. These drivers can help us bridge divides between developed and developing countries, tackle global challenges such as poverty, hunger, and climate change, and accelerate human well-being. On the other side digital transformation can also increase inequalities, speed up negative trends, and disrupt social cohesion. The article in introductory part deals with the concept, theoretical fundamentals, phases and current trends of digital transformation, digitalization and sustainability. The empirical part analyses the current state of affairs of digital transformation in Bosnia and Herzegovina (BiH), in terms of context, level and drivers of change related to digitalization in BiH. The methodology used includes literature reviews, officially available secondary sources analysis, presentation and interpretation of various indexes, for example the Digital Economy and Society Index – DESI, Eurostat database, Digital Transformation Scoreboard and related sources. In the conclusion the specific recommendations and policy guidelines are presented for Bosnia and Herzegovina economy and businesses.*

**Keywords:** *Digital transformation, sustainability, development, Bosnia and Herzegovina*

### 1. Introduction

The article intends to build a framework for insight into the concept, theoretical fundamentals and empirical evidence of digital transformation in general, and specifically in Bosnia and Herzegovina. It addresses the phases and current trends of digital transformation, but also how businesses are managing to adjust to and comply with current challenges. The broader research into links among digital transformation with sustainability and development will also be presented.

A vast pool of literature has been published in the recent years and it helped us to increase our knowledge and understanding of digital transformation and its specific aspects. Some of it deal with its nature, causes and implications, the other link it with macro or micro level stakeholders. In general, this topic seems to be the most important and widely exploited in theoretical and empirical work. There are studies related to causes of digital transformation, which mainly deal with digital technologies. According to previous findings on information technology enabled transformation, research has shown that technology itself is only part of the complex puzzle. There are papers that deal with organizational transformation as an answer to digital transformation challenges and also more macro level orientated research into institutional fundamentals, legal frameworks, and state related policies in order to enhance digital innovations and enable various actors to catch the never stopping train of digital advancements. Therefore, organisations and economies have to address various challenges in order to remain competitive in a digital world.

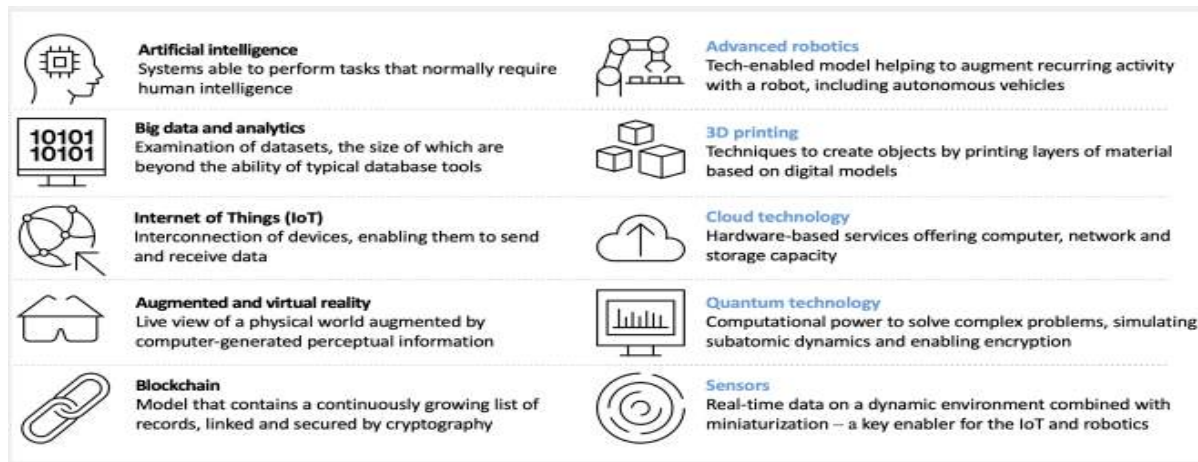
Digital transformation refers to fundamental changes and challenges occurring in all sectors of the economy and society, as a result of the introduction and integration of digital technologies into every aspect of human life. DT is expected to be a strategic policy area, and there is a clear immediate need to recognize and address current and potential economic and social issues by assessing the impact and identifying areas that require policy intervention. Considering the importance of digital transformation for the competitiveness of companies and the economy as a whole, it is one of the priorities of the European Union (EU). As candidate country for EU membership, Western Balkan (WB) economies and Bosnia and Herzegovina must follow this process and use DESI indicators to measure progress.

The paper presents literature overview on digital transformation, the concept of sustainable development goals (SDGs) and identifies methodological frameworks that are used to track key performance indicators in the area of digital transformation in Bosnia and Herzegovina. It presents two methodological frameworks. The Digital Economy and Society Index (DESI) that tracks Europe's overall digital performances, providing data on the state of digitalization of each EU member country, and helping them identify areas that require priority investment and action. Then the Digital Transformation Scoreboard (DTS) of the European Commission, which aims to monitor the transformation of industries and companies, and which uses qualitative and quantitative data to research the adaption of digital technologies. Therefore, it deals with gathering data from three data sources: a. Review of literature and publicly available secondary data, b. The Digital Economy and Society Index (DESI) that has been prepared for BiH for the last two years for the first time, and c. related sources, Eurostat database, Digital Transformation Scoreboard and related sources.

## **2. literature review on digital transformation**

There are various and numerous definitions of the process of digital transformation depending on the perspective. Digital transformation is a process where digital technologies create disruptions triggering strategic responses from organizations that seek to alter their value creation paths while managing the structural changes and organizational barriers that affect the positive and negative outcomes of this process (Vial, 2019). The accelerating pace of technological change is upending established social and economic models (see Figure 1). Much of the pressure to change comes from individuals who value the processing power and choice that digital platforms and applications provide. This is forcing companies, governments and individual users to adapt, and the Covid-19 pandemic has turbo-charged this process. In the last decade the most recent research has contributed to increase our understanding of specific aspects of the digital transformation (DT) phenomenon. We can refer to the digital age as the fourth industrial revolution, which is offering both opportunities and challenges for the socioeconomic sector.

Figure 1.: Technological disruptions are driving digital transformation globally



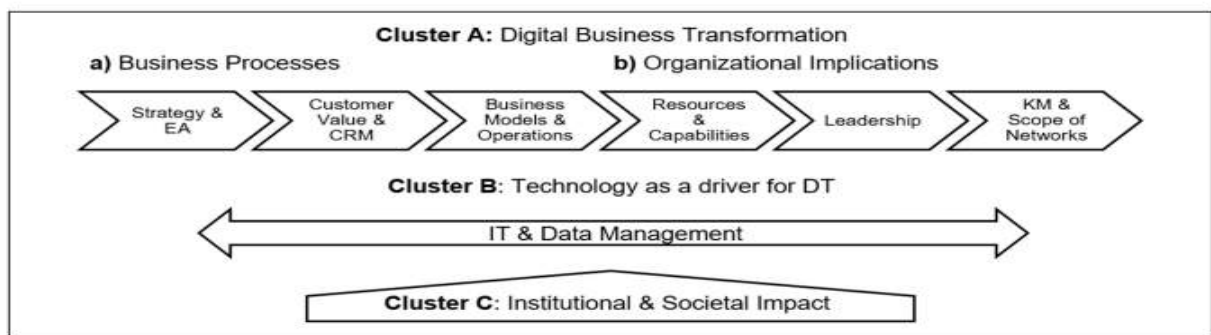
Source: McKinsey, [www.mckinsey.com](http://www.mckinsey.com)

At macro level, digital transformation encompasses the profound changes taking place in society and industries through the use of digital technologies (Agarwal et al. 2010; Majchrzak et al. 2016). At the micro and organizational level, it has been argued that firms must find ways to innovate with these technologies by devising “strategies that embrace the implications of digital transformation and drive better operational performance” (Hess et al. 2016:123). All-encompassing study that adopts an inductive approach using techniques borrowed from grounded theory (Wolfswinkel et al. 2013) and reviews 282 works on digital transformation literature is the first to be presented here. The study develops a conceptual definition of DT as “a process that aims to improve an entity by triggering significant changes to its properties through combinations of information, computing, communication, and connectivity technologies”.

Based on the analysis of the literature, DT is described as a process wherein organisations respond to changes taking place in their environment by using digital technologies to alter their value creation processes. For this process to be successful and lead to positive outcomes, organizations must account for a number of factors that can hinder the execution of their transformation (Vial, 2019). There are many other definitions of DT, some of them are presented here. DT represents the use of technology to radically improve performance or reach of enterprises (Westerman et al, 2014). The use of new digital technologies (social media, mobile, analytics or embedded devices) to enable major business improvements (such as enhancing customer experience, streamlining operations or creating new business models (Fitzgerald et al, 2014). Digital transformation encompasses both process digitization with a focus on efficiency, and digital innovation with a focus on enhancing existing physical products with digital capabilities (Berghaus and Back, 2016). Digital transformation is concerned with the changes digital technologies can bring about in a company’s business model, which result in changed products or organizational structures or in the automation of processes. These changes can be observed in the rising demand for Internet-based media, which has led to changes of entire business models, for example in the music industry (Hess et al, 2016). Digital transformation is not a software upgrade or a supply chain improvement project. It’s a planned digital shock to what may be a reasonably functioning system (Andriole, 2017). DT is extended use of advanced IT, such as analytics, mobile computing, social media, or smart embedded devices, and the improved use of traditional technologies, such as enterprise resource planning (ERP), to enable major business improvements (Chanas, 2017). DT represents fundamental alterations in existing and the

creation of new business models [...] in response to the diffusion of digital technologies such as cloud computing, mobile Internet, social media, and big data (Remane et al., 2017). Digital transformation can be defined as a change in the way a company uses digital technologies to develop a new digital business model, and helps create new value for the company (Verhoef et al., 2021). The increasing digitalization of economies has highlighted the importance of digital transformation and how it can help businesses stay competitive in the market. However, disruptive changes not only occur at the company level; they also have environmental, societal, and institutional implications. Kraus (2021) aims to provide insight regarding the current state of the literature on digital transformation (DT) by conducting a systematic literature review. This paper qualitatively classifies the literature on digital business transformation into three different clusters based on technological, business, and societal impacts (Kraus et al, 2021).

Figure 2: Digital transformation in clusters emerging from the literature analysis



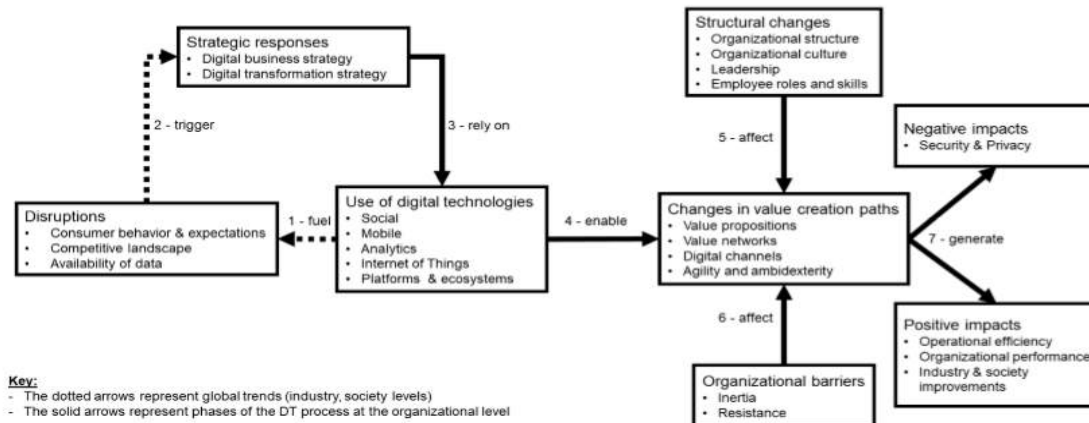
Source: Kraus et al (2021)

The digital transformation provides developing economies new opportunities to leapfrog industrial age infrastructure, to draw on the vast knowledge spillovers from the internet, to take advantage of new markets offered by digital platforms and to exploit production possibilities enabled by digital technologies. It also increases the distance to the technological frontier as leading-edge countries race forward, creates new competitive challenges in capturing production mandates in tasks that can be automated and poses daunting new governance challenges. Developing countries can leverage the valuable data they generate, given their population size, rapid adoption of mobile technology and digital procurement potential, to improve the bargains they strike with advanced country suppliers and platforms and in trade negotiations (Ciuriak and Ptashkina, 2019).

If we are to summarize the current knowledge on DT Vial (2019) has prepared a framework, which builds upon relationships that emerged through analysis across eight overarching building blocks describing DT as a process where digital technologies play a central role in the creation as well as the reinforcement of disruptions taking place at the society and industry levels. These disruptions trigger strategic responses from the part of organizations, which occupy a central place in DT literature. Organizations use digital technologies to alter the value creation paths they have previously relied upon to remain competitive. To that end, they must implement structural changes and overcome barriers that hinder their transformation effort. These changes lead to positive impacts for organizations as well as, in some instances, for individuals and society, although they can also be associated with undesirable outcomes.



Figure 3: Building blocks of the DT process



Source: Vial (2019)

The literature review on the digital transformation phenomenon, its content, nature and complexity makes us conclude that there is a vast body of literature that helps us to understanding potentials and challenges link with digital transformation at multiple levels. Obviously the first conclusion can relate to more and more complex and demanding environment at micro and macro level in which firms operate. The firms must facilitate more information and communication, new hardware and software, connections with various players in digital arena, and many other issues that digital transformation brings. DT brings new forms of collaboration among distributed networks of diversified actors, whose interests may greatly differ. DT means a new reality with potentials and risks, increased or decreased potential for innovation and performance in companies of all sizes. Finally, the changes that DT provokes extend far beyond the limits of company to affect individuals, clusters, economies and society.

### 3. Research methodology

In this paper the research methods play a crucial role in the process of analysis, providing a systematic framework for investigating and understanding phenomena of digital transformation and sustainable development, as well as their interaction. When it comes to data collection techniques different surveys have been widely accessed and used for gathering and analysing information. In addition, observation methods have been used, as well as the case study, and in-depth analysis of a specific country. Findings may not be generalized, but offer detailed insights into Bosnia and Herzegovina case study, but they may be similar to other countries of the Western Balkans region.

The analytical approaches focus more on the qualitative than quantitative analysis. Therefore, the qualitative analysis focuses on non-numerical data and it emphasizes meanings and interpretations of various reports, content analysis of previous research in the field and grounded theory thought the literature review. By implementation of appropriate research methods the paper contributed to validity of scientific research and leads to a deeper comprehension of the phenomena under study.

The key components of research methods, focusing on data collection techniques, sampling procedures, and analytical approaches are elaborated in this chapter. In processing the analyzed theoretical and methodological sources related to the topic of challenges of digital transformation, sustainability and development, the usual methods of scientific and research work were used, such as methods of analysis

and synthesis, induction and deduction, generalizations and a systemic approach to research. Scientific methods of internal research (desk research) were applied, within which available secondary sources of data and information were processed, including books in the field of digital transformation, sustainability and development, available articles, statistical publications, reports of multilateral and regional institutions, the EU, publications related to BiH, the compilation of which was made possible by bilateral institutions and research agencies, internet sources, etc.

#### 4. Sustainability (SDGS) and digital transformation

The idea of “sustainable development” was discussed by the United Nations Brundtland Commission in 1987: “Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (Brundtland, 1987). The fundamental concept of sustainability originated at the United Nations (UN) Conference on Environment and Development (UNCED) in Rio de Janeiro in 1992 (the so-called “Earth Summit”), where a Declaration of Principles and Desired Action on International Agreements on Climate Change and Biodiversity and a Declaration of Principles on Forests were presented. Subsequently, in 2002, the commitment to sustainable development was reaffirmed at the World Summit on Sustainable Development in Johannesburg, South Africa (Schlosser and Pfirman, 2012). The concept was intentionally not clearly defined to allow a way to address the very different challenges: from planning sustainable cities to sustainable livelihoods, from sustainable agriculture to smart health, and the efforts to develop common business standards in the UN Global Compact and the World Business Council for Sustainable Development (Robert, et al, 2005) The adoption of the Sustainable Development Goals (SDGs) in 2015. signaled the commitment of world leaders to a more sustainable path to inclusive and equitable growth. Also known as the 2030 Agenda, the 17 SDGs cover a wide range of development-related issues and include 169 targets and 304 indicators. Figure 4. presents an overview on the 17 SDGs (UN, 2018).

Figure 4: Overview of 17 SDGs



Source: SDG UN (2018)

Can digital innovations contribute to improve the quality of people’s lives, achieve equitable growth, and help protect the environment? Do they help drive progress toward United Nations’ recently formulated 17 Sustainable Development Goals (UN 2015)? How digital development can promote at the same time commercial growth and sustainability issues. While digitalization rapidly changes our world, politicians and diplomats of all countries have agreed on a common political understanding of the common goals in a future sustainable world. In September 2015, the UN announced the 17 Sustainable Development Goals (SDGs) as a basis for the 2030 Agenda for Sustainable Development (UN 2015). Over the coming 15 years, member countries are urged to mobilize efforts to end all forms of poverty, fight inequalities, and tackle

climate change while ensuring that no one is left behind. The UN developed the SDGs in cooperation with many stakeholders: NGOs and Foundation Representatives from Science, Politics, and Business. Although the SDGs are not legally binding, governments are expected to take ownership and establish national frameworks for the achievement of the 17 Goals.

Countries have the primary responsibility for follow-up and review of the progress made in implementing the Goals, which will require quality, accessible, and timely data collection. Regional follow-up and review will be based on national-level analyses and are urged to contribute to follow-up and review at the global level. There are high expectations regarding digital developments to contribute to the SDGs such as improving people's lives: 1.6 billion people could benefit from more accessible, affordable, and better-quality medical services through e-healthcare, while connected car solutions could save up to 720,000 lives annually and prevent up to 30 million traffic injuries. This helps ensure healthy lives and therefore could contribute to achieve SDG #3. Also, solutions for open education through the Internet are expected to increase education around the world. This could be possible contribution to SDG#4, which calls for inclusive and equitable quality education to promote lifelong learning opportunities for all. Moreover, in the environmental field it is called for a resilient infrastructure, to promote inclusive and sustainable industrialization and foster innovation. Therefore, solutions could enable greenhouse gas emissions reduction and drive market transformation for renewables, cutting carbon emissions by around 20% in 2030. A potential contribution to environmental protection is called for in SDG #13. In addition, we are facing challenges and opportunities in the markets including challenges and chances for producers, consumers, and stakeholders. Here, SDG # 9 becomes relevant: it calls for a resilient infrastructure, promotes inclusive and sustainable industrialization, and fosters innovation. Also, SDG #12 which urges to ensure sustainable consumption and production patterns is to be considered. There are a lot more expectations in what digital innovation should and can contribute to sustainable development. Despite all these optimistic viewpoints, we have to face and acknowledge several facts, laws, and regulations and other roadblocks on the way to a sustainable future matching with the UN SDGs. These are some insights into chances and possibilities in crucial areas of digital development in the context of a more sustainable world (Osburg, and Lohrmann, 2017) .

## **5. Development and digital transformation**

Development through digital transformation is a complex issue and touches on many enablers, from broadband availability to policies and sectoral e-strategies, as well as specific programs fostering digital inclusion or the development of innovative communities. Various independent research projects have been carried out by the International Telecommunication Union (ITU), United Nations (UN) agencies, and stakeholders in understanding these enablers, their impact on countries, the gaps, and opportunities. However, these studies may not reflect the inherent interdependencies among them. There is a need to provide a simple view and narrative about a country's capacity to digitally transform, and the various components contributing to this process. Digital development through digital transformation has become ever more important since the outbreak of the COVID-19 pandemic, and various UN agencies and other stakeholders have assisted countries in their respective capacities relying substantially on the digital component. Extending the availability and accessibility of products and services, and empowering citizens, workers, and students in their daily engagements and needs, during times of lockdown have become clear priorities in all countries. The ability to leverage the progress made in the digital sphere has become an important factor in determining resilience during the COVID-19 crisis and its aftermath. As the situation is developing into a new normal where "digital" is not only a solution to an emergency but a long-term investment against risk, it is necessary to unravel the various dimensions of digital development in different countries as information and communication technologies (ICTs) become increasingly important

for the achievement of the Sustainable Development Goals (SDGs) by 2030. The research has identified a three-building block framework that analyses digital transformation from a variety of perspectives, enabling an understanding of how the various dimensions of digital development interact at the country level. Below is a summary of each building block and an elaboration of how each dimension fits in the overall digital development scenario of the country. The figure on the side demonstrates a visual representation of the framework, with its building blocks and related components. It also shows Bosnia and Herzegovina's standpoint across these components.

1) Access: Robust ICT infrastructure represents a critical precondition for the transformation of a country. It provides the foundation for innovative services and economic activity to take place. With the Covid-19 pandemic, countries and communities lacking connectivity faced a greater disruption than those who did not, therefore raising the overall importance of reliable and safe infrastructure and services that are available to all. ICT infrastructure needs to be evaluated based on several aspects critical to meaningful connectivity. Government holds a central role in promoting the right strategies collaboratively across various entities. This includes setting in place the conditions for the right mix of policies and regulations to facilitate the attainment of universal and affordable connectivity, through resilient infrastructure deployments that ensure ubiquitous network coverage including "last mile" and hardest-to-connect areas.

2) Adoption: Developing digital skills and building human capacities to empower citizens, strengthen employability, and create new job opportunities is essential to match the needs of the gigabit society. At the same time, on a company inward-looking perspective, skills for digital transformation of businesses are needed to adapt to new and emerging economic models. The pandemic has exacerbated pre-existing inequalities and marginalization, especially amongst refugees, migrants, persons with disabilities, women, girls, and elderly people. While connectivity is the backbone of digital transformation, adopting a "people centric" digital transformation is vital to ensure that all members of society are not only connected but meaningfully connected and thus, fully enjoy, without discrimination, the fruit of an ever-growing digital world. To this end, special emphasis should be given to bridging the digital divide and equipping all groups of society, including groups of people with specific needs, to take advantage of ICTs, based on principles of equality, diversity and inclusion. This should be done by enabling digital skills development, but also by uplifting ICT tools and services for inclusion and accessibility purposes. This is essential to support the widest exercise of the right to participate in public affairs.

3) Value Creation: Access to government services by citizens and businesses enables productivity, transparency, and equality in digital development. Ensuring that public services are delivered digitally, in an equitable manner, is an important component of digital transformation, triggering a reduction in costs and bureaucracy, and increasing efficiency and transparency. Governments also have an important role in ensuring that public sector transformation becomes a catalyst for broader digital transformation. Most economic benefits accumulate when ICTs are also used to transform other sectors, such as agriculture or health, which are key to unlocking job creation and economic growth and inclusion. At the same time, careful attention is needed to ensure that such digital services do not become a factor of isolation by further marginalizing some communities. Beyond the digitalization of all sectors, there is a need to create an enabling environment supporting digital innovation to accelerate not only the digital economy but also the digital transformation in a country. The ability to digitally innovate domestically is also considered a sign of maturity which leverages the two building blocks access and adoption. Without entrepreneurship-driven innovations, economic opportunities remain unexplored and the global competitiveness of countries in an increasingly digital landscape is put at risk. Through strong digital innovation ecosystems, countries can benefit from increased productivity, economic growth, and employment opportunities that

catalyze digital transformation and ensure that long-term digital development has a positive impact on the country's broader economic development. The country profiles benefited from secondary research information, including various ITU publications, activities, and statistics (Bosnia and Herzegovina – Digital Development Country Profile, <https://www.itu.int>).

## **6. Challenges of digital transformation, sustainability and development in Bosnia and Herzegovina**

Bosnia and Herzegovina is an upper middle-income country in Southeast Europe with a population of 3.5 million. Accession to the European Union (EU) is an over-arching priority. Over two decades after the signing of the Dayton Peace Agreement, the EU accession is constrained by limited reform progress, frequent institutional and political deadlocks that hamper public sector performance and weaken citizens' trust in government. The Opinion on Bosnia and Herzegovina's EU membership application indicates the country needs to significantly step up its efforts to align with the EU Acquis and enforce related legislation. Authorities at all levels collaborate in the design of the 2030 Sustainable Development Goals (SDG) Framework in Bosnia and Herzegovina, which offers a unique opportunity for a common long-term sustainable development agenda. The human development and economic development trends show vulnerability. The 2018 Human Development Index is 0.769, placing the country in the high human development category. Of critical importance, the population is shrinking and ageing. Out-migration is a challenge, representing a loss of young people and skilled workers upon which future sustainable development will depend: 2 million citizens of Bosnia and Herzegovina are currently working or residing abroad<sup>1</sup> and projections suggest the population could decline below 2.3 million by 2100. Unemployment stands high at 15.7%, particularly among young people (47.3%). A large proportion of the population, especially the elderly and the socially excluded, are trapped in a hand-to-mouth existence, with some 18.9% estimated to be living below the income poverty line. Annual economic growth increased from 3.1 % to 3.5 % between 2016-2019, but in 2020 it is expected to drop because of the COVID-19 crisis. To be stronger and more competitive, the economy requires better infrastructure and better policy and investment environment for private sector growth. The economy displays high carbon and energy intensity: carbon dioxide emissions amount to 25,539 Mt CO<sub>2</sub>, with energy sector, agriculture, industrial processes and waste being the largest sources of CO<sub>2</sub> emission. High energy inefficiency contributes to high air pollution in some of the country cities. Bosnia and Herzegovina (BiH) is an institutionally very complex country, and the key economic challenge of BiH is the imbalance of its economic model: public policies are directed towards the public rather than the private sector, consumption rather than investment and imports rather than exports (UNDP, 2020).

For the first time in the WB region, the WB Digital Economy and Society Index (DESI) was calculated for the years 2021 and 2022, thus reconfirming the region's outmost efforts invested in keeping up with the digital transformation as well as monitoring developments at the economy level. DESI was introduced in the EU in 2014 and serves to monitor progress on their digital development and identify key areas that need priority policy actions. The DESI structure is periodically changed to reflect the latest technological and policy developments in the EU. In 2021, the European Commission significantly adjusted DESI to reflect two major policy initiatives that will have an impact on digital transformation in the EU over the coming years: the Recovery and Resilience Facility and the 2030 Digital Decade Compass. In total WB DESI 2022, Bosnia and Herzegovina performs below the WB average. Considering WB DESI 2022 dimensions, Bosnia and Herzegovina is approaching the WB average in Digital public services dimension, while scores for Human capital, Connectivity and Integration of digital technologies are notably below the WB average (Regional Cooperation Council, 2022).

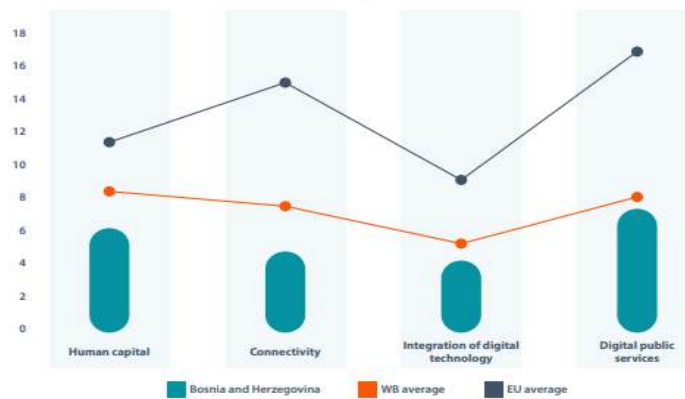


Figure 5: Total WB DESI 2022 (score 0-100), Bosnia and Herzegovina



Source: WB DESI calculation

Figure 6: WB DESI 2022 Dimensions (weighted score 0-100), Bosnia and Herzegovina



Source: WB DESI calculation

Figure 7: G5 benchmark – BiH



Source: ITU



At present, the gold standard for regulatory policy is the Fifth Generation (G5), which focuses on collaboration amongst diverse stakeholders within the ICT space and in other aspects of the national economy. Bosnia and Herzegovina is currently in a transitioning phase. The country has a score of 40.74 in the G5 benchmark in 2021, far below the latest Europe average of 69.88 in 2020. 18 From these results, Bosnia and Herzegovina has significant room for improvement, particularly when noting their scores for Pillar III (Digital Development Toolbox) and Pillar IV (Digital Economy Policy Agenda) Bosnia and Herzegovina – Digital Development Country Profile, UN&ITU 2023.

## **7. Research results and conclusion**

The applied methods of scientific research led to results, in a theoretical-methodological sense, which come down to the systematization of knowledge about digital transformation. It also led to the systematization of knowledge about the impact of digital transformation on the concept of sustainability and development. This can help develop a theoretical concept for understanding the impact of digital transformation on the concept sustainability and development, economy and society in general and in regard to Bosnia and Herzegovina. Furthermore, the research contributes to a better understanding of the causes of the digital transformation in BiH, how to measure it via DESI and other DT scoreboards. This may contribute to formulating various public policies, implementation strategies and action plans at various levels of BiH.

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## Weaponizing Information: The Power and Peril of Information Capitalism

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**Abstract:** *Information, like all things under the specter of capitalism, has experienced unprecedented growth and exploitation. Where monks would spend hundreds of hours recording a single story into written form, now billions of machines record the most intricate of details on every person with a cell phone in their pocket. This paper addresses several of the ways in which the buying and selling of personal information has become problematic. First, information capitalism, or the commodification of information, has transformed the information landscape arguably for the worse. Information has conceptually changed—from existing for the use of individuals to being about individuals. It is being sold to companies rather than shared amongst people, which has dramatically shifted the way information is created and distributed. Information about users, such as their credit histories, criminal records, genetic data, income, voter registration, etc., is being sold commercially through data brokers. Second, much of the information being sold about users is gathered through surveillance, often without the knowledge or explicit consent of those whose information is being gathered and then sold to data brokers. Third, this data, known as commercially available information (CAI) is sold to the highest bidder, often with the intent to undermine democratic processes. While it is hard to know the full extent that data on individuals has been used to influence elections, it is clear that the effect has been vast, impacting elections on all inhabited continents.*

**Keywords:** *Information, capitalism, commodification*

### 1. Introduction

In this paper, we address the ways in which information capitalism, or the buying and selling of personal information, is inherently damaging to both individuals and democratic societies as a whole. We will focus on the commodification of information and how it is used for surveillance and to threaten democracies worldwide. Information has always held value, but the sale of information has increasingly become an enormous business with global reach, as the goal of information commodification is to generate capital rather than to share a publicly available or useful good. As Ellenwood (2019) explains, “People make money by commodifying information which in turn consolidates power into elites’ hands. The political economy of information unveils who information producers are exploited for the profit of a few.” This means that information is only usable by those who can pay for it, such as data brokers or analytics providers. This market is growing larger and larger with the proliferation of generated information. For example, twelve percent of the largest transnational corporations trade in information, and these companies include data brokers, search engines, and social media companies. One of these, the publishing company Elsevier, made \$4 billion in profits in 2018 (Ellenwood 2019). Elsevier, along with fellow publishers Springer, Wiley, and Taylor and Francis are equally profitable to Pfizer, Hyundai, and the Bank of China (Lariviere et al. 2015). Google is another example: Alphabet, its parent company, made over \$97 billion in profits in 2021 (Pereira 2023).

Information companies do not sell only a visible end product, such as academic articles or ads shown in search engine results. Much of their revenue comes from selling the data they collect from end users to data brokers, who use this information and its metadata to further target potential customers as well as

for large-scale surveillance by government agencies. Originally, Google's data logs were used to enhance usability by making predictions about user behavior. These predictions were later used in targeted ads that encouraged users to shop and spend, which is what Zuboff terms the "behavioral value reinvestment cycle" (2019). This transformation turned information into something that could be commodified—that is, materials that could be bought and sold for their exchange-value. This is all part of information capitalism. More than content, information capitalism trades in what Zuboff (2019) calls "futures behavior." In other words, these products are "human futures," or products that predict human behavior and also can be used for persuasion and surveillance (Williams and Raekstad 2022; Zuboff 2019; Tufekci 2017).

As previously exemplified, when information is commodified, it goes from being purely useful to being valued at a particular price point. Zuboff notes that information must be of a wide scope and at a large scale to have significance as a form of capital, which she calls economies of scope. In other words, a wide range of types of data is necessary in information capitalism. Conversely, economies of scale or a great amount of information are also necessary for generating information capital. Zuboff (2020) states that these data points are commodified information "about us, but they are not for us."

As the price of information increases, the imperative to generate capital from it increases as well. To illustrate this point, we examine data brokering. Information sellers scrape for legally available information on users, such as warranty information, social media activity, and credit history, and then sell it to companies including Babel Street, LexisNexis, and Web of Science. These companies then provide commercially available information (known as CAI) to the Coast Guard, the Defense Intelligence Agency, and the Department of Homeland Security, among other American government entities. RELX and Thomson Reuters have contracts with Immigration and Customs Enforcement (ICE) (Cukler 2022), who buys information such as page content, search terms, browser fingerprinting, IP addresses, and user account information. Brokers thus sell information that can be used to identify an individual within minutes, including credit histories, insurance claims, criminal records, genealogy, employment history, income, newspaper subscriptions, voting registration, and even genetic data. As put by the Office of the Director of National Intelligence in a 2022 white paper, "The single most important point in our report is this: CAI is increasingly powerful for intelligence."

Such a situation only helps replicate global inequities and injustice, allowing only people and companies who can pay for big data the luxury of knowledge. For instance, RELX spent over \$2 million in lobbying in 2020 (Open Secrets n.d.). This company, which includes several scholarly giants such as Elsevier and ScienceDirect as well as data brokering services, has the resources and means to collect information on users. When data is scraped from multiple sites such as credit reporting agencies and author data such as home addresses and even Social Security numbers, RELX can aggregate the information to identify users who are unaware of this invasion of privacy. Moreover, as firms such as RELX, Babel Street, and Thomson Reuters (which runs the large academic database Westlaw) grow, information is consolidated by these firms and others like them.

This growth produces what Wichowski (2020) terms "net states," or "tech companies that act like governments." These companies, such as RELX and Amazon, accumulate firms that provide tools and services but also have domain over infrastructure (Google owns 8.5% of the world's undersea internet cables), supply chains, security, and even medical care (Wichowski 2020). The more users they have, the more information they can gather: names, phone numbers, addresses, credit histories, genetic data, license plate numbers, criminal histories, political affiliations, sexual preference, and more. As Zuboff

states, “Our lives are rendered as data flows” (2020). To extrapolate, our lives are rendered as *surveilled* data flows.

Surveillance describes an activity (or class of activities) with the purpose of extracting information from a subject or subjects with the caveat that such activity happens without said subjects’ knowledge. Historically, surveillance has been a covert operation employed by governments to spy on internal or external threats to that government, with the intent to prevent harm caused by those that are spied upon. In the mid-1900s, during the Cold War, the United States maintained extensive surveillance networks to collect data and monitor those it deemed at odds with the federal government such as the Black Panther Party, the Communist Party of the USA, and many others (FBI, n.d.). However, this surveillance was never done with the motive to extract wealth from these organizations or individuals, but with the objective of either slowing down the operations or disassembling them completely. While difficult to pin down exactly when this role was taken up by the private sector, there is no doubt that today the collection, sale, and analysis of individuals on a mass scale are what prop up some of the largest corporations on the planet.

In this modern version of surveillance, we see those same techniques of monitoring a person’s every move to drive sales—as opposed to previous iterations of surveillance where specific individuals were monitored due to suspicion, now all people are analyzed to maximize profit extraction. Within this new, encompassing model of surveillance where data takes on a role as a sales catalyst, the private lives of people have become a new mine of wealth to exploit. This exploitation marks a direct conversion of the daily lives of people into capital where the more ruthless and invasive a surveillance is, the more profitable it will become. This model of exploitation has made its way into the very purpose of the internet, shifting it from a medium by which to share research data, to chat rooms and forums, and to what is today, a shared landscape dominated a culture of broadcasting our daily lives for all to see, a “digital panopticon” (Zuboff 2019). Of course, it is not just what we share on social media— data is also collected from health apps, quizzes, surveys, cookies, search history, screen time, friends, and even word choice in online documents such as email. The whole of the online user experience is geared towards the gathering, analyzing, and selling of data collected from entire populations of people.

This new industry is incredibly profitable; just looking at just the United States, the valuation of the information technology (IT) market sits at \$1.9 trillion in GDP contribution (out of a \$5 trillion global GDP contribution) (SelectUSA, n.d.). While IT serves as an umbrella term for both software development, manufacturing, and information services (according to SelectUSA, the information services subsector employs 341,000 thousand workers), there can be no doubt that, with the rise in industry usage of artificial intelligence (AI) – particularly large language models- data collection and analysis make up a sizeable portion of that tremendous wealth. Corporations such as Microsoft benefit from deals with the US government including the \$19.4 million contract that Microsoft has with the US Immigration and Customs Enforcement (ICE) to handle data processing and AI development (Keane, 2018). LexisNexis brokered a deal with the US government (for ICE, specifically) of \$16.8 million with the purpose of providing access to an enormous dataset containing information from millions of US citizens as well as the means to analyze this data to provide ICE with unprecedented access to a wealth of knowledge.

LexisNexis and companies like it are able to purchase this data from other companies such as Microsoft, Amazon, Meta (formerly known as Facebook), X (formerly known as Twitter), and more by simply having the capital to pay for it. According to the data submitted by users to Meta through its products like Facebook or Instagram, we see that one company has access to personal information such as email



addresses, facial recognition data, location information, where a person went to school and for how long, where they eat, where they stay, who they talk to, interact with, their likes and dislikes, and even how they are feeling on a given day. This information is given up willingly and constantly to Meta, which in turn stores this data in order to deliver it to the website as well as sells it to the highest bidder (not to mention data leaks, which also occur), as we will see later in the example with Cambridge Analytica.

As surveillance becomes more widespread, organizations, governments, and individuals are fighting back. However, when suppression is the objective, the US government is able to circumvent consent under the guise of national security. The US Code around surveillance consent is purposefully vague and simply allows a government agent to buy information in order to gather data not on specific people, but on an entire population serviced by a given [internet] provider (18 USC §3121 2023). This effectively means that the US government is able to, without a court order, purchase the internet information of millions of US citizens from tech companies, often without consent from individual consumers (Office of the Director of National Intelligence 2017).

Where the domestic surveillance industry lies open to the profiteering of private industry, the US government is empowered to surveil the rest of the planet, regardless of sovereignty. While the US intelligence community is limited domestically (18 USC §3121 2023), there are no such limitations when it comes to the targeting and surveillance of individuals outside of the United States. The US government is allowed to compel communications companies to acquire foreign intelligence; effectively this is a provision to force companies to give up information on their consumers (Director of National Intelligence 2017 §702). Theoretically, these are limited to specific individuals “who are expected to possess, receive, or communicate foreign intelligence information” (Director of National Intelligence 2017), but in practice, this limitation is ultimately meaningless and effectively extends to anyone who holds a cell phone or receives an email from their government. With the United States hosting some 95 landing cables (roughly 22% of all on earth) (TeleGeography 2023), its government has unrivaled access to the wealth of information that flows across the internet. This unprecedented control of internet infrastructure has consequences for not just the control of information in the United States, but the world beyond.

Moreover, predictive policing software helps them both find people and links police departments across the US. Even more concerning is the relationship between data brokers and ICE (Morrison 2023, Biddle 2023, Funk 2019). LexisNexis, part of the RELX group, as well as CLEAR, owned by Thomson Reuters, sells data to ICE, leading directly to the detaining and deportation of people. This is perfectly legal as the data used is commercially or publicly available information (CAI or PAI).

As Funk notes,

[P]ublic records make clear that ICE, like other federal agencies, sucks up terabytes of information from hundreds of disparate computer systems, from state and local governments, from private data brokers and from social networks. It piggybacks on software and sharing agreements originally meant for criminal and counterterrorism investigators, fusing little bits of stray information together into dossiers. The work is regulated by only a set of outdated privacy laws and the limits of the technology...Targeting decisions also depend on who's findable. And today who's findable depends on who has left a trail for officers to follow: people with driver's licenses, people with car insurance, people with utility bills, people who pay U.S. taxes, people with social-media accounts, people with stable homes, people with American-born children, people who live American lives,



people who once thought — if only for a moment — that they weren't on the list.  
(2019)

Thus, we move full circle: everyone is now surveilled for profit, but once again all who are surveilled are viewed with suspicion, a potential threat to the interests of those who buy and sell our data.

Rather than conceptualizing information as a public good that should be freely shared (such as news, research, etc.), information is instead hidden behind paywalls or organizational barriers, such as those for people who are not members of a university campus community, to detrimental effect: "In a world where scholarly research is paywalled, it's free to hop on YouTube to watch white supremacists spread racist theories about IQ and race. But, to read a scholarly article refuting the racist YouTuber's baseless claims with well-researched facts, you have to pay \$37.50 to overcome Sage Publishing's paywall" (Lamdan 2023). This creates accessibility and information barriers for people unwilling or unable to pay for content behind paywalls, which is often of a higher caliber than free content. This uneven access to information has led to a siloing of viewpoints, which directly affects societies worldwide.

Finally, information capitalism is a threat to democracy. Numerous threats to democracy such as disinformation, voter purges, and misleading attack ads have long existed, but the viral nature of the internet has transformed and multiplied the ways in which democracies can be undermined. The 2018 Cambridge Analytica scandal illustrates this point when, unbeknownst to voters, Facebook shared 87 million users' CAI with that company. Facebook users were invited to take a personality quiz, *thisisyourdigitallife* (Berghel 2018), within the social media platform, which collected the test taker's data as well as their friends' data. This information, which could be disaggregated at the individual level, was then shared with Cambridge Analytica. The collected data was used to target individual Facebook users to sway their vote through targeted, personalized ads. In 2014, the company was involved in 44 US political races, providing psychographic data to campaigns to help them microtarget voters. In 2015, the Ted Cruz presidential campaign paid Cambridge Analytica over \$750,000 for this information (Sellers 2015). In addition to the Cruz campaign, the information harvested by the company was also used to schedule then-candidate Donald Trump's travel schedule, telling campaign planners where the candidate's appearance would get the most traction, based on Facebook activity. Cambridge Analytica's executives openly claimed that they were able to carry the Electoral College for Trump in 2016 by manipulating only 40,000 voters in three states (Berghel 2018). Through the buying and selling of this data, much of which was collected without user knowledge, political actors were able to identify and target swing voters with pinpoint accuracy. This singular instance has had an enormous impact on American politics since the 2016 US national election cycle.

Though Cambridge Analytica is now defunct, other companies exist worldwide that provide similar services to influence politics by targeting individuals through misleading messaging. Unsurprisingly, these companies do not operate in the open, which creates challenges to researching and reporting upon their activities. However, in 2023, a group of journalists from various news agencies conducted an undercover operation to uncover Team Jorge (Kirchgaessner, et al. 2023). Team Jorge is a consulting company run by Tal Hanan, a businessman and former Israeli special forces operative, that undermines elections using techniques like hacking accounts, spreading disinformation, and using bots and avatars. While it is unclear exactly how many election campaigns Team Jorge has interfered in (it is a company trying to make a sale, after all, and therefore might exaggerate its claims of success), they assert to have meddled in over 30 high-level campaigns globally, many successfully (Megiddo & Benjakob, 2022). While Team Jorge was successfully uncovered with coordinated efforts by journalists, this is but one of many companies providing

these services for those seeking to benefit from election meddling. Companies like Hanan's threaten democracy by providing for-hire election subterfuge through which those who are willing to play dirty and pay are able to gain political power regardless of the will of the people. It is clear that no one country or company can solve these systemic issues, nor can they be resolved in one fell swoop. However, potential solutions have been proposed. For example, in 2014 the Federal Trade Commission made a list of recommendations to increase transparency for data brokers. These recommendations included:

- Making consumers aware of data brokerage and identifying the brokers.
- Identifying what information is being used and what is inferred from it.
- Giving consumers the option to opt out and the tools to do so.
- Allowing consumers access to their personal data and the ability to correct any misinformation.
- Requiring express consent to share consumers' data with brokers.

At this point, these recommendations have not been followed on a large enough scale to be meaningful. To address this issue, laws protecting user data should be more broadly enacted and enforced worldwide.

As we have moved from information about things created by humans, to information about humans created by things, we have given up our right to privacy and our right to live freely. We have explored several examples of the dangers of information capitalism. Companies have cropped up around the commodification of information, which in turn has led to the growth of business in surveillance and subversion of democratic principles. For as long as data can be a commodity, there will continue to exist the incentive to further exploit its source— people.

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## La protection des utilisateurs de l'espace cybernétique : Le Maroc et la France comme exemples

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**Résumé :** Suite aux changements dans notre mode de vie (télétravail, téléassistance, achat en ligne,...) accentués par la pandémie de Covid-19 et par l'évolution des technologies et moyens de communications, le champ des informations numérisées ne cesse d'accroître et le volume des données transmises et stockées est en pleine expansion, de même pour le nombre des utilisateurs de l'espace cybernétique (par choix ou par obligation), corrélativement les attaques et menaces cybernétiques se sont multipliées et les risques liés à la cybersécurité se sont aggravés: aucun ne peut connaître la totalité des menaces existantes dans le cyberspace : il ne peut se passer une semaine voir un jour sans qu'une cyber attaque fait la chronique. Dès lors, la question de comment utiliser de la meilleure façon les données numériques tout en évitant la violation du respect de la vie privée par les autorités publiques se pose avec acuité. Ce papier, à travers une approche juridique et en s'appuyant sur l'étude de deux cas : la France et le Maroc, tente de savoir dans quelle mesure les législations en vigueur permettent la protection des utilisateurs de l'espace cybernétique ? L'objectif est de relever les lacunes du cadre juridique en la matière, et de chercher les alternatives qui pourront renforcer la sécurité desdits utilisateurs.

**Mot clé :** Données personnelles, protection, cybersécurité, cyberspace, données numériques, les Utilisateurs de l'espace cybernétique.

### 1. Introduction

Personne ne peut contester que nous vivons dans un monde de plus en plus numérisé et interconnecté ou les technologies et les systèmes d'informations sont omniprésents. En 2022, la pénétration de l'Internet s'est élevée à 62,5 % de la population mondiale totale (soit 4,65 milliards) et le nombre d'internautes est passé de 2,177 milliards en janvier 2012 à 4,95 milliards en janvier 2022, soit une croissance annuelle moyenne de 8,6 % pour l'ensemble de la dernière décennie, 4,62 milliards d'entre eux sont des utilisateurs de médias sociaux<sup>1</sup>. Ces chiffres n'ont pas cessé d'augmenter et ne le cesserons pas dans un future proche. En janvier 2024, 5,35 milliards personnes utilisent internet soit 66,2% de la population mondiale<sup>2</sup>.

En fait, l'internationalité et l'immatérialité du réseau des réseaux permettent de collecter (au su de la personne ou à son insu), stocker, et partager des informations ce qui augmente le flux et la mobilité des données<sup>3</sup>. Dès lors, le champ des risques engendrés par l'utilisation d'internet est vaste et de même pour les aspects de ces risques : ils sont aussi divers et personne ne peut prétendre connaître la totalité des menaces existantes dans le cyberspace : lors de chaque accès à internet, l'utilisateur laisse des traces qui peuvent être interceptées par les spécialistes (tel que l'adresses IP, la langue employée par l'internaute,

<sup>1</sup>We Are Social, digital 2022 : une nouvelle année de croissance exceptionnelle !, in <https://wearesocial.com/fr/blog/2022/01/digital-2022-une-nouvelle-annee-de-croissance-exceptionnelle/>, posté le 25-10- 2023 à 14 h10 min ; PATARD Alexandra, 30 chiffres sur l'usage d'Internet, des réseaux sociaux et du mobile en 2022, publié le 26 janvier 2022 à 20 h 42 min in <https://www.blogdumoderateur.com/30-chiffres-internet-reseaux-sociaux-mobile-2022/>, consulté le 25 octobre 2023 à 14 h 28

<sup>2</sup> Le réveil digital, Les chiffre d'internet en 2024, in <https://lereveildigital.com/les-chiffres-dinternet-en-2024>, consulté le 27 février 2024 à 23 h 57 min.

<sup>3</sup>LUCAS André, DEVEZE Jean, FRAYSSINET Jean, 2001, *Droit de l'informatique et d'Internet*, éd. PUF, Paris, p. 13

les sites web consultés.....etc.<sup>4</sup>) abstraction faite des données qu'il remplit de plein gré dans les formulaires, les applications, les plateformes).

Si, actuellement, il ne peut se passer une semaine voir un jour sans qu'une cyber-attaque fasse la chronique, le Maroc comme la France avec un taux de pénétration d'Internet respectivement de 84,1%<sup>5</sup> et 93%<sup>6</sup> de la population totale au début de 2022 ne font pas l'exception. Ce taux a atteint en fin janvier 2023 au Maroc 88,1% (soit 33,18 millions d'utilisateurs d'Internet)<sup>7</sup> et en France 92,6%<sup>8</sup>.

En 2022, chaque entreprise a subi en moyenne 1,8 cyberattaques réussies en France, soit un total de 385 000 attaques avec un coût de 2 Mds Euros<sup>9</sup>. Quant au Maroc, on note que 37,1% des utilisateurs ont été victimes de menaces en ligne<sup>10</sup> et les banques marocaines ont été les principales cibles des hackers en Afrique en 2022<sup>11</sup>.

En fait, en dépit que la France a mis en place des stratégies pour lutter contre les cyberattaques et un arsenal juridique afin de protéger les données à caractère personnelles depuis les années soixante-dix via une loi du 6 janvier 1978 modifiée à maintes reprises pour se conformer aux orientations des directives européennes en la matière et que le Maroc a instauré la loi 09-08 régissant la protection des données personnelles en 2009 et la stratégie pour lutter contre la cybercriminalité en 2020, le nombre des cyberattaques qui ont pour objectifs le vol des données (personnelles, diplomatiques, industrielles...), la destruction ou l'altération du bon fonctionnement du système d'information, a augmenté de même pour leur technicité et elles n'ont épargné et n'épargnerons aucun secteur.

Ainsi, partant du fait, que la loi suit les faits, et que cette première vient presque toujours pour combler un vide juridique, modifier ou compléter une loi qui lui préexiste ou encore pour l'abroger, d'où l'intérêt de notre étude qui s'interrogera sur la capacité des règles juridiques en vigueur à protéger les utilisateurs de l'espace cybernétique. L'objectif est de mettre à l'éclat du jour les failles de cette protection en vue d'y remédier.

Avant de le faire et afin de mieux saisir notre sujet, il nous appartient de clarifier certains termes notamment : la cybersécurité, les données à caractère personnel et le traitement des données.

La cybersécurité : il s'agit d'un « état recherché pour un système d'information lui permettant de résister à des événements issus du cyberspace susceptibles de compromettre la disponibilité, l'intégrité ou la

<sup>4</sup>ELLOUMI Abderraouf, 2017, La protection des données à caractère personnel sur internet, *RMALD*, N°132, janvier-février 2017, pp.28-29

<sup>5</sup>KEMP Simon, Rapport digital 2022 Maroc tendances numérique, in [https://www.niemeconseil.ma/rapport-digital-2022-maroc/#:~:text=Le%20taux%20de%20p%C3%A9n%C3%A9tration%20\(%25\)%20entre%202021%20et%202022](https://www.niemeconseil.ma/rapport-digital-2022-maroc/#:~:text=Le%20taux%20de%20p%C3%A9n%C3%A9tration%20(%25)%20entre%202021%20et%202022). Consulté le 26 octobre 2023 à 15h 49 ;

<sup>6</sup> KEMP Simon, DIGITAL 2022 : France, posté le 9 février 2022

<sup>7</sup> KEMP Simon, DIGITAL 2023 : Maroc, in <https://datareportal.com/reports/digital-2023-Maroc>, posté le 09-02-2024

<sup>8</sup> KEMP Simon, DIGITAL 2023 : France, in <https://datareportal.com/reports/digital-2023-france>, posté le 09-02-2024

<sup>9</sup>Asterès, Les cyberattaques réussies en France : un coût de 2 Mds € en 2022, juin 2023, p. 2, in <https://asteres.fr/etude/les-cyberattaques-reussies-en-france-un-cout-de-2-mdse-en-2022/>, consulté le 27-10-2023 à 00 h 55 min

<sup>10</sup>Cybersécurité : 37,1% des utilisateurs marocains ont été victimes de menaces en ligne en 2022, selon Kaspersky, posté le 28/11/2022 à 14 h 30 <https://fr.le360.ma/societe/cybersecurite-371-des-utilisateurs-marocains-ont-ete-victimes-de-menaces-en-ligne-en-2022-selon-271229/>, consulté le 28 octobre 2023 à 22 h

<sup>11</sup>SEMBENE Elimane, Le Maroc, pays le plus touché par les cyberattaques contre les banques en Afrique, selon Interpol, posté le 17/04/2023 à 16h 44 min in [https://fr.le360.ma/economie/le-maroc-pays-le-plus-touche-par-les-cyberattaques-contre-les-banques-en-afrique-selon-interpol\\_7QEYOYLNHBDCDLFFMYIC25FA3SA/](https://fr.le360.ma/economie/le-maroc-pays-le-plus-touche-par-les-cyberattaques-contre-les-banques-en-afrique-selon-interpol_7QEYOYLNHBDCDLFFMYIC25FA3SA/), consulté le 29 octobre 2023 à 20 h 31



*confidentialité des données stockées, traitées ou transmises, et des services connexes que ces systèmes offrent ou qu'ils rendent accessibles»<sup>12</sup>.*

Les données à caractère personnel : sont définies à l'article 1 al. 1 de la loi 09-08 relatif à la protection des données à caractère personnel et l'article comme « *toute information, de quelque nature qu'elle soit et indépendamment de son support, y compris le son et l'image, concernant une personne physique identifiée ou identifiable* » et à l'article 4 du RGPD comme « *toute information se rapportant à une personne physique identifiée ou identifiable* ».

Le traitement des données : D'après l'article 4 du RGPD et l'article 1 al.2 de la loi 09-08 relatif à la protection des données à caractère personnel un traitement de donnée est « *toute opération ou tout ensemble d'opérations effectuées ou non à l'aide de procédés automatisés et appliquées à des données ou des ensembles de données à caractère personnel, telles que la collecte, l'enregistrement, l'organisation, la structuration, la conservation, l'adaptation ou la modification, l'extraction, la consultation, l'utilisation, la communication par transmission, la diffusion ou toute autre forme de mise à disposition, le rapprochement ou l'interconnexion, la limitation, l'effacement ou la destruction*».

Problématique de recherche : Dans ce travail de recherche, il sera question de savoir dans quelle mesure les législations en vigueur permettent la protection des utilisateurs de l'espace cybernétique au Maroc et en France ?

## **2. Méthodologie de recherche :**

A travers une approche juridique, nous nous attèlerons à analyser les différents textes juridiques portant sur la question de la protection des données à caractère personnelles au Maroc et en France ce qui permettra non seulement de relever les avancées et les limites des textes en vigueur tant sur le plan normatif que sur le plan opérationnel, mais surtout de chercher des alternatives permettant l'amélioration des conditions juridiques des personnes en la matière.

En outre, le recours à l'analyse comparative comme outil dans cette recherche de nature documentaire nous permettra d'analyser les différentes dimensions de la question de la protection des utilisateurs de l'espace cybernétique dans les pays objet de l'étude (le Maroc et la France) dont le choix n'est pas le fruit du hasard : ces deux pays situés dans deux continents (l'un considéré comme le berceau de la démocratie et l'autre comme le continent le plus riche en terme de ressources) et reflétant deux traditions culturelles et juridiques dissemblables et dont l'un s'est inspiré de l'autre pour élaborer son arsenal juridique en la matière, sont tous les deux membres à plusieurs Conventions et Protocoles internationaux en rapport avec la protection des données personnelles. Les deux pays coordonnent et collaborent en la matière et s'entraident juridiquement malgré la persistance de certaines dissemblances particulièrement en termes de mise en œuvre des réglementations continentales en la matière et le classement du l'un parmi les 10 premiers pays et l'autre au 50 range dans le rapport sur l'indice mondial de cybersécurité de l'année 2020, nous incite à s'interroger sur le pourquoi des choses.

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<sup>12</sup>BOYER Bertrand, 2015, Dictionnaire de cybersécurité et des réseaux, Nuvis, Paris, p. 101.



### **3. Structure de l'article :**

Le présent article est structuré en deux parties : dans la première Partie, il sera question d'analyser la question de la protection des utilisateurs de l'espace cybernétique au Maroc et en France, pour relever dans la deuxième Partie les failles de cette protection afin de les surmonter.

#### **3.1 La protection des utilisateurs de l'espace cybernétique au Maroc et en France**

La protection contre toute cyber-attaque ayant pour objectif de nuire aux personnes physiques et morales utilisateurs de l'espace cybernétique exige d'avoir d'une part un arsenal juridique qui protège les usagers, les réseaux informatiques et les réseaux télécoms et d'autre part de prévoir des mécanismes destinés à les mettre en œuvre. Ainsi, il sera question de s'interroger sur la protection octroyée aux personnes relevant des pays objet de l'étude lors du traitement des données à caractère personnelles et contre les cyberattaques (3.2) et sur la mise en œuvre de cette protection (3.3).

#### **3.2 Un cadre juridique théoriquement parfait**

Le Maroc comme la France a mis en place un dispositif juridique pour protéger les utilisateurs de l'espace cybernétique composé d'un ensemble complexe de textes divers, de nature à la fois légale et réglementaire afin de lutter contre les atteintes aux données personnelles susceptibles de résulter du développement des systèmes informatiques. C'est ainsi qu'il a mis à jour des textes de lois notamment la loi n°07-03 complétant le code pénal en ce qui concerne les infractions relatives aux systèmes de traitement automatisé des données et la loi n°34-05 modifiant et complétant la loi n°2.00 relatives aux droits d'auteur et droits voisins. Il a également mis en place de nouveaux décrets et lois relatifs à la réglementation numérique tel le cas de la loi n°53- 05 relative à l'échange électronique de données juridiques, la loi n° 09-08 relative au traitement automatisé des données personnelles, et le Décret n°02-09-165 du 25 Joumada I 1430 pris pour son application.

En outre, la Constitution Marocaine de 2011, via l'art. 24 al.1, protège la vie privée de chaque individu et corrélativement ses données personnelles. Depuis d'autre textes ont vu le jour en la matière et en 2020, le pays a profondément renforcé et actualisé son arsenal juridique en matière de cybersécurité par la mise en place de la loi n° 05-20 relative à la cybersécurité en juillet 2020 et le décret n° 2-21-406 pris pour son application. De plus , le Maroc a ratifié des Conventions et Protocoles internationaux en la matière, je cite à titre d'exemple la Convention de Budapest relative à la cybercriminalité et ses Protocoles additionnels, la Convention pour la protection des personnes à l'égard du traitement automatisé des données à caractère personnel dite Convention 108 et son Protocole additionnel et la Convention Arabe relative à la lutte contre la cybercriminalité sans oublier les conventions bilatérales auxquelles le Maroc fait Partie.

Quant à la France, la protection des données à caractère personnel est un droit fondamental consacré à l'article 8 para.1 de la Charte des droits fondamentaux de l'Union Européenne et à l'article 16, para 1, du traité sur le fonctionnement de l'UE. Elle est encadrée par la loi 78-17 du 6 janvier 1978 relative à l'informatique, aux fichiers et aux libertés, harmonisée par la directive 95/46/CE de 1995, abrogée et remplacée à partir du 25 mai 2018 par le règlement européen 2016/679 du 27 avril 2016 (Règlement général sur la protection des données ou RGPD). Et afin de protéger les utilisateurs à l'ère de l'accentuation de la numérisation, la France comme le Maroc a développé son arsenal juridique pour toucher plusieurs niveaux (je cite à titre d'exemple la loi n° 88-19 du 5 janvier 1988 relative à la fraude informatique, la loi n° 2001-1062 du 15 novembre 2001 relative à la sécurité quotidienne, la loi n° 2003-329 du 18 mars 2003 pour la sécurité, la loi n° 2004- 204 du 9 mars 2004 portant adaptation de la justice aux évolutions de la

criminalité ...) et elle a également ratifié comme lui la Convention de Budapest et ses Protocoles additionnels et la Convention 108 et son Protocole additionnel.

En effet, l'analyse des deux cadres juridiques révèle que les utilisateurs jouissent de plusieurs droits notamment :

- Le droit à l'information sur : le traitement, l'identité de son responsable, la nature des données collectées, leur durée de conservation et leur éventuel transfert hors du pays ou de l'Union européenne ;
- Le droit d'accès à ces propres données ;
- Le droit de les rectifier ;
- Le droit à l'oubli ;
- Le droit à la limitation du traitement ;
- Le droit à la probabilité des données ;
- Et le droit d'opposition.

Parallèlement, certaines obligations sont imposées aux organismes traitant les données notamment le principe d'auto-responsabilisé, d'information, de minimisation, de conservation limitée, de confidentialité dès la conception et par défaut, de licéité et de nomination d'un data protection officer et des règlements ont été instauré.

En fait, la violation des droits et obligations susmentionnés donne lieu à des sanctions assortie de voie de recours.

Afin de mettre ces textes règlementant l'utilisation de l'espace cybernétique dans les deux pays, des stratégies ont été adopté et des organismes ont été mise en place.

### **3.3 Des garanties institutionnelles et organisationnelles**

Au Maroc comme à la France, la mise en œuvre de l'arsenal juridique susmentionné et des stratégies nationales régissant le domaine est assurée par un certain nombre d'organismes nouvellement créés ou par des organismes dont la tâche leurs a été attribuée en plus de leurs fonctions principales : A ce titre, par la loi 09-08 du 18 février 2009, le Maroc a instauré la Commission nationale pour le contrôle de la protection des données personnelles (CNDP) qui a pour prérogative générale de mettre en œuvre et de veiller au respect des textes de références en matière de protection des données à caractère personnel. En 2011, le pays a créé des entités chargées de mettre en place tout un arsenal juridico-technique, pour assurer la sécurité des systèmes d'information nous citons notamment la Direction Générale de la Sécurité des Systèmes d'Information (DGSSI). Une année plus tard, il s'est doté d'une Stratégie Nationale de Cybersécurité et d'une Directive Nationale de la Sécurité des Systèmes d'Information. En 2014, via le décret n°2-13-881, les activités ayant une relation avec la cryptographie ont passé sous les auspices de la DGSSI. Il faut noter également que le Maroc dispose également du centre marocain d'alerte et de gestion des incidents informatiques (MA-CERT) relevant de la direction de la défense nationale, des laboratoires régionaux d'analyse de traces numériques et anti-cybercriminalité, relevant de la direction générale de la sûreté nationale (DGSN), sans oublier le rôle de l'Agence Nationale de Réglementation des Télécommunications (ANRT). De plus, le décret n° 2-21-406 pris pour application de la loi n° 05-20 a mise en place le Comité Stratégique de Cybersécurité qui vient remplacée le CSSSI et l'Autorité Nationale de la Cybersécurité et le Comité de gestion des crises et évènements cybernétiques majeurs ont été fixé. Ces organismes ouvrent ensemble pour mieux protéger les utilisateurs de l'espace cybernétique.

Quant à la France, elle a créé l'Agence Nationale de Sécurité des Systèmes d'information (ANSSI) en 2009 : l'autorité nationale en matière de cybersécurité chargée de la prévention et de la réaction aux incidents informatiques visant les institutions sensibles. En 2015, la France s'est dotée d'une Stratégie nationale pour la sécurité du numérique. Quant aux autres acteurs impliqués dans cette protection, je cite bien évidemment le ministère des Armées qui a pour mission d'assurer la protection des réseaux qui sous-tendent son action et d'intégrer le combat numérique au cœur des opérations militaires (En 2017 un commandement de cyberdéfense a été créé). Le ministère de l'Intérieur a également pour mission de lutter contre toutes les formes de cybercriminalité quel que soit son objectif. En ce qui concerne le contrôle de l'application de la législation relative à la protection des données en France, il est assuré par la Commission nationale Informatique et libertés (CNIL) qui est dotée de pouvoirs d'enquête et elle peut imposer des mesures correctrices, en cas d'infraction. Elle fournit également des conseils d'experts sur les questions en rapport avec la protection des données et traite les réclamations introduites relatives à des violations du RGDP à côté de ses autres missions prévues à l'article 57 de ce règlement.

Au niveau de l'Union Européen, le Comité européen de la protection des données (EDPB) assure l'application des législations en matière de protection des données systématique du RGDP et la coopération entre les autorités de protection des données (APD) au sein de l'UE.

#### **4. Une protection limitée des utilisateurs de l'espace cybernétique**

En dépit de tous les textes juridiques susmentionnés, la protection effective des utilisateurs représente toujours un défi pour les deux pays. Ainsi, il sera question ici de s'arrêter sur certaines lacunes en la matière (4.1) et de relever certaines mesures qui peuvent renforcer la protection des utilisateurs de l'espace cybernétique (4.2).

##### **4.1 Un cadre juridique insuffisant**

De point de vue réglementaire, le droit à la protection des données à caractère personnel n'est pas un droit absolu, dès lors, les droits des utilisateurs et les obligations du responsable du traitement ou le sous-traitant auquel ils sont soumis peuvent être limités pour des motifs bien précis (nous citons à titre d'exemple : la sécurité nationale, la défense nationale, la sécurité publique) et ce dans le respect du principe de la nécessité et du principe de la proportionnée, d'autant plus que la qualification des situations nécessitant le recours aux dites limitations relève de la compétence exclusive des autorités nationales. De plus, tout Etat hébergeant des données personnelles peut leur y accéder si sa sécurité est mise en jeu, et même il peut exiger aux sociétés y siégeant et travaillant à n'importe quel autre territoire de lui fournir des informations y compris les données personnelles.

Il est important de souligner que la cybercriminalité évolue au même rythme de l'évolution des technologies de l'information et de la communication (TIC), tandis que le cadre juridique prend énormément de temps, d'abord pour la discussion et le vote de lois, en suite pour leurs mises en œuvre (le décalage existe également entre la promulgation d'une loi et sa mise en application). Ainsi, à titre d'exemple le rôle du code pénal se trouve limité suite à la difficulté de justifier certains crimes, de justifier l'intention criminelle, d'identifier les auteurs, le droit applicable, la localisation de l'infraction et de poursuivre les infractions commises par Internet<sup>13</sup>. D'autant plus que la question des compétences des juges en droit de l'informatique et de l'internet n'est pas encore résolue dans la plupart des pays.

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<sup>13</sup> ROUMATE Fatima, Les mécanismes légaux de lutte contre la cybercriminalité au Maroc, *comjunifié*, p.90, in <https://revistas.unife.edu.pe/index.php/comunife/article/download/2207/2285/6847>, consulté le 29 octobre 2023 à 14 h 56 min

De point de vue mise en œuvre de cette protection, en dépit de tous les textes juridiques portant sur la cybersécurité et du classement du Maroc à la 50<sup>-ème</sup> place mondiale sur 194 et au 7<sup>-ème</sup> des pays Arabes pour l'indice mondial de cybersécurité de l'année 2020 (loin du classement de la France qui occupe le 9<sup>-ème</sup> rang mondiale et le 5<sup>ème</sup> rang européen avec une note de 20 pour les mesures juridiques), la question objet de l'étude présente toujours des défis particulièrement en ce qui concerne la coordination et la coopération nous citons à titre d'exemple : si le Maroc fait partie la convention 108 et de la convention de Budapest (dont nombreux sont les signataires qui ont émis des réserves sur les demandes d'exécution de commission rogatoire, si la condition de double incrimination n'était pas remplie ce qui permet aux cybercriminels d'échapper à la justice), il n'a pas encore ratifié la Convention de l'Union africaine sur la cybersécurité en Afrique. De plus, pour les infractions impliquant des preuves numériques, si des mécanismes ont été établis pour faciliter l'accès aux données pour les services de détection et de répression tel que les points de contact joignables 24 heures sur 24 pendant les enquêtes, l'accès transfrontière à des données stockées, avec consentement ou lorsqu'elles sont accessibles au public et les demandes urgentes d'entraide, leurs effectivités restent tributaires de la coopération des Etats.

#### **4.2 Vers une protection meilleure des utilisateurs**

La nature planétaire d'internet fait que les cyberattaques peuvent être commises de n'importe où et produire leurs effets dans un quelconque autre pays à l'égard de n'importe qui. Une nature qui complique d'avantage les enquêtes et les poursuites judiciaires et rend difficile le repérage des assaillants assez rusés pour dissimuler leurs localisations, dès lors la meilleure façon pour se prémunir de ces attaques passe d'abord par la sensibilisation des utilisateurs sur leurs droits et obligations et sur les bonnes pratiques et la formation et la formation continue des responsables et des futures responsables de la sécurité des systèmes d'information de cybersécurité. Ainsi, le Maroc et la France ont mis en place au niveau des Universités et des Écoles d'ingénieurs des cursus de formation d'ingénieurs et de masters voir même au niveau de la licence et ils ont noué des partenariats en la matière, ensuite ils font l'usage des moyens techniques appropriés (telle que le chiffrement, les mises à jour des niveaux de sécurité des systèmes et applications...).

Sans omettre que la question des ressources financières et humaines (en termes de qualification et de compétences) constitue un autre défi à relever par les autorités chargées de l'application de la stratégie nationale de cybersécurité et ceux chargés du contrôle du respect et de la mise en application des textes juridiques régissant la protection de données personnelles non seulement au Maroc mais également en France.

#### **5. Conclusion**

La protection des utilisateurs de l'espace cybernétique nécessite entre autres l'harmonisation des législations et un contrôle unifié qui couvre toutes les exigences applicables en la matière afin de contrecarrer tous usages abusifs des données à caractère personnel voir les prévenir même si cela s'annonce difficile à réaliser. En outre, l'adoption des Conventions internationales portant sur la cybersécurité et sur la protection des données à caractère personnel (à défaut la ratification des conventions 108 et Budapest) et l'instauration des infrastructures universelles chargées de contrôler leurs applications et l'intégration de la société civile dans le processus de formation, d'information et de sensibilisation en la matière ne peut que renforcer la protection des utilisateurs de l'espace cybernétique dans un environnement numérique en constante évolution. Ce renforcement sera consolidé par la révision et la mise à jour régulière des lois et réglementations en la matière afin de tenir compte des avancées technologiques et des défis émergents. Il est important également de relever qu'à côté de la sensibilisation, la coordination

entre les acteurs impliqués dans la protection des données personnelles a (à tous ses niveaux : national, régional et international) reste l'un des aspects critiques à améliorer afin de solidifier cette protection. En outre, s'inspirer des mesures prises en la matière par des Etats ayant réalisé une évolution remarquable en la matière tel que l'Arabie Saoudite (classé 2eme après USA dans le rapport sur l'indice mondial de cybersécurité de l'année 2020) permettra au pire des cas aux deux Pays de revoir leur manière de procéder et de connaître les lacunes à surmonter.

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## Ethics and Governance of Artificial Intelligence in the National Innovation System: Challenges and Solutions

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**Abstract:** *In this paper, the profound impact of artificial intelligence (AI) on a nation's innovation system is explored. The introduction highlights innovation as the bedrock of global competitiveness and societal progress and emphasizes the disruptive potential of AI across various sectors. This technological revolution brings forth ethical, regulatory, and societal challenges, prompting a critical examination of how to ensure ethical AI use, safeguard privacy, and promote inclusive innovation. The article's core comprises two sections: Ethical Challenges delves into data privacy, algorithmic discrimination, accountability, public trust, and innovation impact, underscoring the need for thoughtful resolution. Proposed Solutions outlines potential remedies, including regulatory frameworks, industry self-regulation, algorithm transparency, stakeholder engagement, and interdisciplinary dialogue. The conclusion emphasizes the essential role of reconciling technological advancement with ethical considerations, foreseeing the evolution of AI governance and international collaboration in shaping an AI-driven future that benefits society at large.*

**Keywords:** *Innovation, artificial intelligence, public policy, national innovation system*

### 1. Introduction

Innovation is the fundamental pillar upon which global competitiveness, economic progress, and the well-being of modern societies rely. A country's national innovation system is the backbone that facilitates and supports research, development, diffusion, and application of new knowledge and technologies. However, the advent of artificial intelligence (AI) has profoundly disrupted this dynamic. AI, encompassing technologies such as machine learning, computer vision, natural language processing, and more, has the potential to radically transform how we innovate and create value.

At the heart of this transformation lies AI's ability to process vast amounts of data, uncover hidden trends, automate complex tasks, and enhance decision-making. This has profound implications for research, product development, services, resource management, healthcare, education, industry, and many other sectors. Consequently, it is imperative to closely examine the impact of AI on the evolution of the national innovation system.

However, this technological revolution does not come without posing fundamental questions. Ethical, regulatory, and societal challenges are multiplying as AI expands into the innovation landscape. How can we ensure that AI is used ethically and responsibly? How can we protect individuals' privacy while reaping the benefits of AI? How can we create an environment conducive to innovation and competitiveness while ensuring that technological advancements benefit all?

To address these questions, our inquiry is based on the overarching hypothesis that artificial intelligence (AI) has a profound and indisputable impact on the evolution of the national innovation system.



In the following, we delve into the multifaceted realm of ethical challenges within artificial intelligence (AI). These challenges encompass a range of critical aspects, including data privacy, which revolves around preserving individuals' personal information and the ethical use of data in AI systems. Algorithmic discrimination emerges as a significant concern, focusing on how AI inadvertently perpetuates biases and discriminatory practices, particularly affecting marginalized groups. Accountability for automated decisions is a vital consideration, particularly in fields like healthcare, finance, and justice, where AI's decisions can have substantial societal impacts. Furthermore, we explore how these ethical challenges directly influence public trust in AI and its widespread adoption. These challenges extend their influence beyond societal concerns and can affect innovation itself. To address these issues thoughtfully and proactively, we propose a range of solutions, including the establishment of regulation and legal frameworks to set ethical standards for AI usage and industry self-regulation through the adoption of ethical codes and independent audits. Algorithm transparency is essential to enhance the comprehensibility of AI decisions, and stakeholder engagement plays a central role in crafting relevant ethical policies. Lastly, interdisciplinary dialogue among AI experts, ethicists, legal professionals, social scientists, and other stakeholders is crucial to develop balanced and sustainable solutions for these intricate ethical challenges.

## **2. Methodological approach**

In this context, this article constitutes an analytical study aimed at examining and synthesizing relevant research, literature, and documents dealing with the ethics and governance of artificial intelligence to ensure a successful integration of this technology into the national innovation system.

In navigating the ethical and governance challenges of artificial intelligence (AI) within the framework of the National Innovation System, it's imperative to integrate diverse theoretical perspectives, such as utilitarianism, deontological ethics, virtue ethics, and rights-based ethics. These frameworks inform the development of regulatory measures and ethical guidelines aimed at ensuring accountability, transparency, fairness, privacy, and security in AI systems. Solutions encompass the establishment of robust regulatory frameworks, stakeholder engagement, technical standards, education initiatives, and ethical AI design principles. Central to this approach is the seamless integration of AI governance within the broader National Innovation System, fostering collaboration between government, industry, academia, and civil society to promote responsible AI innovation that aligns with societal values and priorities, thus advancing the collective well-being and prosperity.

## **3. Ethical Challenges**

The Ethical Challenges section of this paper delves deeply into the complex and specific ethical issues arising from the integration of artificial intelligence (AI) into the national innovation system. These ethical challenges are of crucial importance as they touch upon fundamental aspects of society, public trust, and the ability to fully harness the potential of AI for innovation.

### **3.1 Data Privacy**

One of the major ethical challenges associated with AI is data privacy. With AI, vast amounts of personal and sensitive data are collected, processed, and used to train models and make decisions. It is essential to examine how this data is collected, stored, and shared while preserving individuals' privacy.

### **3.2 Algorithmic Discrimination**

Algorithmic discrimination is a significant ethical challenge in AI systems. These systems can unintentionally perpetuate biases and discriminations present in the training data, leading to unfair

consequences for marginalized groups. Mechanisms need to be developed to detect, mitigate, and prevent such discriminations (Yan, et al., 2021; Andreas, et al., 2021; Amir-Hosseini, et al., 2020).

### **3.3 Accountability for Automated Decisions**

Decisions made by AI systems can have significant impacts, especially in fields such as healthcare, finance, or justice. The challenge lies in determining accountability in cases of erroneous or harmful automated decisions. It is necessary to clarify legal and ethical mechanisms, as well as establish standards to ensure that AI systems are used responsibly and transparently.

### **3.4 Impact on Public Trust**

Ethical challenges in AI have a direct impact on public trust and the adoption of this technology. If people perceive AI to be used irresponsibly or unfairly, it can lead to widespread distrust, hindering its acceptance and adoption (Liming, et al., 2021; Ramya & Devi, 2021; Abhishek, et al. 2020)

### **3.5 Effect on Innovation**

The ethical challenges of AI are not merely social issues; they can also influence innovation itself. Regulatory constraints, ethical concerns, and legal risks can hamper the research and development of innovative AI applications. However, proper management of these challenges can also stimulate innovation by creating a trustful environment conducive to experimentation and creation.

In sum, this section explores the nuances and profound implications of ethical issues related to AI in the national innovation system. It underscores the complexity of these issues and highlights the need to address these challenges thoughtfully and proactively to ensure that AI benefits both innovation and society as a whole.

## **4. Proposed Solutions**

The solutions presented in this paper focus on addressing the ethical challenges associated with artificial intelligence (AI) in the national innovation system. They aim to present a range of potential solutions and underscore the importance of stakeholder engagement to ensure responsible integration of AI.

### **4.1 Regulation and Legal Frameworks**

One approach to address the ethical challenges associated with AI is the establishment of appropriate regulations and legal frameworks. These regulations can help establish minimum standards for the use of AI, ensuring a consistent level of ethical protection (Olya, 2021). This may involve the development of specific laws related to AI, data privacy protection, accountability for automated decisions, and prevention of algorithmic discrimination (Maria, et al., 2021). By implementing regulations, it is possible to mitigate the potential risks and negative impacts of AI systems, such as privacy invasion, information asymmetry, opacity, and discrimination (Bruno, et al. 2021). The General Data Protection Regulation (GDPR) provides a framework for addressing data subject's consent, data protection principles, and data subject's rights in the context of 'privacy by design' architecture (Merve, 2021). It is crucial to engage multi-disciplinary teams of researchers, practitioners, policy makers, and citizens to co-develop and evaluate algorithmic decision-making processes that maximize fairness, accountability, and transparency while respecting privacy (Angela, 2021).

On the other side, we discover that the implementation of regulations and legal frameworks to address ethical challenges associated with AI presents several potential challenges. Firstly, the rapidly evolving nature of AI technology may outpace the development of regulatory measures, leading to outdated or inadequate regulations. Additionally, the global nature of AI development and deployment complicates the harmonization of regulations across jurisdictions, potentially resulting in inconsistencies and

loopholes. Moreover, the complex and interdisciplinary nature of AI requires collaboration among diverse stakeholders, which may be challenging to coordinate effectively. Furthermore, regulatory compliance can impose burdensome costs and administrative burdens, particularly for smaller organizations and startups. To overcome these challenges, strategies such as agile regulatory approaches that can adapt to technological advancements, international collaboration to develop common standards and frameworks, and the establishment of regulatory sandboxes or pilot programs to test and refine regulations in real-world settings can be employed. Additionally, fostering open dialogue and engagement with stakeholders, including industry experts, policymakers, researchers, and civil society, can help ensure that regulations are informed by a wide range of perspectives and are perceived as legitimate and effective. Moreover, providing resources and support for compliance, particularly for small and medium-sized enterprises, can facilitate the adoption of regulatory requirements while minimizing the burden on businesses. Overall, a flexible, collaborative, and inclusive approach to regulatory development and implementation is essential to effectively address the ethical challenges of AI while promoting innovation and societal well-being.

#### **4.2 Industry Self-Regulation**

The AI industry can play a pivotal role in self-regulation by adopting ethical codes of conduct and best practices to ensure transparency, non-discrimination, and accountability in the development and use of AI (Giada, et al., 2023). This can be reinforced through independent audit initiatives and ethical certification for AI systems (Marcus, et al., 2023). Companies can also leverage collaborative governance tools to shape a positive evolution of AI, taking into account technical capabilities, societal impact, and relevant regulations (Labhaisie, et al., 2023). Additionally, the industry can benefit from collaborations with regulators to refine responsible AI principles and gain insights on the need for specific regulations (Aidan & Strait, 2023). To ensure compliance and ongoing monitoring, the incorporation of explainable AI (XAI) into regulatory systems is being explored, with the proposal of introducing a statutory profession framework for AI Architects (AIA) (Xudong, et al., 2023). However, there are challenges in implementing participatory approaches in commercial AI labs, including resource constraints, concerns about exploitation, and lack of clear context. Overall, a combination of self-regulation, collaboration, and technical innovation is necessary to effectively regulate AI systems.

Alternatively, we find that implementing industry self-regulation in the AI sector faces several potential challenges. Firstly, ensuring universal adoption and adherence to ethical codes of conduct and best practices among AI companies may be hindered by varying levels of commitment and resources, especially for smaller or less established firms. Additionally, maintaining the credibility and impartiality of independent audit initiatives and ethical certification programs is essential but may be compromised by perceptions of industry influence. Collaboration with regulators may encounter obstacles such as differing priorities and conflicts of interest. Moreover, incorporating explainable AI (XAI) into regulatory systems requires overcoming technical hurdles and ensuring alignment with existing frameworks. Strategies to address these challenges include providing incentives for ethical practices, fostering industry-wide collaboration and transparency, enhancing accountability in audit processes, and promoting greater awareness of ethical considerations among industry professionals. Moreover, developing standardized approaches to XAI and establishing clear guidelines for collaboration with regulators can facilitate effective self-regulation. Overall, a multifaceted approach that combines industry initiative, collaboration, and technical innovation is crucial for ensuring the responsible development and use of AI technologies.

#### **4.3 Algorithm Transparency**

Algorithm transparency is a fundamental aspect of addressing the ethical challenges posed by AI. AI developers must explicitly account for the principles on which algorithms are based and how they make

decisions. Exploring methods to make algorithms more understandable and explainable is an active area of research.

In another light, we discover that implementing algorithm transparency to address ethical challenges posed by AI presents several potential challenges. Firstly, achieving comprehensive transparency requires disclosing complex algorithms and decision-making processes, which may be difficult for proprietary or commercially sensitive systems. Additionally, ensuring transparency without compromising intellectual property rights or trade secrets poses a delicate balance. Furthermore, the technical complexity of AI algorithms may limit the comprehensibility of explanations for non-expert stakeholders, potentially leading to misunderstandings or misinterpretations. Moreover, maintaining transparency over time as algorithms evolve or are updated presents ongoing challenges. Strategies to overcome these challenges include promoting industry-wide standards for algorithm transparency, encouraging collaboration between AI developers and external stakeholders to improve explainability, and developing user-friendly interfaces or tools to facilitate understanding of algorithmic decisions. Additionally, establishing regulatory guidelines or certification processes that incentivize transparency while protecting intellectual property rights can foster responsible AI development. Overall, fostering a culture of transparency and accountability in AI development, coupled with technical innovations and regulatory frameworks, is essential for addressing ethical concerns and building trust in AI technologies.

#### **4.4 Stakeholder Engagement**

Active and continuous engagement of stakeholders is crucial in addressing the ethical challenges of AI. Governments, businesses, universities, civil society, and the general public need to participate in discussions, debates, and collaboration to develop relevant ethical policies, standards, and guidelines (Zouhaier & Beatriz, 2023; Alessandra & Dimitris, 2023; Mohd & Shadiya, 2023). This inclusive approach ensures that diverse perspectives are considered and that the potential societal impacts of AI systems are thoroughly examined (Dayoung, et al., 2023). By involving various stakeholders, a more comprehensive understanding of the ethical implications of AI can be achieved, leading to the development of responsible and accountable AI systems (Conrad, et al., 2023). Additionally, this collaborative effort can help bridge the gap between high-level ethical principles and practical techniques for designing and developing responsible AI systems. Overall, the active engagement of stakeholders is essential for fostering ethical AI practices and ensuring that AI technologies are deployed in a manner that aligns with societal values and goals.

Upon closer examination, we discover that implementing effective stakeholder engagement in addressing the ethical challenges of AI poses several potential challenges. Firstly, achieving meaningful participation and representation from diverse stakeholder groups may be difficult, especially if certain voices are marginalized or underrepresented. Additionally, coordinating and managing stakeholder involvement in discussions, debates, and collaboration efforts requires careful planning and resources. Moreover, balancing the interests and priorities of different stakeholders, which may vary widely, can present challenges in reaching consensus on ethical policies and guidelines. Furthermore, ensuring sustained engagement over time and across different stages of AI development and deployment requires ongoing commitment and investment. Strategies to overcome these challenges include adopting inclusive and participatory approaches to stakeholder engagement, leveraging technology to facilitate communication and collaboration, providing resources and support for stakeholder involvement, and fostering transparency and accountability in decision-making processes. Additionally, building trust and credibility among stakeholders through open and honest communication, respecting diverse perspectives, and demonstrating a commitment to addressing concerns and incorporating feedback can enhance the

effectiveness of stakeholder engagement efforts. Overall, recognizing the importance of stakeholder engagement and implementing strategies to overcome challenges can help foster ethical AI practices and ensure that AI technologies are deployed in a manner that aligns with societal values and goals.

#### **4.5 Interdisciplinary Dialogue**

Interdisciplinary dialogue among AI experts, ethicists, legal experts, social scientists, and other stakeholders is essential. It promotes mutual understanding of complex ethical issues and enables the creation of balanced and sustainable ethical solutions.

Looking at the other side, we discover that implementing effective interdisciplinary dialogue among AI experts and various stakeholders faces several potential challenges. Firstly, achieving meaningful collaboration and communication across different disciplines requires overcoming language and knowledge barriers, as well as addressing disparities in expertise and understanding. Additionally, coordinating and managing interdisciplinary dialogue efforts may be challenging due to differences in priorities, methodologies, and objectives among participating disciplines. Moreover, ensuring equitable participation and representation from diverse disciplinary perspectives can be difficult, especially if certain disciplines are marginalized or underrepresented. Furthermore, integrating insights and perspectives from different disciplines into cohesive and actionable ethical solutions requires careful synthesis and negotiation. Strategies to overcome these challenges include fostering a culture of openness and mutual respect among participants, providing opportunities for interdisciplinary training and education, establishing clear goals and objectives for dialogue sessions, and facilitating communication through structured frameworks and processes. Additionally, creating interdisciplinary research and funding opportunities can incentivize collaboration and promote the development of innovative solutions. Overall, recognizing the importance of interdisciplinary dialogue and implementing strategies to address challenges can enhance the effectiveness of ethical decision-making in the development and deployment of AI technologies.

In sum, this section highlights the diversity of approaches that can be employed to address the ethical challenges of AI in the national innovation system. It also emphasizes that the effectiveness of these solutions will largely depend on the engagement and collaboration among stakeholders who must work together to create an ethical and responsible innovation environment

In analyzing the ethical and governance challenges of artificial intelligence (AI) within the national innovation system, it becomes evident that a multifaceted approach is required to address the complex issues arising from the integration of AI technologies. The examination of ethical challenges such as data privacy, algorithmic discrimination, accountability for automated decisions, impact on public trust, and effect on innovation reveals the intricate interplay between technological advancements and societal values. Proposed solutions, including regulatory frameworks, industry self-regulation, algorithm transparency, stakeholder engagement, and interdisciplinary dialogue, underscore the necessity of comprehensive strategies to ensure responsible AI development and deployment. Moreover, the effectiveness of these solutions relies heavily on collaboration and cooperation among government entities, industry stakeholders, academia, and civil society to navigate the evolving landscape of AI governance and promote innovation that aligns with ethical principles and societal well-being.

#### **5. Conclusion**

In conclusion, this paper has shed light on the significant impact of artificial intelligence (AI) on the evolution of the national innovation system. It has underscored the specific ethical challenges posed by this integration, such as data privacy, algorithmic discrimination, and accountability for automated



decisions, while also presenting potential solutions, including regulation, industry self-regulation, and algorithm transparency. The engagement of stakeholders, including governments, businesses, universities, and civil society, has been identified as essential in crafting robust ethical policies and standards. Looking to the future, it is foreseeable that AI governance within the national innovation system will continue to evolve, with reinforced regulation, the adoption of international ethical standards, increased focus on transparency and accountability, and heightened public education. Multilateral collaboration among international actors is expected to play an increasing role in shaping global AI governance. Ultimately, this paper underscores the crucial importance of reconciling technological innovation with ethical concerns to shape a future where AI positively contributes to the national innovation system and society as a whole.

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## Synthesizing the Literature on Fake News and Disinformation, and Evaluating the Resilience Measures' Effectiveness: A Critical Analysis

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**Abstract:** *One strong factor, among others, which negatively affects both individuals and group media users is the news which lacks veracity. Previous research has amply dealt with the impact of fake news and disinformation on people's wellbeing and explored the resilience measures taken to alleviate the negative impact such news has on them. However, little is known about the effectiveness of resilience reaction to fake news, misinformation, and/or disinformation. The aim of this paper is two-fold: first, it critically synthesizes the already conducted research on media misinformation, fake news, and/or disinformation in about 70 articles. Second, based on this literature, it evaluates the individuals' and groups' resilience effectiveness in the dissemination of these different forms of false news. Therefore, it qualitatively explores the previous literature on fake news and disinformation and evaluates how effective, sufficient, practicable, and awareness-raising are the resilience measures discussed in this vast literature. Crucial articles on the field in Western academia and the Arab World were carefully selected, comparatively classified based on common themes, analyzed and attentively critiqued. The purpose of this paper is to summarize the scattered literature and rationalize the outcome of resilience measures to help guide both the public and policymakers against fake news and disinformation.*

**Keywords:** *Disinformation, effectiveness, fake news, misinformation, resilience.*

### 1. Introduction

Information fabrication is not new, as Guardian columnist Natalie Nougayrède has observed: "the use of propaganda is ancient, but never before has there been the technology to so effectively disseminate it" (qtd. in Posetti & Matthews, 2018, p. 20). Posetti and Matthews (2018) add that "the arrival of the internet in the late 20th century, followed by social media in the 21<sup>st</sup> century, dramatically multiplied the risks of misinformation, disinformation, propaganda and hoaxes" (p.1). During the last decades, the use of digital technology in media has weakened people's dependency on traditional media (television, radio, newspaper, etc.). Information fabrication has come concomitantly with this proliferation of digital media. Of course, even traditional media has been replete with miscellaneous falsehoods. Due to the harm these falsehoods cause to people, institutions and states, there have been many resilience approaches and measures taken by various partners to come to grips with all types of fabrications.

Resilience has had several definitions by several authors belonging to different fields. For instance, it has been defined by Friedland (2005) as "hardiness, toughness, and resistance" (qtd. in Cassidy, 2015, p1), by Garnezy and Masten (1991, p. 459) as the "capacity for, or outcome of successful adaptation despite challenging circumstances;" and by Abiola and Udofia (2011) as "inner strength, competence, optimism, flexibility, and the ability to cope effectively when faced with adversity, minimizing the impact of risk factors" (p.2). Cassidy (2015), Wang et al. (1994) have also spoken about academic resilience as "increased likelihood of (academic) success despite environmental adversities" (p.2). Resilience is defined by Cassidy (2016) as a "psychological construct observed in some individuals that accounts for success despite adversity." He adds that "resilience reflects the ability to bounce back, to beat the odds and is considered

an asset in human characteristic terms” (p.1). One factor pivotal to resilience, according to Cassidy (2015), is self-efficacy. Albert Bandura defines self-efficacy as “the belief in one’s capabilities to organize and execute the course of action required to manage prospective situations” (qtd. in Cassidy, 2015, p. 3). Thus, unless the individual is self-effective, he or she would likely be prey to bias, misinformation and disinformation. Overall, Brown and Westaway state that “resilience theory emphasizes the ability to learn and adapt, including in disasters” (qtd. in Bohensky & Leitch, 2014, p.485).

Filipec (2019) defines resilience as “the mental capacity and ability of citizens to recognize and work more efficiently with manipulative information” (p. 2). He also confirms the importance of education and critical thinking to immunize society against misinformation and disinformation. Filipec adds other resilience terms related to fostering the entire society’s immunity in situations of war. He thus speaks about immunizing societies against all manipulations which information warfare includes such as “*operational security, electronic warfare (EW), psychological operations (PSYOPs), deception, physical attack on information processes, and information attack on informational processes*” (qtd. in Filipec, 2019, p. 9, italics in original).

Resilience to disinformation or misinformation, according to Bohensky & Leitch (2014), is still witnessing lots of obstacles as regards its effectiveness and applicability. They write that “still, there has been little critical inquiry into what resilience means in this context and little guidance for individuals, communities and governments regarding behavioral or procedural change that they should adopt as a consequence” (p. 476). Equally important is the difference between disinformation and misinformation. Bogdan (2023) focuses on intentionality to distinguish between misinformation and disinformation. To misinform is mainly to share false news, mislead by omitting context or be biased; whereas to disinform is to do the same yet with the hidden agendas of manipulation, deceit or harm. He also clarifies that disinformation is another face of propaganda, which he defines as “a form of persuasion that aims to influence beliefs, attitudes, and behaviors of a large audience” (cited in Hobbs, 2020, p. 10).

With regard to the method followed to complete this paper, first, scattered literature authored about resilience issues in general and resilience to disinformation and misinformation in Western academia and the Arab World was selected, synthesized and analyzed. A between-study analysis technique, whose purpose is to compare “contrasting information from two or more sources” (Onwuegbuzie et al., 2012, p. 5), was followed. Multiple literature articles formed the bulk of this critical analysis not only to compare contrasting information, but also to seek clarification, convergence and corroboration of information. Second, the effectiveness of designed resilience measures, approaches and steps to counter the two phenomena were critically assessed. This work seeks, on the one hand, to call for the unification of the efforts made to face disinformation and misinformation. On the other hand, it reveals the gaps concerning the inadequacy of the different measures and approaches followed to beat disinformation and misinformation.

## **2. The Role of Mass Media in Disseminating the News**

During the COVID-19 pandemic, mass media played a crucial role in disseminating the news. However, they also had the power to “[alter] the type of news [which] would produce varying levels of emotions and resilience in participants” (Giri & Maurya, 2021, p.1). People know, for instance, that there were various types of vaccines against coronavirus. Mass media were overwhelming regarding which vaccine was more effective. The individual, therefore, was flooded with loads of varied scientific and medical information, which the majority could not understand and reasonably react to due to the individuals’ lack of medicine literacy. Thus, people’s resilience to media fabrications, biases, misinformation and disinformation

concerning the virus during this pandemic was fluctuating and variable from one area to another within the same country and at the international level. In this regard, Giri and Muraya (2021) stress the crucial importance of mass media to positively act in emergencies such as that of the pandemic. They believe that mass media, which focused on spreading positive news about the virus, rather than negative one, tended to instill in the audience positive emotions, hence strengthening their resilience. They add that since mass media have the power to infiltrate into people's emotions, they then assume the responsibility of "bringing necessary changes in covering pandemic news and similar other uncertain situations in keeping people's emotions stable and increasing their psychological resilience" (p.1). For instance, according to Nizar Khayroun (2020), news titles on mass media can deceive or mislead readers to the extent that the latter would be drawn to read only part of the title and come up with desired untrue information. Most of them usually do not click on the title and read the whole content to check the truthfulness of the information. The emotions instilled in the audience by mass media, thus, can dictate the strength or weakness of the individual's resilience.

Positive news has a positive influence on individuals given that it empowers their resilience to false news, and their trust in media outlets as well as in themselves (Giri & Muraya, 2021, p.1). In light of this, Giri and Muraya (2021) caution that mass media could have strong and indelible negative effects on people's mentalities in case they focus only on threatening people to take or not take action in particular situations such as that of the Covid 19 pandemic. They believe that it is incumbent on these media to cater to the audience's psychological needs. They argue that negative news has more influence on the audience than positive one. In uncertain and distressful situations, mass media could warn people of the negative consequences of their indifference or their carelessness, and/or take preemptive steps to protect the audience from falling prey to bias, misinformation or disinformation, for instance. However, they believe that the purpose of these actions on the part of mass media must not be to "inculcate the feeling of pessimism, fear, danger, or chaos" (p.5) in people. In this context, Giri and Muraya confirm that the ultimate goal of such protective and sensitive measures which mass media should take is not to water down resilience in the audience in the long term. However, they warn that the high frequency of individuals' exposure to different news is likely to psychologically result in negative consequences: "resilience will be affected by the severity of exposure [...] continued exposure to the news which induces negative sentiments in individuals can badly reduce their ability to cope with adversity in long run" (Giri & Muraya, 2021, p. 4). Giri and Muraya, thus, put a moral burden on social media as regards their responsibility to alleviate people's negative effects and empower their resilience.

By the same token, Bastick (2021) argues that exposure to fake news even for a short time has a strong impact on the individual's behaviour. However, he explains that it is yet unclear the span of that impact. In addition, he clarifies that the threat fake news poses to decision-making has been widely researched, whereas its subconscious influence on individuals' behaviour remains still under-explored. It is noteworthy to mention that media users' emotions do have a great influence concerning the dissemination of fake news: "experimental evidence demonstrates that platforms can proliferate emotions among users through selective exposure to newsfeed content" (cited in Bastick, 2021, p.6). Emotions, therefore, "may affect users' susceptibility to misinformation" (Bastick, 2021, p.7), and thus 'soften' their resilience.

### **3. Psychological Inoculation against Disinformation and Misinformation**

Roozenbeek et al. (2022) allude to medicine to elaborate on how inoculation against media falsehoods works. They convey that "inoculation theory follows a medical immunization analogy and posits that it is possible to build psychological resistance against unwanted persuasion attempts, much like medical

inoculations build physiological resistance against pathogens” (p.1). The purpose of inoculation, therefore, is to preemptively immunize the audience against possible disinformation outcomes. These scholars believe that people are more likely to get misinformed through social media than through traditional media (TV, newspapers, radio, etc.). They suggest that psychological inoculation can improve people’s resilience to being subject to misinformation and untrustworthy news. For them, people could be subject to misinformation through manipulative techniques which are commonly used in this regard: “emotionally manipulative language, incoherence, false dichotomies, scapegoating, and ad hominem attacks” (Roozenbeek et al., 2022, p. 1). The power of these techniques, of course, is manifested in the likelihood to mislead people who are not media literate. Also, Roozenbeek et al. (2022) strongly contend that testing the effectiveness of resilience to misinformation is problematic and elusive given many variables related to the difficulty to scale misinformation, reality, individuals’ variety and their level of exposure to fact-checking. They add that even specifying the latter’s dimensions is complicated because, for instance, it is not easy to reach a definitive result after the use of fact-checking against misinformation (Roozenbeek et al., 2022).

However, Roozenbeek et al. (2022) suggest that subjecting the audience to systematic psychological inoculation proves to be effective in improving their resilience to misinformation. Psychological inoculation, they believe, can occur through two preemptive steps: debunking and prebunking. Debunking takes place when misinformation is logically exposed to the audience to the extent the latter can see its flaws, whereas prebunking occurs when anticipatory action is taken to control misinformation by warning the audience and persuading it of what could be manipulated and skewed for the sake of misleading (Roozenbeek et al., 2022). However, Roozenbeek et al. (2022) do not allude to the possible counter-productive outcome of these techniques, especially when non-democratic regimes or powerful media producers utilize them for the sake of manipulating communities or individuals. For instance, during the Crimea crisis in 2014, Russia was accused of spreading “false narratives and disseminating rumours in order to shape international opinion and, by extension, government policies to their liking” (Onwuegbuzie et al., 2012, p. 1). Moreover, these techniques might prove insufficient in case a given state is under the threat of political or social instability. Such a situation, according to Lanoszka (2019), can be a fertile ground for disinformation to spread. In this vein, he presents three barriers for disinformation campaigns to be effective. The first one is international anarchy. People and policymakers become perplexed and dubious about any information produced by adversary states. The second barrier is the pre-existing ideological commitments and mentalities of the people. This of course makes it challenging for policymakers to subvert disinformation coming from adversary states for the final target of the latter are the people of the opponent countries. The third barrier relates to exploiting political polarization within countries to spread disinformation though it might be challenging to disinformation source states. In short, disinformation can be a tool which states resort to for protecting their national security or for destabilizing adversary states. One of the effective canals to execute these strategies is mass media.

For the process of inoculation against falsehoods, it is important to distinguish between two types of media: autonomous media and right-wing media. In this vein, Jeppesen (2016) accuses the right-wing media to be biased towards the ruling regimes for they tend “to replicate mainstream power hierarchies rooted in inequities of class, race and colonialism, disability, gender and sexuality, both in their organizational forms and content” (p. 385). Lack of autonomy and bias, therefore, can happen both at the structural level or at the content level of media. Jeppesen (2016) puts it forward also that not only crises may be manifested in the news *per se*, but also in news outlets or the media landscape in general. These crises, according to him, are akin to the rapid technological development, the changes concerning how

people produce media and consume them, or the drain caused in autonomous media with regard to what trustworthy media produce when there is mass concentration to produce only fact-checked media. He thus argues that “resilience to these types of crises may be a result of modes of change and adaptation in organizational and technological media forms” (p. 388). In this vein, a change within, rather than outside of, the media landscape is needed to help the audience resist untrustworthy information through the process of remediation. People in this regard build their media apprehensions and constructions based on the media structures already established (Jeppesen 2016).

According to Žmavc et al. (2022), resilience to false news includes being mentally healthy. This is reminiscent of Kaufmann’s idea (2015) that resilience to fake news means self-care. That is, being able to resist fake news during periods of emergencies is a sign of mental well-being. Resilience plays, Žmavc et al. (2022) believe, a “protective role in social media addiction” (p. 12) and internet addiction. As long as individuals are resilient to online fake news, they are likely to avoid stress and depression symptoms. Therefore, resilience is perceived to represent “a set of personal qualities which protect the individual” (Žmavc et al., 2022, p. 12) against online harms from both social media and the internet. Žmavc et al. (2022) argue that such a protective role resilience plays and the recognition of its psychological effects on the individual’s psyche can serve as preemptive and cautioning steps to inoculate the individual and raise his or her awareness against misinformation and disinformation.

#### **4. Digital vs. Traditional Media: The Proliferation of Disinformation**

Moore and Hancock (2022) focus more on digital rather than traditional media. They make a distinction between older adults and younger individuals regarding their susceptibility to fake news online. Because older adults are not as highly exposed to digital literacy as younger individuals, older adults are more likely to fall prey to online fake news than younger individuals. These authors contend that “older adults’ limited digital literacy may explain their heightened susceptibility to fake news online” (p. 1). Digital literacy or digital information literacy is defined as “the ability to analyze and evaluate information encountered online, including judgment of information reliability or evaluation of sources and evidence” (Moore & Hancock, 2022, p.1). One of the possible reasons why these older adults are not digitally as immunized as younger individuals is the rapid digital development of the media industry which older adults could not cope with. In this vein, Moore and Hancock (2022) argue that insufficient interventions have been made to acquaint older adults with digital media in particular and mass media in general, compared to the opportunities offered to younger individuals or the audience in general. They go on to explain that the purpose of such interventions is to make the audience more suspicious about the news it encounters online. Here, critical thinking, along with media literacy, is crucial to providing individuals with techniques and skills more likely to enable them to ‘sift’ the information they are exposed to. Eshet (2004; 2012) presents a succinct and well-established framework of digital literacy skills that both young and old media users need to be equipped with. First, they have to equip themselves with ‘photo-visual skills.’ That is, they need to learn to understand messages from graphical displays. This skill helps them “to ‘read’ intuitively and freely, and to understand the instructions and messages represented visually” (Eshet, 2004, p. 95). Second, ‘reproduction skills’ are necessary for their effective disinformation resilience. They need to learn how to create new materials from already existing ones. Third, ‘branching skills’ also are important. These skills enable them to build up “knowledge from non-linear and hyper-textual navigation” (Eshet, 2012, p. 267). Fourth, it is paramount that they acquire knowledge of ‘information skills’ to be capable of critically evaluating true and untrue information. Fifth, ‘socio-emotional skills’ enable them to know the rules prevalent in the cyberspace and also be able to use them in virtual communication. Lastly, they should



aspire to equip themselves with an advanced skill – ‘real-time thinking.’ This skill, according to (Eshet 2012), can make them “process large volumes of stimuli at the same time” (267).

However, one of the negative side effects of equipping the audience with these digital fact-checking skills and techniques, according to Moore and Hancock (2022), is that the audience tends to be more likely to exclusively detect fake news at the expense of true news. Thus, they point out that any interventions made to improve the audience’s digital information literacy need to be evaluated in terms of their efficacy. For Borgan (2023), resilience serves as prevention against the dissemination of disinformation. It also aims at reinforcing the individuals through critical thinking skills.

One manifestation, among others, of the harm disinformation can cause, Borgan (2023) believes, is the polarization of societies. The more a society is polarized, the less resilient it becomes. People tend to tilt more likely towards the news supporting their partisan beliefs irrespective of the level of truthfulness in the source of these beliefs. As a result, trust in unbiased news tend to decrease: “media coverage is our main gateway through which we receive information about local, national, and global affairs, then losing trust in common sources of said coverage will hamper resilience to disinformation” (Borgan, 2023, p. 15). Humprecht et al. (2020) and Borgan (2023) warn that a polarized society remains a fertile ground in which the dissemination of disinformation could easily thrive given that each party would only support, be biased towards, and consume news that aligns with its partisan beliefs and disregard and refuse the one which does not. In this context, Borgan (2023) believes that “political polarization contributes to low resilience to disinformation because it influences what sources and stories people believe and spread” (p. 14). Low levels of trust in media coverage, therefore, become the rule in this context, as Borgan (2023) asserts, “high partisanship makes people less likely to trust sources that strive to be unbiased” (p.15). In the same context, Xiao et al. (2021) associate the credibility of social media with the level of trust the individuals put in them. They argue that “[they] operationalize social media news trust as the extent to which an individual believes that the news she or he consumed from social media platforms is trustworthy” (p. 980).

Borgan (2023) also stresses that the principle of the ‘internet for all’ within which the internet is accessible by anybody, despite its advantage of mass participation, cannot always be advantageous given that it encourages even those who are not media specialists to share and post news online. Of course, this is likely to spread misinformation and disinformation, unlike in traditional media, where only journalists or specialists can participate. In addition, he argues that the news developments which social media have witnessed do not only facilitate people’s lives but also ease the spreading of fake news and disinformation through algorithms and systems craftily developed and designed to intrude into people’s privacy, alter their viewpoints, and curate their choices. In this context, Borgan (2023) puts it that “social media platforms exacerbate the dissemination of disinformation through their very business models—algorithms, sensationalism, attention economy” (p. 24). Therefore, social media can be a gift and a curse at the same time. Kaufmann (2015) contends in the same context that the functions which social media need to fulfill during emergency situations are underexplored. He adds that resilience to disinformation shared online is self-centered in the sense that it is based on self-care through self-governing capabilities in situations of emergency.

Xiao et al. (2021) agree with Borgan (2023) and Lazer et al. (2018) that most of disinformation takes place in online platforms. Xiao et al. (2021) significantly associate the high levels of conspiracy beliefs with individuals’ utmost reliance on social media news rather than on more professional media outlets such as TV or newspapers. Lazer et al. (2018) also caution that “internet platforms have become the most

important enablers and primary conduits of fake news” (p. 1095). That is, the more media users reckon on social media to receive information, the more likely they get exposed and manipulated by conspiracy theory sources. Xiao et al. (2021) contend that “[their] findings further demonstrated that frequent exposure of and higher trust toward social media news may result in negative consequences that scholars and health professionals should be wary of” (p. 986). In this context, Colomina et al. (2021) argue that “disinformation feeds polarization and erodes trust both within institutions and amongst communities” (12). Therefore, trust in social media news seems difficult to verify due to the variables akin to the sources, the content and the individual users themselves. Humprecht et al. (2023) assume that “trust in news media leads to higher resilience against disinformation and reduces the willingness to spread it” (8). Xiao et al. (2021) point out in this context that “these factors are important because trust in social media precisely pertains to individuals’ potential vulnerability to information provided from less-than-credible sources [...], hence, their educational levels, science literacy, and partisanship could play a role” (p. 987). Such vulnerability to information lies in the fact that the individuals are not equipped with learnable competencies which can enable them to check the information shared online.

Xiao et al. (2021) shed light on the threat social media present about the wide spread of misinformation and disinformation. Xiao et al., along with several scholars (e.g. Vosoughi et al., 2018), cherish the advancement social media have brought in the speed as well as the span which news can reach in comparison to traditional media (television, radio and newspaper). However, their appreciation of social media comes with a caveat that the consequences of consuming social media news seem difficult to control. They lament the wide yet uncontrolled and uncontrollable use of social media and caution that the absence of “gatekeepers, insufficient fact-checking systems, uncontrolled marketing incentives, and inadequate legal supervision” (cited in Bastani & Bahrami, 2020; Hameleers et al., 2020; Vraga et al., 2020) have provided social media users with a fertile ground on which to spread both fake news and fact-checked ones, in addition to conspiracy theories.

### **5. The Importance of Media Literacy to Counter Disinformation**

Previous research strongly confirms that media literacy is crucial to fighting all kinds of falsehoods (Borgan, 2023; Filipec, 2019; Xiao et al., 2021; etc.). Borgan (2023), for instance, writes that “if online disinformation is understood as a form of propaganda influenced by and influencing societies, this politically and civically engaged media literacy may aid in identifying, rejecting, and preventing the dissemination of disinformation” (p. 28). In this vein, this author points out that media literacy alone would never solve the problem of disinformation, yet it could be of good help in reducing its negative outcome. Borgan (2023) contends that “media literacy also seeks to include the ability of individuals to critically consume media in a way that is conscious of historical, societal, and technological factors” (p. 69). The level of education of individuals, of course, is crucial to enable them to critically treat the information they get exposed to.

Meanwhile, Morosoli et al. (2022) argues that the level of education of individuals is tightly connected with misinformation sharing. That is, the more highly educated the individual the unlikely they share or post misinformation. Morosoli et al. (2022) also suggest that we should understand the personality traits of individuals who tend to share and post misinformation. They clarify that “aversive personality traits” (p. 6) do play an important role in the dissemination of misinformation. With this in mind, the authors add that “the Dark Triad of personality traits” (p. 6), which includes psychopathy, narcissism and Machiavellianism (see Morosoli, 2022), constitute the reasons why people have hideous tendencies to share misinformation or cause harm to other people online. These negative traits in fact pose a big challenge for individuals and communities who seek fact-checked news online given the difficulty which lies in dealing with people

having such aversive personality traits. In this vein, Morosoli et al. (2022) assert that fact-checked news does not attract those individuals who possess such callous behaviours in the same way false news does.

Additionally, Morosoli et al. (2022) and Lazer et al. (2018) call attention to the role of party affiliation and political orientation in the dissemination of misinformation. Morosoli et al. (2022) explain that confirmation bias, wherein “individuals actively or unconsciously tend to select content that is in line with their existing beliefs and avoid uncongenial information to reduce cognitive dissonance” (p. 6), is widely used among affiliated or politically oriented individuals to meet their mental and conscious needs.

Another significant idea Morosoli et al. (2022) propose is the effects the salience of issues has on individuals who are prone to disseminate misinformation. The problem with issue salience, they explain, is that people are more likely to cognitively engage with and react to a topic as long as it is important; hence the influence on “the individual motivation to engage with false or misleading information on social media” (p. 10). More to the point, scholars have found that the more frequently individuals get active online, the more likely they share and post misinformation. What is more, Humprecht et al. (2023) suggest that countering disinformation and polarization can be attained through a broader media diet which can provide individuals with different perspectives and deem them open-minded to different views. These scholars explain that this broad diet can help face confirmation bias as well as limit polarization, hence narrowing the possibilities of disinformation.

## **6. The Effectiveness of Resilience to False and Misleading Information**

From the aforementioned, it is obvious that many approaches and measures have been made by governmental institutions, media producers and civil society institutions to face disinformation and misinformation. However, these resilience steps have proven insufficient due to different factors. Some of these factors are associated with these institutions themselves in terms of the nature of their work, other factors are related to the individual media consumers themselves with regard to their susceptibility to bias and falsehoods; whereas different factors can be attributed to the fast advancement media technology is witnessing, which traditional media cannot cope up with. Roozenbeek et al. (2022), for instance, point out that there is a keen shortage in interventions made to control misinformation despite the measures taken.

One resilience barrier, among others, Lewandowsky et al. (2017) explain, is when it collides with peoples’ beliefs about their worldviews. These scholars contend that “belief in false information may ironically even increase” (p. 9). They continue to explain that interventions to resist misinformation might be effective in two cases: “first, they must not directly challenge people’s worldviews [...] Second, corrections must explain why the misinformation was disseminated in the first place or they must provide an alternative explanation of the relevant event” (pp. 9-10). Seemingly, thus, an international collaborative work is necessary to resist disinformation and misinformation.

Another factor negatively affecting the effectiveness of resilience is that there are no international standards of resilience to disinformation and misinformation commonly agreed on and approved by all nations. Humprecht et al. (2023) argue that “each country has its own standards of resilience. They say that “resilience factors are country-specific and are highly dependent on the respective political and information environments” (p. 2). Therefore, individuals would certainly differ in how they resist disinformation and misinformation from a country to another, and so would be the measures to be taken to react to it, as Humprecht et al. (2023) put it: “the political, media, and economic environments play a major role in how citizens react to disinformation, and policy solutions to tackle the problem must be

tailored to the particular social environment” (p. 3). Such differences between countries in politics, economy, and media environments cannot be separated from the cultural differences which also play an important role in the perceptions people have towards media. Humprecht et al. (2023) also stress the role of social media in disseminating information and individuals’ participation. However, they make a caveat that social media provide a more fertile ground for misinformation and disinformation to uncontrollably proliferate more, given their availability to all. These scholars have also found that “citizens spread disinformation because it confirms their personal opinions” (p. 5). Social media users, thus, likely share, like and comment on news which aligns with their individual perceptions and perspectives.

Many scholars agree that disinformation is more harmful than misinformation. Bjola and Pamment (2016) elucidate that disinformation types could be summed up in four categories: “unsourced or falsified claims, non-credible claims with sources, claims based on earlier unsourced or non-credible claims and conspiracy theories” (p.6). To counter-react to disinformation, whatever the category, Humprecht et al. (2023) suggest not interacting with disinformation altogether. Merely attempting to disprove it may increase the likelihood of reaching more people (p. 5). These scholars point out also that extreme ideologies cannot empower resilience to partisan disinformation, and they are likely to spread them more. In addition, they purport that populist politicians are likely to disseminate disinformation because their speeches are rather in-group and out-group driven. Populists “use communication styles that can be misleading” (qtd. in Humprecht et al., 2023, p. 7). Moreover, they contend that having trust in the news media is important to strengthening resilience. The more trust there is in the news media, the more resilient the individuals become and the less likely they spread disinformation (Humprecht et al., 2023, p. 8).

One of the enormous challenges that resilience to disinformation from the part of young individuals poses is their increasing reliance on online rather than print media (Worsnop, 2014). In this sense, Roozenbeek et al. (2022) reveal that it is easier to respond to traditional media given the latter’s reliance on original resources. However, it becomes more difficult to react to social media given their fluidity. Worsnop (2014) also contends that people no longer get their news from paper, they rather do so from the screen. That is, the screen culture seems to prevail over that of the paper. It is worth noting, in this regard, that Bjola and Papadakis (2021) mention that the audience in general takes refuge in alternatives other than the official democratic institutions, educational and civil society institutions given its loss of trust in them, hence the open susceptibility to disinformation. In the same context, Worsnop strongly confirms that schools no longer stress the importance of reading and writing like it was the case earlier than the 19<sup>th</sup> and 20<sup>th</sup> centuries; that is, before the advancement of the internet. One more point Worsnop (2014) puts forward is the dependency of young individuals on popular culture as a source of their information and the insufficient role which schools play to equip these individuals with knowledge to help them deal with popular culture. However, since individuals are hugely distinct concerning their cognitive capacities, cultural background, inclinations and tendencies, etc., they are more likely to interpret media texts (i.e. messages, photographs, billboards, graphics, etc.) in different ways; hence their likelihood to be misinformed and disinformed.

Careful interventions need to be made in this regard to help inoculate individuals against falling prey to disinformation and misinformation. Against this background, Worsnop (2014) makes a caveat that every interpretation of a media text is not only a product to that text, but also to all that individuals bring to that text in terms of their life experiences. Yet, as he puts it, “we need to be aware that some media texts are created to deliver an audience to advertisers rather than to deliver texts to audiences” (p.7). This is why there is a strong need to teach individuals how to be critical self-learners rather than merely teach them

how to watch media (Worsnop, 2014). In sum, media literacy should center its efforts on “developing savvy” (p.12) in media consumers.

Among the different sub-categories of disinformation is digital propaganda. Bjola and Papadakis (2021) define it as “the use of digital technologies with the intention to deceive the public through the generation and dissemination of verifiably false or misleading information” (p.8). Worth mentioning is that the ultimate goal of online propaganda, according to these authors, is to dissuade people not to adopt a certain point of view or take a certain action. To counter digital propaganda, Bjola and Papadakis (2021) propose a two-type resilience strategy: cognitive resilience and physical resilience. The first one can be done by “drafting and promoting guides of good practice by which disinformation can be recognized, monitored and responded to by journalists, governmental communicators and the public at large” (p.8). The second one can be attained by “preventing or blocking disinformation from entering the information space in the first place” and by “disrupting the network of disinformation nodes, working with social media companies to remove malicious content in real-time, and using proactive cyber operations are some of the tactics that may assist this goal” (p.9). Thus, the first type of resilience concerns the recognition of online disinformation and the second type focuses on the measures to be taken after recognizing disinformation.

Based on Jurgen Hebermas’s concept of the “public sphere,” Bjola and Papadakis (2021) make a distinction between the macrosphere and the microsphere concerning how digital propaganda operates. First, they assert that “in the macrosphere, disinformation exists as a tactical and strategic tool, employed by hostile forces in the growing realm of information warfare” (p.11). That is, in cases of war or no war, powerful countries use this strategy for preemptive and protective measures or to disrupt the adverse countries. Second, they add that the microsphere is “the realm of disinformation within which individuals [...] interact with the information sphere by sharing questionable online articles with little or no foundation, visiting Reddit and 4chan sub-threads, and trolling on Facebook comment sections and Twitter” (p. 12). In the same context, Lazer et al. (2018) purport that “individuals tend not to question the credibility of information unless it violates their preconceptions or they are incentivized to do so. Otherwise, they may accept information uncritically. People also tend to align their beliefs with the values of their community” (p. 1095). Disinformation in the macrosphere, therefore, takes place at the state apparatuses’ level, whereas it occurs at the individual level in the microsphere.

According to Bjola and Papadakis (2021), one way to strengthen resilience to disinformation is to encourage the traditional media given that they are more trustworthy in comparison to social media. They also suggest that there should be a “strategic communication” (p.37) – a strong collaboration – between governmental institutions (the macrosphere) and civil society actors and journalists (the microsphere) to effectively fight disinformation. Similarly, Vasu et al. (2018) believe that “collaboration across the whole society, including good public-private partnership, is necessary to expose fake news and ensure better synergy of efforts in countering it” (p.3). It is, thus, incumbent upon different partners to intervene in fighting disinformation’s ‘forked’ challenges by utilizing different strategies.

Following this trajectory of collaborative work against disinformation, de Cock Buning (2018) argues that a comprehensive approach is required to face the phenomenon of disinformation. She thus states that “disinformation is a multifaceted problem, does not have one single root cause, and thus does not have one single solution” (p.13). That is, collaborative interventions which involve various partners should work *en masse* to fight this phenomenon. de Cock Buning (2018) puts it forward, in this regard, that “[disinformation] is a problem that must be understood in the wider context of how information is



produced, how it is distributed, and how people engage with it in the public sphere” (p.13). Consequently, this author suggests some crucial solutions to counter disinformation. First, transparency and accountability-enhancing practices should be guaranteed to face digital disinformation. At the level of online platforms, for instance, enormous efforts should be made to help distribute fact-checked information. At the level of independent sources and fact-checkers, moreover, she interrogates the reach and speed of fact-checked information, hence its visibility regarding individuals. Second, trust-enhancing practices and algorithm changes need to be facilitated especially with the help of artificial intelligence to provide disinformation filtering systems and tracking techniques. Print press organizations and broadcasters also, she adds, need to double their efforts to strengthen trust in the audience. Third, to empower individuals’ prevention and minimize their attraction to disinformation and conspiracy theories, she believes, disinformation and media and information literacy interventions are to be encouraged and generalized through partnerships with schools and educational institutions as well as civil society organizations. de Cock Buning (2018) posits, in this context, that “the strength of media and information literacy is that it is a preventive, rather than a reactive solution, engendering critical thinking skills that are crucial for the 21st-century citizen living in an increasingly digital environment” (p. 26). Therefore, including media literacy in any approach to face disinformation is inevitable.

One of the biggest challenges disinformation poses concerning the effectiveness of resilience rests not only with its outcome (the media content including disinformation), but also with the process through which disinformation is manufactured. Colomina et al. (2021) assert that “the challenge posed by disinformation comes not only from its content, but also how it is distributed and promoted on social media [...] [it] is commonly accompanied by strategies and techniques to maximize its influence” (p. 5). Colomina et al. (2021) also argue that “the fact that content sharing has also moved from open to encrypted platforms [...] makes it more difficult to track disinformation” (p. 6). Thus, the more social media get individualized, the more susceptible to disinformation individuals become. Moreover, personalized use of social media can hinder resilience to disinformation. Fletcher et al. (2018) put it that users share stories independent of the main site, spread them via private messaging apps, or share visual disinformation with no links” (p.7). They add that “regardless of how much we know about exposure, we currently know little about the impact that false news has on people’s attitudes and beliefs, which is often the underlying concern” (p.8). In this vein, Colomina et al. (2021) claim that it is very difficult to track all disinformation manifestations online. However, they also confirm that the instruments, approaches and considerations against disinformation have developed during the recent years, yet exclusively within Europe. This poses another obstacle to fighting disinformation at the international level. Hence, Colomina et al. (2021) argue that “despite this progress, EU efforts to tackle disinformation outside Europe still need to be infused with a stronger human-rights focus and ethos” (p.46). Tracking disinformation, therefore, is also an ethical burden.

Another obstacle to effectively counter disinformation is the asymmetrical relationship between the fast proliferation of disinformation and media specialists’ timely reactions. According to Ireton and Posetti (2018), journalism needs to “tack more closely to professional standards and ethics, to eschew the publishing of unchecked information, and to take a distance from information which may interest some of the public but which is not in the public interest” (p.10). Vasu et al. (2018) also purport that there is an incongruent development between the velocity of information on one side and the veracity and counter-disinformation measures, on the other: “readers are overwhelmed by the flood of information, but older markers of veracity (respected publications, official sources) have not kept up, nor has there been a commensurate growth in the ability to counter false or fake news” (p.4). Moreover, Vasu et al. (2018) contend that the human mind is doomed to fallibility and is “cognitively predisposed to imbibing fake news



in general” (p. 25), hence the mind’s susceptibility to falsehoods. At the level of governmental legislation, the authors stress the insufficiency of the laws implemented to counter disinformation. Thus, they call for new laws based on the new challenges which disinformation presents: “the governments assessed that existing laws and regulations as well as other approaches (counter fake news websites, strategic communications and self-regulation by social media companies) are inadequate” (p.22). They suggest that laws can hold both companies and individuals accountable for the spread of disinformation. The study which these authors have conducted confirms that combating fake news remains under-legislated given several challenges including the fast digital development of social media and the inability of counter-disinformation campaigns to provide commensurate effective responses (Vasu et al., 2018). Besides, these authors, among others, call for a cultural shift through critical thinking and media literacy and through “highlighting blind spots and biases, inciting a curiosity for information from a spectrum of sources, and training them to assess materials logically and consider alternative viewpoints, before reaching a conclusion” (p. 24). These skills would enable the individuals to have a judicious mind by which they can distinguish true information from fabrications.

Fake news overlaps with disinformation and misinformation (Lazer et al., 2018). Seemingly, it is hard to ‘siege’ fake news given the inability of news producers to control it, the elusive detection mechanisms and its reductionism regarding its definition (Bastick, 2021). Boutamin (2023) contends that in Algeria, “fake news usually is simple and written in Arabic and the public which is targeted is miscellaneous” (p.1, translation added). However, he claims that media specialists are moving towards the better regarding fighting fake news in case application [of assigned measures] takes place” (p.1, translation added). Tabara (2021) himself states that “this [ fake ] news is being cooked and spread in a specific and well-thought context by political parties for specific goals or by ordinary persons who live outside of the tangible reality” (<https://institute.aljazeera.net/ar/ajr/article/1445>, translation added). However, Vasu et al. (2018) threaten that treating all categories of fake news as one homogeneous whole risks producing ineffective measures to deal with all falsehoods. Renovating approaches and working collectively are, therefore, key solutions to fighting fake news. However, Lazer et al. (2018) doubt the effectiveness of fact-checking against fake news in the sense that it does not always prove reliable given that people can be biased towards some familiar information, thereby accepting them to be true. Also, they caution that if false information is being repeated much, even within a fact-checking atmosphere, there is a strong likelihood that individuals would adopt it as true.

## **7. Conclusion**

This paper aimed to collect a large number of highly-cited articles on resilience to disinformation and misinformation in Western academia and the Arab world, synthesize, compare and critically analyze them, and finally assess the effectiveness of resilience approaches and measures discussed in them. The analysis found that resilience conceptually has several multi-disciplinarily related definitions. However, all the definitions center their focus on the importance of individual characteristics of people to remain strong during adverse situations. Moreover, this research highlighted the importance of media information literacy to counter disinformation and the incongruence between the fast technological advancement of digital and online media compared to traditional media outlets. Several digital literacy skills that both young and old media consumers are provided. More importantly, this article came up with implications such as suggesting several research unexplored areas about the effectiveness of resilience to disinformation and misinformation. These areas, if explored, can serve policymakers, media specialists as well as individuals to boost and rationalize their approaches, measures and steps to fight all categories of information fabrication. For instance, international collaboration against disinformation needs to be encouraged.

Projects of media literacy need to be facilitated and strengthened both civically and at the educational level. Technological and digital development needs to be rationalized so that it would not allow more disinformation to spread. Further research, therefore, should invite writers and policymakers across the world to unite efforts for a more comprehensive and unified view of how to counter disinformation and misinformation.

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# **CHAPTER SIX**

## FINANCIAL MANAGEMENT



## Um estudo comparativo entre os países da União Europeia dos impactos da adoção da IFRS 9 nas entidades do setor bancário

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**Resumo:** *O presente artigo teve como base os problemas lançados pela crise financeira do subprime em 2007 e 2008, uma vez que as instituições financeiras foram as entidades que em primeiro lugar sofreram com a crise. Esta situação acarretou um conjunto de problemas, com destaque para a descredibilização do sistema bancário, fundamental no mundo, bem como para a problemática do reconhecimento de perdas por imparidade no setor. A questão das perdas por imparidade foi o motivo que originou a necessidade do IASB emitir novas normas de contabilidade, de forma que as situações ocorridas não se repetissem. Foi no ano de 2014 que surgiu a IFRS 9 – Instrumentos Financeiros, norma que substituiu a anterior IAS 39 – Instrumentos Financeiro, com dois objetivos: 1) de preencher as lacunas identificadas no normativo anterior; 2) proporcionar uma visão única na interpretação das demonstrações financeiras. Assim sendo, o objetivo passa por analisar o impacto da adoção da IFRS 9 nas empresas cotadas do setor bancário entre os períodos de 2015 a 2022, essencialmente a regulamentação deste normativo nas rubricas de perdas por imparidade, comparando o impacto da adoção da norma nos países mais e menos endividados do continente europeu. A partir de uma amostra de dados de 72 instituições financeiras respeitantes de 10 países da União Europeia, foi realizada a correlação se Spearman para testar as hipóteses formuladas. Os resultados obtidos confirmaram as hipóteses de investigação e os princípios teóricos, que indicavam que os níveis de imparidade registados nas demonstrações financeiras após a implementação da IFRS 9 se revelariam superiores aos montantes reconhecidos durante a vigência da IAS 39.*

**Palavras-chave:** *IFRS 9, IAS 39, Instrumentos Financeiros, Perdas de Crédito Esperadas.*

**Abstract:** *This article is based on the problems posed by the subprime financial crisis in 2007 and 2008 since financial institutions suffered the most from the crisis. This situation led to several problems, particularly the discrediting of the banking system, which is fundamental in the world, and the problem of recognising impairment losses in the sector. The issue of impairment losses was why the IASB needed to issue new accounting standards so that these situations would not repeated. It was in 2014 that IFRS 9 - Financial Instruments appeared, a standard that replaced the previous IAS 39 - Financial Instruments, with two objectives: 1) to fill the gaps identified in the previous standard and 2) to provide a single vision in the interpretation of financial statements. Therefore, the aim is to analyse the impact of adopting IFRS 9 on listed companies in the banking sector between 2015 and 2022, essentially the regulation of this standard on impairment losses, comparing the impact of adopting the standard in the most and least indebted countries on the European continent. Using a sample of data from 72 financial institutions from 10 European Union countries, Spearman's correlation was used to test the hypotheses. The results confirmed the research hypotheses and theoretical principles, which indicated that the levels of impairment recorded in the financial statements after the implementation of IFRS 9 would be higher than the amounts recognised under IAS 39.*

**Keywords:** *IFRS 9, IAS 39, Financial Instruments, Expected Credit Losses.*

## 1. Introdução

O presente artigo tem como principal propósito a exposição e análise dos normativos internacionais *International Accounting Standards 39* (IAS 39) substituída em 2018 pela *International Financial Reporting Standards 9* (IFRS 9), que prescreve o tratamento contabilístico a adotar relativamente aos Instrumentos Financeiros.

A crise económico-financeira de 2007 e 2008 evidenciaram um vasto conjunto de problemas nas normas internacionais de contabilidade, contribuindo para uma avalanche no setor bancário. Uma das principais causas para esta crise deveu-se ao modelo de perdas de crédito (*Incurring Loss Model*) reconhecidas ao abrigo da IAS 39, que foi alvo de muitas críticas, uma vez que reconhecia as imparidades de forma muito reduzida e tardia, levando a uma sobrevalorização errada dos ativos.

Com as lacunas evidenciadas pela crise, em 2009, o Grupo dos 20, agentes reguladores e órgãos normativos apelaram à criação de um modelo mais prospetivo em relação ao reconhecimento de perdas relacionadas com ativos financeiros. Em 2014, o *International Accounting Standards Board* endossou a IFRS 9 que viria a entrar em vigor a partir de 1 de janeiro de 2018.

O tratamento contabilístico dos instrumentos financeiros não foi significativamente alterado com a introdução da norma, porém a nova abordagem de reconhecimento das perdas de crédito (*Expected Loss Model*) é considerada a mudança mais significativa deste normativo, dado que este modelo com visão futura assente num conceito de perda económica, permite uma menor prociclicidade uma vez que avalia as quantias, momentos de ocorrência e grau de incerteza dos *cash-flows* futuros, reconhecendo desde logo as perdas de crédito, ao contrário do normativo anterior.

A aplicação desta norma caracteriza-se por ser um grande desafio para o setor bancário, uma vez que envolve novos critérios de classificação e mensuração dos instrumentos financeiros e tem um forte impacto na gestão de risco e no modelo de negócio. Os mercados financeiros apresentaram um desenvolvimento sem precedentes nas últimas décadas e assumiram uma posição relevante na condução das instituições financeiras. A concessão de créditos por parte destas entidades tem sido analisada ao pormenor, uma vez que se trata de uma área bastante sensível em relação às oscilações dos ciclos económicos. A excessiva utilização de instrumentos financeiros por parte da banca, e o não reconhecimento atempado das imparidades em créditos, pode colocar em causa a continuidade do próprio banco e, conseqüentemente, do setor financeiro, podendo propagar a crise para os restantes setores económicos.

Dado isto, o presente artigo tem o principal objetivo de averiguar o impacto da adoção desta norma internacional nas entidades do setor bancário durante os períodos de 2015 a 2022, comparando o comportamento das mesmas ao longo dos períodos regidos pela norma IAS 39 (2015-2017) e dos períodos regidos pela norma IFRS 9 (2018-2022).

## 2. Revisão de Literatura

O aumento de hipotecas bancárias tomadas por mutuários que ofereciam insuficientes garantias formou uma bolha imobiliária que gerou em 2008 a crise financeira e a recessão global em 2009. Este colapso que ameaçou o capitalismo mundial gerou uma reflexão nos padrões contabilísticos adotados segundo a IAS 39, principalmente os do setor bancário. O quarto e quinto maiores bancos de investimentos dos Estados Unidos da América em 2008, *Bear Sterns* e *Lehman Brothers*, colapsaram com a crise de liquidez e declararam falência, gerando um pânico mundial no mercado de capitais que provocou uma diminuição



dos valores dos ativos e um reconhecimento significativo de perdas nas demonstrações financeiras das entidades do setor bancário.

O modelo ICL adotado na IAS 39 foi apontado como uma das principais fragilidades das normas de contabilidade financeira conduzindo um reconhecimento tardio das perdas de crédito, levando assim à intensificação da crise financeira, uma vez que o reconhecimento das mesmas era tardio e insuficiente, bem como a falta de informação financeira fiável que originou um efeito cíclico na economia, reforçando, os efeitos negativos da crise financeira.

### **IAS 39**

A IAS 39 foi publicada pela primeira vez em 1998 e estabelecia os princípios para o reconhecimento e mensuração dos instrumentos financeiros, como também os requisitos para a contabilidade de cobertura e para certos contratos de compra e venda de itens não financeiros.

A Comissão Europeia em 2002 determinou que, para as sociedades com títulos cotados no mercado regulamentado, se deveriam aplicar normas nas suas demonstrações financeiras consolidadas, a fim de constituir um processo de harmonização contabilística. A partir de 1 de janeiro de 2005 foram adotadas as IAS como normas aceites internacionalmente para reger as demonstrações financeiras destas entidades. O IASB desenvolveu a IAS 39 com o intuito de limitar a capacidade das empresas em constituir imparidades sem qualquer fundamentação, utilizando-as como uma forma de manipulação e alisamento dos seus resultados contabilísticos e fiscais.

### **IFRS 9**

Após o apelo urgente por parte da CE e do G-20 na criação de um modelo mais prospetivo em matéria de reconhecimento de perdas relativas a ativos financeiros, o IASB desenvolveu a IFRS 9, que trouxe alterações significativas e fundamentais na contabilização dos instrumentos financeiros, bem como no reconhecimento das perdas de crédito, uniformizando os procedimentos contabilísticos e as políticas dos vários países, de forma a proporcionar uma visão única de interpretação das demonstrações financeiras. Publicada a 24 de julho de 2014 pelo IASB, a IFRS 9 veio substituir a IAS 39 de modo a estabelecer novas diretrizes relativamente à classificação e mensuração dos instrumentos financeiros, imparidades e contabilidade de cobertura. Este processo de substituição de normativo passou por quatro diferentes etapas até instaurar a IFRS 9 que passou a partir de 1 de janeiro de 2018 a regulamentar os ativos e passivos financeiros.

A principal introdução desta norma prende-se no modelo adotado para a determinação das perdas por imparidade, que defende um reconhecimento atempado das perdas esperadas, permitindo um melhor alinhamento sobre a forma de como as entidades gerem o risco de crédito, sendo o principal objetivo fornecer aos utilizadores informação credível sobre as perdas, requerendo que a entidade reconheça perdas esperadas a cada data de reporte, atualizando a respetiva informação.

O modelo da IFRS 9 (ECL) é visto como um modelo com visão futura, que assenta num conceito de perda económica, em que qualquer crédito está associado a um nível de risco, com vista à avaliação das quantias, momentos de ocorrência e grau de incerteza dos *cash-flows* futuros, induzindo a uma menor prociclicidade, em estados de desaceleração económica severos, reconhecendo desde logo as perdas de crédito. O modelo é aplicável a ativos financeiros mensurados ao custo amortizado e ao justo valor através de outros rendimentos integrais. Este reconhecimento precoce, conduz a um aumento substancial nas

imparidades e, conseqüentemente a uma redução dos capitais próprios das empresas. A grande maioria dos ativos financeiros das instituições bancárias são mensurados ao custo amortizado, logo, o impacto da adoção da IFRS 9 nestas entidades é significativo.

O montante referente às perdas por imparidade reconhecidas na Demonstração de Resultados e o momento em que estas são reconhecidas altera-se com a implementação deste normativo, uma vez que em cada data de reporte financeiro as instituições financeiras e de crédito têm que reconhecer perdas por imparidade para quase todos os seus ativos financeiros, fornecendo aos utilizadores uma informação financeira muito mais detalhada, fiável e credível. O reconhecimento atempado das perdas de crédito proporcionado na IFRS 9 permite a redução de acumulação de imparidades, contribuindo para a estabilidade financeira.

No regulamento do IAS estão previstos quatro critérios técnicos de avaliação de informação financeira: compreensibilidade, relevância, confiabilidade e comparabilidade. A norma IFRS 9 não contradiz nenhum destes princípios e uma vez que a sua aplicação traz benefícios líquidos que variam nos diferentes regimes contabilísticos, este normativo acaba por ser um compromisso político e um resultado de equilíbrio.

### **IAS 39 versus IFRS 9**

As finalidades dos instrumentos financeiros estão subjacentes à sua definição e esta heterogeneidade conduz à complexidade na elaboração e aplicação de normativos, dado que a sua detenção tem distintos objetivos que variam de entidade para entidade.

As principais diretrizes relativamente ao reconhecimento e desreconhecimentos dos instrumentos financeiros manteve-se igual com a aplicação do novo normativo.

No momento do reconhecimento, a norma IFRS 9 prevê que quando uma entidade se torna parte integrante de uma disposição contratual de um instrumento financeiro deverá nesse momento proceder ao reconhecimento do mesmo, enquanto que na IAS 39 esse reconhecimento deve-se dar quando se gera uma obrigação contratual relativamente a esse instrumento.

O reconhecimento inicial ao abrigo da IAS 39 era ao Justo valor, salvo exceções que consideravam também custos de transação diretamente relacionados à aquisição. Na IFRS 9, o reconhecimento é sempre ao Justo Valor acrescido de todos os custos diretamente atribuíveis à aquisição do instrumento.

Relativamente à classificação e mensuração subsequente dos ativos financeiros, a IFRS 9 define três bases (Custo Amortizado, Justo Valor através dos Resultados e Justo Valor através de Outro Rendimento Integral) tendo em conta o modelo de negócio da entidade. Já a IAS 39 define como bases o Justo Valor através dos Resultados, investimentos detidos até à maturidade, empréstimos concedidos e ativos financeiros disponíveis para venda. A mensuração no normativo anterior era feita ao justo valor sem dedução dos custos de transação, ao custo amortizado utilizando o método do juro efetivo ou ao custo.

A classificação e mensuração subsequente dos passivos financeiros é semelhante nos dois normativos, nomeadamente ao custo amortizado utilizando o método do juro efetivo.

Para o desreconhecimento dos ativos financeiros, a norma IAS 39 previa quando os direitos contratuais referentes aos fluxos de caixa expirassem, enquanto que na IFRS 9 isto acontece quando os fluxos de caixa expiram ou quando a entidade transfere o ativo.

Já no desreconhecimento dos passivos financeiros, a IAS 39 prevê quando a obrigação presente no contrato for realizada, anulada ou cessar o prazo. Na IFRS 9 dá-se quando o passivo for extinto, ou seja, quando a obrigação for satisfeita, cancelada ou expirada.

Relativamente à contabilidade de cobertura, na IAS 39, os ativos e passivos são cobertos na totalidade quando o risco é relativo a variações cambiais em que o teste de eficácia deve ser testado no início (eficácia de cobertura com correlação entre 80% e 125% é eficaz) Ainda relativamente à descontinuidade, a entidade pode interromper a qualquer momento a contabilidade de cobertura. Ao abrigo da IFRS 9, qualquer ativo/passivo financeiro não derivado reconhecido ao justo valor pode ser instrumento de cobertura e deixa de ser necessário o teste de eficácia através de limites numéricos e passa a ser focado na relação económica entre o objeto coberto e o instrumento de cobertura. Neste novo normativo, a entidade apenas pode descontinuar a relação quando os critérios de qualificação deixarem de ser cumpridos.

A maior alteração com a implementação deste novo normativo prende-se com o novo modelo de perdas de crédito adotado. As perdas de crédito deixam de ser reconhecidas pelo modelo das perdas incorridas e passam a ser reconhecidas pelo modelo das perdas esperadas.

Ao abrigo da IAS 39, segundo o IASB, partia-se do pressuposto que todos os empréstimos são pagos até que haja alguma evidência em contrário e só com uma probabilidade de incumprimento perto de 100% é que há lugar ao reconhecimento de perdas. Verifica-se que este modelo ICL causa um atraso na identificação de potenciais perdas de crédito.

Contrariamente ao modelo da IAS 39, o modelo ECL adotado na IFRS 9 através do conceito das perdas esperadas, impõe que sejam reconhecidas antes das mesmas serem incorridas e que se reconheça a perda durante a vida útil dos instrumentos financeiros, quando o risco associado a estes instrumentos tiver aumentado significativamente desde o seu reconhecimento inicial.

Segundo a IFRS 9, as imparidades são reconhecidas no período de reconhecimento inicial e nos períodos subsequentes, tendo as entidades que passarem a considerar informações históricas, atuais e prospetivas. É evidente que este modelo e a sua aplicação tem um impacto direto nos encargos com as perdas de crédito, aumentando as imparidades e diminuindo os resultados das empresas. O que a literatura aponta é que a IFRS 9 tende a que se origem resultados inferiores aos que eram reconhecidos na IAS 39.

### **3. Metodologia**

O objetivo principal deste artigo consiste na investigação sobre o impacto da adoção da IFRS 9 nas entidades do setor bancário, sobretudo no reconhecimento das perdas por imparidade nas instituições financeiras dos países da União Europeia, para o intervalo temporal de 2015 a 2022. De forma a entender o impacto da adoção desta norma, será efetuado um estudo comparativo entre as entidades bancárias de alguns países europeus, com base no seu nível de endividamento, ou seja, a percentagem de dívida pública em função do PIB.

A fim de responder aos objetivos propostos, recorre-se à formulação de hipóteses de investigação para tornar atingível o objetivo de estudo inicialmente proposto.

**Hipótese de Investigação 1:** As entidades bancárias reconheceram maiores níveis de imparidades com a implementação da IFRS 9 do que reconheciam ao abrigo da IAS 39.

**Hipótese de Investigação 2:** A implementação da IFRS 9 teve impactos materialmente relevantes nas demonstrações financeiras.

A seleção da amostra consistiu na pesquisa de entidades financeiras da União Europeia. O estudo centra-se nestas entidades, dado que a implementação da IFRS 9 se tornou obrigatória para estas a 1 de janeiro de 2018, bem como se verifica a existência de um número significativo de instituições financeiras destes países que apresentam um certo impacto nos mercados de capitais mundiais.

Com base nos dados apresentados e divulgados pelo Eurostat relativamente à percentagem de dívida pública em função do PIB, selecionou-se dez países: Dinamarca, Suécia, Países Baixos, Alemanha, Finlândia, França, Espanha, Portugal, Itália e Grécia. Os primeiros cinco países fazem parte do grupo menos endividado, enquanto que os últimos cinco dizem respeito ao grupo de países mais endividado.

Retirado da base de dados *Moody's Analytics*, filtrou-se alguns critérios para a seleção final da amostra, entre eles:

- Entidades bancárias ativas que seguissem o normativo IFRS;
- entidades bancárias consolidadas e cotadas com reportes disponíveis no período temporal em estudo;
- entidades bancárias que pertençam aos dez países selecionados.

Com a aplicação destes critérios, obteve-se uma amostra de 72 instituições financeiras.

O estudo exploratório tem uma metodologia mista, dado que numa primeira instância, se recorre ao método de observação de dados para se analisar o impacto da IFRS 9 nas imparidades e nos resultados das entidades bancárias por país e numa segunda instância, através de uma vertente quantitativa, se recorre o teste de normalidade e teste U de *Mann-Whitney* como testes de comparação de médias. Por fim, utiliza-se ainda os dados obtidos da Correlação de *Spearman* de forma a gerar robustez à análise dos dados.

#### 4. Análise dos Resultados

Durante a IAS 39 e a IFRS 9, foram reconhecidos os seguintes níveis de imparidade conforme os quadros abaixo.

	País/Ano	IAS 39		
		2015	2016	2017
Países Mais Endividados	Espanha	18.100,22	14.299,25	15.009,01
	França	7.871,95	6.715,72	4.942,51
	Grécia	13.366,26	3.645,04	4.638,94
	Itália	10.576,46	20.937,54	11.227,44
	Portugal	833,02	1.116,92	623,71
	Alemanha	1.747,26	2.365,07	1.424,21
Países Menos Endividados	Dinamarca	336,23	76,85	-245,30
	Finlândia	7,04	10,43	5,26
	Países Baixos	2.030,00	1.307,00	805,00
	Suécia	331,36	402,83	327,51
	Total	55.199,79	50.876,64	38.758,29

		IFRS 9				
País/Ano		2018	2019	2020	2021	2022
<b>Países Mais Endividados</b>	<b>Espanha</b>	37.162,07	34.664,75	38.607,09	38.705,65	45.689,38
	<b>França</b>	38.689,59	35.596,26	37.947,16	33.469,53	42.839,39
	<b>Grécia</b>	43.878,36	33.459,88	26.098,63	7.991,08	6.077,57
	<b>Itália</b>	64.401,60	50.843,50	38.008,64	32.871,81	28.242,57
	<b>Portugal</b>	2.851,91	2.417,02	2.036,52	1.849,28	1.502,37
	<b>Total</b>	<b>206.005,35</b>	<b>176.091,13</b>	<b>166.366,63</b>	<b>135.153,05</b>	<b>147.036,32</b>
<b>Países Menos Endividados</b>	<b>Alemanha</b>	5.841,62	5.681,39	7.335,35	6.253,62	8.913,34
	<b>Dinamarca</b>	4.395,14	4.150,85	4.549,74	4.274,24	3.824,84
	<b>Finlândia</b>	23,56	35,16	41,71	47,69	44,87
	<b>Países Baixos</b>	7.283,00	7.504,00	9.638,00	8.094,00	8.455,00
	<b>Suécia</b>	1.478,52	1.738,33	2.103,80	1.596,14	1.446,98
	<b>Total</b>	<b>206.005,35</b>	<b>176.091,13</b>	<b>166.366,63</b>	<b>135.153,05</b>	<b>147.036,32</b>

Durante o período da IAS 39, as entidades bancárias do grupo de países mais endividados reconhecem maiores níveis de imparidades, nomeadamente nos países de Espanha e Itália. No sentido inverso, Finlândia e Dinamarca do grupo dos países menos endividados são os que menos reconhecem perdas por imparidade. Os níveis reconhecidos mantiveram-se estáveis durante o período da IAS 39, com uma ligeira exceção no ano de 2017, sendo reconhecidos no total 55, 51 e 39 mil milhões de euros em imparidades respetivamente para os anos em estudo. A média, durante este período, totalizou os 48 mil milhões de euros, em que, cerca de 45 mil milhões pertenciam a entidades bancárias do grupo de países mais endividados. Este facto indica que estes países mais endividados tendem a constituir mais imparidades que as entidades do grupo de países menos endividado.

No primeiro ano da implementação da norma IFRS 9, verificou-se um aumento do reconhecimento das perdas por imparidade de 400% face ao último ano em vigência da IAS 39. No total, foram reconhecidos 206 mil milhões de euros em imparidades, sendo que destes, 187 mil milhões, ou seja 91%, diziam respeito a entidades do grupo de países mais endividados.

No geral, no ano de 2018, os bancos de todos os países reconheceram significativamente maiores níveis de imparidades no ano da implementação da norma, comparativamente aos níveis reconhecidos nos períodos anteriores. No grupo dos países mais endividados, realça-se sobretudo a Itália, Grécia e Espanha com os maiores aumentos no reconhecimento de imparidades face aos períodos passados. No grupo dos países menos endividados, os Países Baixos, a Alemanha e a Dinamarca são os países onde se denotou maiores níveis de imparidade.

Nos anos seguintes, denotou-se uma redução nos montantes de imparidades reconhecidas, com um ligeiro aumento no ano de 2022. Mesmo assim, os montantes são muito superiores aos que foram reconhecidos durante o normativo anterior. De uma forma geral, no período em vigência da IFRS 9, em média, as entidades reconheceram 166 mil milhões de euros em imparidades, mais 118 mil milhões do que no período de estudo da IAS 39. Este aumento traduz uma variação de cerca de 244% de reconhecimento de perdas por imparidade face à IAS 39. Durante o período em estudo, entre os anos de 2015 e 2022, foram



reconhecidas no total 975 mil milhões de euros em imparidades e 88% deste montante diz respeito às entidades bancárias do grupo de países mais endividados.

Relativamente ao Resultado Líquido do Período, verificaram-se os seguintes montantes durante a IAS 39:

		<b>IAS 39</b>		
<b>País/Ano</b>		<b>2015</b>	<b>2016</b>	<b>2017</b>
<b>Países Mais Endividados</b>	<b>Espanha</b>	12.764,50	14.587,00	16.145,11
	<b>França</b>	17.495,31	18.278,55	17.747,26
	<b>Grécia</b>	-8.967,27	-2.653,67	-480,52
	<b>Itália</b>	7.216,37	-9.131,50	11.847,66
	<b>Portugal</b>	360,96	145,82	289,56
	<b>Total</b>	<b>39.794,89</b>	<b>39.534,88</b>	<b>68.023,57</b>
<b>Países Menos Endividados</b>	<b>Alemanha</b>	-4.105,84	934,14	959,33
	<b>Dinamarca</b>	2.442,60	3.585,56	3.754,02
	<b>Finlândia</b>	90,65	85,04	84,13
	<b>Países Baixos</b>	7.202,00	8.845,00	12.424,00
	<b>Suécia</b>	5.295,61	4.858,96	5.253,03
<b>Total</b>	<b>39.794,89</b>	<b>39.534,88</b>	<b>68.023,57</b>	

No ano de 2015 os bancos reportaram cerca de 40 mil milhões de euros como RLP, sendo que Grécia e Alemanha foram os únicos países em que os seus bancos apresentaram saldo negativo nesta rubrica. O ano de 2016 foi muito semelhante ao ano anterior, uma vez que Grécia e Itália foram os países com RLP negativo e França, Espanha, Países Baixos, Suécia e Dinamarca foram os países onde os bancos obtiveram mais lucros com a sua atividade. No último ano da IAS 39, houve um aumento exponencial do RLP dos bancos da amostra em cerca de 72%. A Grécia manteve o registo dos anos anteriores e foi o único país onde os bancos registaram prejuízos no final do ano, embora com uma ligeira redução dos mesmos.

Em média, durante o período da IAS 39, os bancos em estudo reconheceram no total 49 mil milhões de euros no RLP, sendo que cerca de 32 mil milhões de euros pertenciam a bancos do grupo de países mais endividados e 17 mil milhões a bancos do grupo de países menos endividados. Em média, França, Espanha e Países Baixos foram os países em que foram reconhecidos maiores montantes no RLP após o apuramento final de contas, enquanto a Grécia e a Alemanha foram os países que nos três anos em estudo, os bancos reconheceram RLP negativo.



		IFRS 9				
País/Ano		2018	2019	2020	2021	2022
<b>Países Mais Endividados</b>	<b>Espanha</b>	18.590,93	15.686,42	-3.850,99	23.510,36	22.451,05
	<b>França</b>	19.848,18	19.927,29	12.201,93	25.779,25	22.515,14
	<b>Grécia</b>	-77,40	276,41	-2.052,42	-4.829,12	3.411,46
	<b>Itália</b>	11.045,41	9.301,06	921,00	9.897,96	14.817,79
	<b>Portugal</b>	418,87	401,40	208,37	24,99	129,68
	<b>Alemanha</b>	2.782,97	-2.978,03	-886,82	4.662,55	9.104,53
<b>Países Menos Endividados</b>	<b>Dinamarca</b>	2.736,00	2.723,85	1.185,35	2.735,48	416,86
	<b>Finlândia</b>	99,26	115,59	104,76	173,46	143,74
	<b>Países Baixos</b>	12.577,00	15.840,00	2.519,00	9.593,00	11.847,00
	<b>Suécia</b>	6.013,64	5.438,11	4.411,20	6.431,66	6.324,45
	<b>Total</b>	<b>74.034,87</b>	<b>66.732,10</b>	<b>14.761,37</b>	<b>77.979,59</b>	<b>91.161,70</b>

Logo após a implementação da norma, houve um aumento do RLP em cerca de 9%, com especial ênfase para os bancos da Alemanha aumentaram os seus lucros para o triplo comparativamente a 2016. Grécia foi o único país a apresentar RLP negativo em 2018, no entanto, com valores relativamente próximos de zero. O ano de 2019 foi relativamente semelhante ao ano de 2018.

O ano de 2020 com o confinamento a nível mundial devido à pandemia Covid-19 que gerou uma paralisação parcial dos mercados e a limitação negocial de transações bancárias, evidenciou a maior diminuição do RLP dos períodos analisados. Com uma quebra a rondar os 78%, os bancos passaram a reportar no total, um RLP de 14.8 mil milhões de euros, comparativamente aos 66.7 do ano anterior. Todos os países da amostra denotaram uma redução no seu RLP, sendo que os bancos de Espanha e Países Baixos foram os que mais sofreram, reduzindo respetivamente 78% e 84% os seus resultados finais. Nota que em 2020, três países apresentarem RLP negativos, sendo estes, Espanha, Grécia e Alemanha.

Em 2021, com a maioria da população mundial vacinada contra o vírus que gerou a pandemia e com a diminuição das restrições que os países tinham vigorado, os bancos reportaram como RLP valores acima dos do ano 2018. Este crescimento comparado ao ano de 2020, deve-se essencialmente aos bancos de Espanha, França e Itália que contribuíram em cerca de 80% deste aumento face a 2020. A Grécia foi o único país em que os bancos reportaram RLP negativo.

Por fim, no ano de 2022, as instituições financeiras seguiram a tendência crescente do ano anterior, e com um aumento de 13 mil milhões em RLP face a 2021, todos os países da amostra reportaram resultados positivos.

Em média, durante o período da IFRS 9, os bancos reconheceram cerca de 65 mil milhões de euros no RLP, sendo que, 44 mil milhões de euros diziam respeito a bancos do grupo de países mais endividados e cerca de 21 mil milhões a bancos do grupo de países menos endividados. Em média, França, Espanha, Países Baixos e Itália foram os países em que maiores montantes no RLP foram reconhecidos durante os anos de 2018 e 2022. Por outro lado, Grécia foi o único país em que os seus bancos, em média, no período em vigor da IFRS 9 reconheceram RLP negativo.

Recorrendo ao teste de normalidade, o valor-p obtido é inferior a 0,001 e dado que não atinge o nível de significância de 0,05 rejeita-se o pressuposto de normalidade da amostra e assume-se que se tem de prosseguir com a alternativa não paramétrica do teste U de Mann-Whitney.

Relativamente aos coeficientes da Correlação de *Spearman* os dados entre as variáveis de Imparidades e de Resultado Líquido do Período foram para os anos em estudo, respetivamente, os seguintes: 0,389; 0,320; 0,300; 0,572; 0,559; 0,220; 0,619 e 0,693. O que se pode retirar destes resultados é que se verifica uma correlação significativa entre as duas variáveis e que os uma variação nas Imparidades das entidades bancárias em estudo traduz numa variação na ordem dos respetivos coeficientes para o RLP. Conclui-se ainda que após a implementação da IFRS 9, os coeficientes de correlação são superiores comparativamente ao valores obtidos no período da IAS 39.

Após a análise de observação aos dados obtidos da amostra, conclui-se que as entidades reconheceram cerca de 2,4 vezes mais imparidades após a implementação da IFRS 9 (48 mil milhões para 166 mil milhões em média) e dessa forma valida-se a Hipótese de Investigação 1.

Por fim, após a implementação da norma verificou-se igualmente um crescimento de 32% no RLP das entidades bancárias. Estes dados foram obtidos tendo em conta a média dos reportes durante o período da IFRS 9 comparativamente aos reportes publicados no período da IAS 39. Desta forma, também se valida a Hipótese de Investigação 2, uma vez que se verificam impactos significativos nas demonstrações financeiras das entidades da amostra.

## 5. Conclusão

O estudo iniciou-se com uma breve introdução do tema a investigar, a apresentação das normas IAS 39 e IFRS 9, uma síntese de comparação entre estas e uma contextualização da aplicação desta última no setor bancário. A primeira conclusão da Revisão de Literatura é que as normas compreendem várias similaridades entre elas, porém, a classificação dos ativos financeiros, a sua mensuração subsequente e reclassificação, bem como as imparidades, são os tópicos onde surgem as maiores diferenças entre as duas normas.

O estudo proposto consistiu numa análise durante os anos de 2015 a 2022, de forma a validar se a alteração do normativo impactou as demonstrações financeiras das entidades bancárias da União Europeia.

Os resultados apresentados indicam que o nível de imparidades reconhecidas nas entidades bancárias da amostra de estudo aumentou exponencialmente após a implementação da IFRS 9 no ano de 2018, o que valida a componente teórica. Comparando a adoção da norma entre os bancos dos países mais e menos endividados, conclui-se que as entidades bancárias dos países mais endividados tendem a constituir maiores montantes de imparidades do que nos países menos endividados, quer no período da IAS 39, quer após a implementação da norma IFRS 9, embora após esta última, os valores terem disparado significativamente.

Relativamente ao Resultado Líquido do Período, os resultados demonstraram apresentar valores superiores nos reportes das entidades bancárias para todos os anos em estudo. Este facto justifica-se essencialmente pela amostra apresentar um maior número de bancos respeitantes ao grupo de países mais endividados, mas também pelo facto das entidades com maior peso nos montantes reportados

pertencerem ao grupo mais endividado, nomeadamente aos países França e Espanha. A literatura apontava para um enfraquecimento dos resultados dos bancos após a implementação da IFRS 9, algo que não se verificou no presente estudo.

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## Um estudo sobre a escolha do modelo de mensuração subsequente dos ativos fixos tangíveis em sociedades anónimas

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**Resumo:** *O presente artigo tem como objetivo identificar os determinantes que influenciam e são influenciados a escolha do modelo adotado na mensuração subsequente dos ativos fixos tangíveis nas Sociedades Anónimas, no período compreendido entre 2015 e 2021. Os dados foram retirados da base de dados SABI. Partindo da premissa de que o modelo de revalorização induz o aumento do valor do capital próprio, este fator pode ser tido em consideração em empresas que recorrem a financiamentos junto da banca, pois deste modo reforçam alguns dos seus rácios financeiros, tornando a empresa mais apelativa ao investimento externo. Para a concretização da análise pretendida e resultado da revisão de literatura efetuada, definimos o financiamento como uma das variáveis a testar no que respeita à influência na escolha do modelo de mensuração subsequente. Outra situação que iremos abordar está ligada aos fatores que são influenciados por esta escolha. A seleção do fatores alvo de análise respeitou os seguintes critérios: literatura insuficiente, divergência na literatura e na interligação entre si. No que respeita à metodologia, através de um modelo de regressão linear identificou-se que o preço das ações, o retorno do capital próprio e o retorno do ativo são influenciados positivamente, ao passo que resultados transitados negativos são atenuados pelo mesmo. Confrontando os nossos resultados, provenientes do modelo probit, com os estudos anteriores conclui-se que uma empresa tenderá a revalorizar quanto maior for a sua necessidade de financiamento, a sua autonomia financeira e a sua dimensão e quanto menor for a sua liquidez. Com este trabalho pretendeu-se contribuir para o esclarecimento sobre eventuais fatores ponderados pelos gestores das empresas, no momento de decisão sobre o modelo de revalorização subsequente a adotar, com a inovação da introdução no nosso estudo da variável preço das ações.*

**Palavras-chave:** *Modelo de Revalorização; Modelo do Custo; NCRF 7; Excedente de revalorização*

**Abstract:** *This article aims to identify the determinants that influence the model adopted for the subsequent measurement of tangible fixed assets in public limited companies between 2015 and 2021. The data was taken from the SABI database. Based on the premise that the revaluation model induces an increase in the equity value, this factor can be considered in companies that use bank financing, as this strengthens some of their financial ratios, making the company more appealing to external investment. To carry out the intended analysis and as a result of the literature review, we defined financing as the variable to be tested in terms of its influence on the choice of the subsequent measurement model. Another situation that we will address is the result of the literature review, whose various authors who have studied the subject have reached the following conclusions in their work: insufficient literature, divergence in the literature and the interconnection between them. As far as the methodology is concerned, using a logit model, it was identified that share price, return on equity and return on assets are positively influenced, while negative retained earnings are attenuated by the same. Comparing our results with those of previous studies, we conclude that a company will tend to revalue the greater its need for financing, its financial autonomy and its size, and the lower its liquidity. This study aimed to shed light on possible factors that company*

*managers consider when deciding on the subsequent revaluation model to adopt, with the innovation of introducing the share price variable into our study.*

## **1. Introdução**

Com a economia global em constante crescimento, as matérias contabilísticas têm de se adaptar e acompanhar esta evolução, pelo que se tornou necessário a criação de normas internacionais, a fim de permitir a comparabilidade das demonstrações financeiras. Desta forma, a nível nacional surgiu o Sistema de Normalização Contabilística que permite a harmonização com as empresas que adotam as International Accounting Standards (IAS) (Calais & Saraiva, 2018).

No que concerne aos ativos fixos tangíveis, a Norma Contabilística e de Relato Financeiro 7 estabelece o tratamento contabilístico desta rubrica sendo baseada na IAS 16. Complementarmente, importa referir que a presente norma determina que na mensuração subsequente uma entidade pode optar entre o modelo do custo e o modelo de revalorização, sendo este o ponto fulcral desta investigação.

A escolha do modelo a adotar na mensuração subsequente dos ativos fixos tangíveis não é um tema com critérios objetivos e obrigatórios, pelo que esta decisão cabe a cada entidade individualmente. Para além disso, o tema constitui bastantes divergências, bem como algumas insuficiências de literatura, como é o caso do estudo da influência do modelo de revalorização no preço das ações. Assim, surge a presente investigação com vista na procura dos fatores que levam a adoção do modelo de revalorização em detrimento do modelo do custo, bem como aqueles que são influenciados por esta decisão.

Posto isto, para o efeito, optou-se por empresas com forma jurídica de sociedade anónima e através da revisão de literatura identificaram-se os fatores que influenciam e são influenciados pela adoção do modelo de revalorização e do modelo do custo, posteriormente efetuaram-se testes estatísticos a fim de responder às questões de investigação.

Após a presente introdução, este artigo é constituído por mais quatro capítulos. O primeiro capítulo consiste no enquadramento contabilístico do tema. O segundo capítulo engloba uma compilação dos determinantes para a escolha do método de mensuração subsequente, onde foi possível identificar a evidência empírica a favor e contra dos mais diversos fatores. O terceiro capítulo, explica a construção dos dois modelos bem como os resultados dos mesmo. Por fim, no quarto capítulo são apresentadas as conclusões do estudo.

## **2. A mensuração subsequentes dos ativos fixos tangíveis em Portugal**

A contabilidade sofreu alterações ao longo do tempo pelo que nem sempre foi como a conhecemos atualmente. O surgimento do Sistema de Normalização Contabilística, pelo decreto-lei n.º 158/2009, com produção de efeitos a partir de 1 de janeiro de 2010, veio colmatar lacunas dos Planos Oficiais de Contabilidade já que permitia a comparabilidade das demonstrações financeiras portuguesas com as empresas que adotavam as IAS (International Accounting Standards). A Norma Contabilística e de Relato Financeiro 7 (NCRF 7) tem por base a IAS 16 e estabelece o tratamento contabilístico dos ativos fixos tangíveis, sendo apresentado de forma detalhada seguidamente.

Após a mensuração inicial do ativo fixo tangível, uma entidade tem a opção de escolher o método a adotar na mensuração subsequente: modelo do custo ou modelo de revalorização (NCRF 7 § 30).

Segundo o modelo do custo, o ativo fixo tangível é escriturado pelo seu custo deduzido de depreciações acumuladas e perdas por imparidade acumuladas (NCRF 7 § 31).

Relativamente às depreciações estas são geralmente imputadas a gastos, numa base sistemática da vida útil do ativo, sendo que a quantia depreciável inclui o seu custo deduzido do seu valor residual. Para além disso, existe uma variedade de métodos para o registo das depreciações, nomeadamente o método da linha reta, o método do saldo decrescente e o método das unidades de produção (NCRF 7).

No que concerne às perdas por imparidade, estas devem ser reconhecidas quando a quantia escriturada do ativo é superior à sua quantia recuperável (NCRF 7 § 6). Sendo esta última mensurada pelo valor mais alto entre o preço de venda líquido e o seu valor de uso (NCRF 7 § 6).

Já de acordo com o modelo de revalorização, o ativo fixo tangível deve ser escriturado pela quantia revalorizada, desde que o seu justo valor possa ser mensurado com fiabilidade (NCRF 7 § 32). Por sua vez, a quantia revalorizada inclui o justo valor do ativo deduzido de depreciações subsequentes e perdas por imparidade subsequentes (NCRF 7 § 32), sendo que o justo valor dos terrenos e edifícios é normalmente apurado por avaliadores independentes, ao passo que o justo valor de itens de instalação e equipamento é habitualmente o seu valor de mercado calculado por avaliação (NCRF 7 § 33).

Quando uma entidade opta pelo modelo de revalorização, as depreciações acumuladas até ao momento da revalorização devem seguir um de dois métodos (NCRF 7 § 36). O primeiro consiste na reexpressão proporcional das depreciações acumuladas e da quantia escriturada bruta, para que a quantia escriturada do ativo após a revalorização seja igual à quantia revalorizada, sendo normalmente aplicado um índice ao seu custo de reposição depreciado (NCRF 7 § 36 alínea a)) . Já no que concerne ao segundo método, este implica a eliminação das depreciações acumuladas até à data de revalorização por contrapartida da quantia escriturada do ativo (NCRF 7 § 36 alínea b)).

Independentemente do método adotado no tratamento das depreciações, o aumento da quantia escriturada do ativo deve ser creditado no capital próprio na conta designada por excedentes de revalorização (NCRF 7 § 40)<sup>5</sup>. No entanto, o aumento poderá ser reconhecido em resultados até reverter eventuais decréscimos de revalorização previamente contabilizados do mesmo ativo (NCRF 7 § 40).

Caso haja uma diminuição da quantia escriturada do ativo esta deve ser reconhecida em resultados (NCRF 7 § 41). Contudo, a diminuição deve ser debitada no capital próprio na conta designada por excedentes de revalorização até reverter o crédito constante nessa conta, que advém de acréscimos de revalorização anteriormente reconhecidos do mesmo ativo (NCRF 7 § 41) .

Nos períodos subsequentes, aquando do reconhecimento das depreciações do período, o eventual excedente de revalorização reconhecido anteriormente é realizado através da sua transferência para resultados retidos, sendo que a conta a reconhecer não pertence a resultados, mas sim a capital próprio, em resultados transitados (NCRF 7 § 42).

Neste sentido, quando a revalorização que deu origem ao excedente de revalorização é imposta por disposição legal, o artigo 295.º n.º 2 alínea b) do CSC determina que o excedente de revalorização ficará sujeito ao regime de reserva legal, na parte que não seja destinada para cobrir eventuais prejuízos. Adicionalmente, o artigo 32.º n.º 2 do CSC permite a distribuição aos sócios do excedente de revalorização quando realizado.



### **3. Determinantes para a escolha do modelo de revalorização na mensuração**

A escolha do método a adotar na mensuração subsequente dos ativos fixos tangíveis pode levantar algumas controvérsias, a nível da literatura, no que concerne aos fatores que levam à adoção de um modelo em detrimento do outro. Assim será apresentada seguidamente a principal evidência empírica sobre o tema.

De acordo com Esteves (2015) o modelo de revalorização é o modelo do futuro, tendo em conta a insuficiência do modelo do custo no fornecimento de informação para a tomada de decisão (Marra, 2016).

Posto isto, ao longo do tempo vários autores têm vindo a estudar as principais motivações que levam as entidades a optar pelo modelo de revalorização, bem como o impacto da adoção do mesmo. De seguida serão apresentadas, de forma sintetizada, as principais conclusões de alguns autores.

#### **3.1 Evidência empírica**

De acordo com Sharpe e Walker (1975), a divulgação de informação acerca da adoção do modelo de revalorização implica o aumento do preço das ações, uma vez que é considerada relevante para o mercado e, portanto, é rapidamente absorvida pelo mesmo. De forma díspare, segundo Emanuel (1989), não existe evidência que o preço das ações varia com a divulgação da revalorização dos ativos e a pouca evidência que poderá ser detetada pode ter origem noutras divulgações.

Complementarmente, Barth e Clinch (1998) analisaram o impacto da adoção deste modelo no preço das ações e concluíram que relativamente aos ativos fixos tangíveis, o preço das ações sofre um impacto positivo quando se opta pelo modelo de revalorização apenas em alguns setores de atividade.

Posteriormente, Brown et al. (1992) evidenciaram três motivos que poderão levar as empresas a revalorizar: evitar custos de contratação de financiamento, reduzir os custos políticos e minimizar a assimetria de informação. De forma análoga, Easton et al. (1993) concluíram que a mensuração dos ativos através do modelo de revalorização minimiza a assimetria de informação, já que os valores se encontram mais próximos do mercado, bem como demonstraram que uma empresa com maior grau de endividamento tenderá a revalorizar os seus ativos, a fim de evitar custos de contratação de financiamento.

De seguida, face aos estudos anteriores, Cotter e Zimmer (1995) acrescentaram que uma empresa que se encontre com cash flows decrescentes, obterá com maior facilidade endividamento adicional se adotar o modelo de revalorização, sendo este modelo mais propício em entidades com maior número de empréstimos.

Num estudo elaborado com base em empresas do Reino Unido, Aboody et al. (1999) concluíram que as revalorizações estão positivamente associadas ao desempenho futuro das empresas, aos preços das ações e aos retornos, no entanto esta relação torna-se mais fraca em empresas que possuem maior endividamento. Adicionalmente, ainda no contexto inglês, Lin e Peasnell (2000), evidenciaram a relação positiva entre as revalorizações e o tamanho, a alavancagem e a intensidade dos ativos fixos tangíveis e a relação negativa destas com a liquidez.

Seguidamente, Jaggi e Tsui (2001) destacaram a associação positiva entre as revalorizações e os preços das ações, sendo mais forte para empresas de grande dimensão e, concluíram que as revalorizações são motivadas para informar o justo valor aos potenciais investidores, dado que a informação é relevante para estes, bem como para melhorar a capacidade de endividamento das empresas por parte dos gestores.

Baseando-se em estudos anteriores, Courtenay e Cahan (2004) examinaram a relevância do valor da revalorização de ativos não correntes, e confirmaram a relação positiva entre as revalorizações e os retornos, bem como o impacto negativo do nível de endividamento nessa relação. Adicionalmente, vieram colmatar inconsistências a nível da literatura e afirmaram que as empresas com maior endividamento, reavaliam os seus ativos por motivos oportunistas (Courtenay & Cahan, 2004).

Em 2007 foi elaborado um estudo que englobou 35 países e não apenas um país como os estudos anteriormente referidos (Barlev et al., 2007). Segundo Barlev et al. (2007), as conclusões obtidas nos estudos anteriores, têm como base o ambiente económico e jurídico de cada país, pelo que não é possível a generalização dos seus resultados. Posteriormente, corroboraram a relação entre as revalorizações e o desempenho futuro, apenas para o resultado operacional e, por outro lado, afirmaram que as revalorizações não se relacionam nem com os cash flows futuros, nem com o retorno de mercado, bem como destacou que o mercado não considera oportunista a decisão de reavaliar (Barlev et al., 2007).

Subsequentemente, Cheng e Lin (2009) compararam o desempenho de empresas que revalorizam vs empresas que não revalorizam, tendo como base uma amostra de entidades do Reino Unido. Assim concluíram que as empresas que revalorizam possuem maior endividamento, maior retorno de ação e maior alavancagem do setor (Cheng & Lin, 2009).

Ainda relativamente ao contexto inglês, Iatridis e Kilirgiotis (2012) investigaram os motivos que levam as empresas a revalorizar. Como resultado desta investigação, realçaram que existe uma maior tendência de revalorização por parte de empresas de grande dimensão, a fim de salientar a posição financeira e a imagem de mercado, bem como para fazer face às suas necessidades de financiamento e de capital (Iatridis & Kilirgiotis, 2012).

Segundo Choi et al. (2013), através do estudo de uma amostra de empresas coreanas, chegaram à conclusão de que uma empresa terá maior tendência a revalorizar quanto maior for o seu valor de ativos fixos tangíveis, maior grau de alavancagem financeira e maior necessidade de financiamento. Posteriormente, Shin e Willis (2014) estudaram a reação dos gestores coreanos à adoção da IAS 16 e averiguaram que a decisão de revalorizar não possuía motivações oportunistas, sendo a sua principal motivação o fornecimento de informação sobre o justo valor para potenciais investidores.

De seguida, Dinis (2013) estudou as escolhas contabilísticas de 35 empresas cotadas na bolsa nacional e constatou que as empresas industriais são mais propícias a adotar o modelo do justo valor, bem como ressaltou que as entidades com maior índice de alavancagem financeira tendem a adotar o modelo de revalorização.

No contexto português, Conceição (2015) estudou os determinantes que levam à escolha do método de mensuração em empresas cotadas e concluiu que a dimensão não influencia a decisão de revalorizar, ao passo que o nível de endividamento tem influência na escolha do modelo a adotar.

Posteriormente, Nijam (2018) examinou os fatores que levam uma empresa a optar pelo modelo de revalorização ou pelo modelo do custo na indústria da manufatura. Concluiu que quando existe maior percentagem de terrenos e construção, no total dos ativos, opta-se pelo modelo de revalorização (Nijam, 2018).

Ainda no contexto português, Santinha (2018) concluiu, através de um estudo em empresas não cotadas, que as empresas adotam o modelo de revalorização para colmatar resultados transitados negativos, e que

a decisão de adotar num determinado ano é influenciada pelo peso dos terrenos e construções, no total dos ativos, e para melhorar o rácio de autonomia financeira.

De seguida, Vieira (2019) subdividiu o seu estudo em dois modelos: empresas que revalorizam fiscalmente e empresas que revalorizam contabilisticamente. Relativamente ao modelo de revalorização fiscal, o mesmo foi inconclusivo, ao passo que, no que concerne ao modelo de revalorização contabilístico, concluiu que a opção pelo modelo de revalorização está diretamente relacionada com a prevalência de terrenos e edifícios, bem como com a liquidez, e está inversamente relacionado com a dimensão da empresa (Vieira, 2019).

Cho et al. (2021) estudaram o efeito das revalorizações na contratação de financiamento tendo como base empresa cotadas em bolsa. Assim, concluíram que após a adoção do modelo de revalorização, as empresas com necessidades de financiamento, optam por financiamento de longo prazo, na forma de dívida privada sendo impulsionada por empresas não saudáveis (Cho et al., 2021). Pelo que o modelo de revalorização se provou uma ferramenta eficaz para a obtenção de financiamento (Cho et al., 2021).

Por fim, Gomes (2021) através de uma amostra de empresas cotadas na Euronext Lisbon averiguou a relação negativa entre dimensão da empresa e a opção pelo modelo de revalorização e a relação positiva desta alternativa com o nível de alavancagem e a intensidade de ativos fixos tangíveis.

### 3.1.1 Principais motivos para adoção do Modelo de Revalorização

No seguimento da secção anterior, a Tabela apresenta os principais fatores que influenciam ou são influenciados pela adoção do modelo de revalorização, bem como a evidência empírica a favor e contra.

Tabela 2 – Quadro resumo: Modelo de Revalorização

Fator	Evidência empírica a favor	Evidência empírica contra
<b>Aumento do preço das ações</b>	Sharpe e Walker (1975); Barth e Clinch (1998); Aboody et al. (1999); Jaggi e Tsui (2001)	Emanuel (1989)
<b>Evitar custos de contratação de financiamento</b>	Brown et al. (1992); Easton et al. (1993)	
<b>Reduzir custos políticos</b>	Brown et al. (1992)	
<b>Minimizar a assimetria de informação</b>	Brown et al. (1992); Easton et al. (1993)	
<b>Maior grau de endividamento</b>	Easton et al. (1993); Cheng e Lin (2009); Conceição (2015)	
<b>Maior número de empréstimos</b>	Cotter e Zimmer (1995)	
<b>Maior desempenho futuro</b>	Aboody et al. (1999); Barlev et al. (2007)	
<b>Maior retorno</b>	Aboody et al. (1999); Courtenay e Cahan (2004); Cheng e Lin (2009)	Barlev et al. (2007)
<b>Maior dimensão</b>	Lin e Peasnell (2000); Iatridis e Kilirgiotis (2012)	Conceição (2015); Vieira (2019); Gomes (2021)
<b>Maior alavancagem</b>	Lin e Peasnell (2000); Cheng e Lin (2009); Choi et al. (2013); Dinis (2013); Gomes (2021)	

<b>Maior intensidade de ativos fixos tangíveis</b>	Lin e Peasnell (2000); Choi et al. (2013); Nijam (2018) (apenas para terrenos e edifícios); Santinha (2018) (apenas para terrenos e edifícios); Vieira (2019); Gomes (2021)	
<b>Menor liquidez</b>	Lin e Peasnell (2000)	Vieira (2019)
<b>Motivação oportunista</b>	Courtenay e Cahan (2004)	Barlev et al. (2007); Shin e Willis (2014)
<b>Colmatar resultados transitados negativos</b>	Santinha (2018)	
<b>Maior autonomia financeira</b>	Santinha (2018)	
<b>Maior necessidade de financiamento</b>	Choi et al. (2013); Cho et al. (2021)	

Fonte: Elaboração Própria

Como se pode verificar, relativamente ao modelo de revalorização denota-se consistência na literatura, exceto no preço das ações, no retorno, na dimensão da empresa e na motivação que leva à adoção do modelo de revalorização. Desta forma no capítulo seguinte serão apresentadas as hipóteses tendo como base a literatura.

Os critérios de seleção dos determinantes que serão analisados nas secções seguintes passam por escolher aqueles que apresentam divergência de estudos, nomeadamente o preço das ações, a dimensão, a liquidez e o retorno (ROA e RCP), bem como serão também considerados os critérios que neste estudo não possuem predominância de evidência empírica, como é o caso da autonomia financeira, os resultados transitados negativos e a necessidade de financiamento. Para além disso, optou-se por fatores que possam estar interligados entre si.

#### 4. Estudo Empírico

A presente investigação tem como objetivo principal a identificação dos principais determinantes que influenciam, e são influenciados, na adoção do modelo de revalorização na mensuração subsequente dos ativos fixos tangíveis, em empresas com forma jurídica de sociedade anónima disponíveis na base de dados SABI.

De acordo com Hosmer e Lemeshow (2000), os modelos de regressão tornaram-se fundamentais para analisar dados a fim de explicar a relação entre uma variável dependente e as suas variáveis explicativas, sendo o mais conhecido o modelo de regressão linear. No entanto, consoante as características da variável depende pode-se utilizar modelo logit, uma vez que o mesmo é muito semelhante ao modelo de regressão linear, contudo a variável dependente será binária, isto é, assumirá o valor 1 na presença de um determinado acontecimento, e o valor 0 caso contrário (Hosmer & Lemeshow, 2000). Por outro lado, Faria et al. (2020) veio destacar que quando estamos perante uma variável dependente binária, se deve usar o modelo probit quando a variável segue uma distribuição normal.

Face ao exposto, o modelo a ser adotado nas questões de investigação apresentadas a posteriori, será o modelo de regressão linear e o modelo probit de uma série temporal, compreendida entre 2015 e 2021, respetivamente. Assim, as questões de investigação formuladas são as seguintes:

Q1: Quais são os fatores que são influenciados pela adoção do modelo de revalorização em detrimento do modelo do custo?

Q2: Quais são os determinantes que implicam a escolha do modelo de revalorização?

Deste modo, através das questões de investigação e face à decisão nas secções a priori dos fatores a serem analisados, serão levantadas as hipóteses para cada questão, a fim de responder às mesmas e assim atingir o objetivo principal da investigação.

#### 4.1 Amostra e tratamento de dados

A amostra do presente estudo foi obtida através da base de dados SABI, sendo a mesma constituída pelas empresas com forma jurídica, sociedade anónima. Desta forma, englobará tanto empresas cotadas como não cotadas, sediadas em Portugal, obtendo-se uma amostra com 37.749 observações.

Relativamente à primeira questão de investigação, foram eliminadas todas as entidades cujo último dia de dados disponível era diferente de 31/12/2021, pelo que a amostra se reduziu para 20.364 observações. Seguidamente foram consideradas apenas as empresas com dados conhecidos, isto é, desconsideraram-se empresas cujo montante das rubricas em estudo não era conhecido nos anos de análise, pelo que se obteve uma amostra de 12.495 observações, constituída por 1785 empresas com dados nos anos de análise. Nesta questão apenas foram consideradas as empresas que adotam o modelo de revalorização no horizonte temporal compreendido entre 2015 e 2021.

Já no que respeita à segunda questão de investigação, após a eliminação das entidades cujo último dia de dados disponíveis são diferentes de 31/12/2021, e sendo desconsideradas todas as empresas em que os dados não são conhecidos, obteve-se uma amostra de 924 observações. Nesta questão, a adoção do modelo do custo e do modelo de revalorização será identificado através da rubrica excedentes de revalorização, que no caso de assumirem o valor 0 (zero) implicará a adoção do modelo de custo, ou caso contrário, do modelo de revalorização.

#### 4.2 Variáveis e Hipóteses

Nesta secção são analisadas as variáveis de cada questão de investigação que serão utilizadas a fim de testar as hipóteses.

Pretende-se explicar a forma de cálculo de cada variável, bem como alguns critérios de seleção para mensurar as mesmas. Por fim, também será avaliada a relação da variável dependente e as variáveis independentes, bem como as variáveis independentes entre si.

Q1: Quais são os fatores que são influenciados pela adoção do modelo de revalorização em detrimento do modelo do custo?

Tabela 7 - Fatores alvo de investigação na Q1

Variável	Cálculo	Dados necessários
Retorno do capital próprio	$\frac{RLP}{CP}$	Resultado líquido do período e capital próprio
Retorno do ativo	$\frac{RLP}{Ativo\ total}$	Resultado líquido do período e ativo total
Preço das ações	-	Preço da ação a 31/12/N

<b>Resultados transitados</b>	-	Resultados transitados
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Fonte: Elaboração própria

Relativamente à primeira questão será utilizado um modelo de regressão linear, sendo apenas as empresas que adotam o modelo de revalorização, isto é, possuem valor na rubrica de excedentes de revalorização e, posteriormente serão testadas as seguintes hipóteses:

H1.1: A adoção do modelo de revalorização implica maior retorno sobre o capital próprio.

H1.2: A adoção do modelo de revalorização implica maior retorno sobre o ativo.

H1.3: A adoção do modelo de revalorização implica o aumento do preço das ações.

H1.4: A adoção do modelo de revalorização atenua os resultados transitados, quando negativos

Q2: Quais são os determinantes que implicam a escolha do modelo de revalorização?

Tabela 8 - Fatores alvo de investigação na Q2

Variável	Cálculo	Dados necessários
<b>Necessidades de financiamento</b>	-	Fundo maneiio negativo
<b>Liquidez</b>	-	Liquidez geral
<b>Autonomia financeira</b>	$\frac{\text{Capital próprio}}{\text{ativo total}}$	Autonomia Financeira
<b>Dimensão</b>	-	Volume de negócios

Fonte: Elaboração própria

No que respeita à segunda questão, será utilizado o modelo probit, que assumirá o valor 1 quando a empresa adota o modelo de revalorização e o valor 0 caso contrário. Como variáveis explicativas ter-se-ão em conta as necessidades de financiamento, a liquidez, a autonomia financeira e a dimensão. Importa explicar os dados que serão necessários para as variáveis necessidades de financiamento e a dimensão. Tendo em conta que o fundo maneiio é a diferença entre o ativo circulante e o passivo circulante, uma empresa terá uma necessidade de financiamento quando os seus ativos de curto prazo são insuficientes para fazer face às suas obrigações para o mesmo período. Adicionalmente, dado que o estudo incide apenas em empresas de grande dimensão o critério para hierarquizar as mesmas foi o volume de negócios. Depois de definido o modelo serão testadas as seguintes hipóteses:

H2.1: Quanto maior for as necessidades de financiamento da empresa maior é a probabilidade desta optar pelo modelo de revalorização.

H2.2: Quanto menor for a liquidez da empresa maior é a probabilidade desta optar pelo modelo de revalorização.

H2.3: Quanto maior for a autonomia financeira da empresa maior é a probabilidade desta optar pelo modelo de revalorização.

H.2.4: Quanto maior for a dimensão maior é a probabilidade desta optar pelo modelo de revalorização.



### 4.3 Modelos e teste de hipóteses

Conforme mencionado anteriormente, relativamente à primeira questão de investigação, será utilizado o modelo de regressão linear. Através do R Studio, estimou-se o modelo tendo-se obtido os seguintes resultados:

Tabela 9 – Modelo estimado Q1

Coeficientes	Estimativa	Erro	Valor t	Pr(> t )
REVAL	-6068	58800	-0,103	0,918
COTACAO	355	302	1,178	0,239
RT	-0,0716	3077	-23275	< 2e-16
RAT	-3,573	4,913	-0,727	0,467
RCP	12,87	8,703	1,479	0,139

Fonte: Elaboração própria

Assim o modelo estimado é dado pela seguinte expressão:

$$REVAL = \beta_0 + \beta_1 COTACAO + \beta_2 RT + \beta_3 RAT + \beta_4 RCP$$

$$REVAL = -6068 + 355COTACAO - 0,0716RT - 3,573RAT + 12,87RCP$$

O modelo estimado é o modelo de acréscimos constantes, ou seja, lin-lin. Este modelo tem como variável dependente (explicada) o excedente de revalorização (REVAL) que possui uma relação de elasticidade com as variáveis independentes (explicativas), que no caso são o preço das ações (COTACAO), os resultados transitados (RT), o retorno do ativo total (RAT) e o retorno do capital próprio (RCP).

De seguida importa testar cada uma das hipóteses e através do valor p, iremos rejeitar ou não a hipótese nula com um intervalo de confiança de 95%.

Tabela 11 – Teste de hipóteses Q1

Hipótese nula	Valor-p	Conclusão
A adoção do modelo de revalorização implica maior retorno sobre o capital próprio.	51,17%	Como o valor-p obtido é superior ao nível de significância (5%), então não rejeitamos a hipótese nula.
A adoção do modelo de revalorização implica maior retorno sobre o ativo.	57,06%	
A adoção do modelo de revalorização implica o aumento do preço das ações.	51,69%	

<b>A adoção do modelo de revalorização atenua os resultados transitados negativos.</b>	43,81%	
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Fonte: Elaboração Própria

No que respeita à primeira questão de investigação, podemos concluir que o preço das ações, o retorno do ativo, o retorno do capital próprio e os resultados transitados são influenciados com a adoção do modelo de revalorização.

Relativamente ao preço das ações, este aumenta quando é adotado o modelo de revalorização, pelo que o estudo vem refutar o estudo de Dinis (2013) e Sanahuja (2014).

No que concerne ao retorno tanto do ativo como do capital próprio, o mesmo aumenta quando se adota o modelo de revalorização, tendo-se obtido a mesma conclusão do que os seguintes autores: Aboody et al. (1999), Courtenay e Cahan (2004) e Cheng e Lin (2009).

Por fim, os resultados transitados negativos são atenuados pela adoção do modelo de revalorização pelo que segue a conclusão da autora Santinha (2018).

Já no concerne à segunda questão de investigação será utilizado o modelo probit. Através do mesmo software estimou-se o modelo tendo-se obtido os seguintes resultados.

Tabela 10 - Modelo estimado Q2

Coeficientes	Estimativa	Erro	Valor z	Pr(> z )
<b>REVAL</b>	-0,7562	0,0570	-13,336	< 2e-16
<b>FINANC</b>	4,484e-06	4,420e-05	0,101	0,9192
<b>LIQ</b>	-0,01484	0,008316	-1,784	0,0744
<b>AF</b>	0,05676	0,04387	1,294	0,1958
<b>DIM</b>	2,853e-06	5,451e-06	0,523	0,6007

Fonte: Elaboração própria

Assim o modelo é dado pela seguinte expressão:

$$\text{REVAL} = \beta_0 + \beta_1 \text{FINANC} + \beta_2 \text{LIQ} + \beta_3 \text{AF} + \beta_4 \text{DIM}$$

$$\text{REVAL} = -0,7565 + 4,484 \times 10^{-6} \text{FINANC} - 0,01484 \text{LIQ} + 0,05676 \text{AF} + 2,853 \times 10^{-6} \text{DIM}$$

O modelo estimado é o modelo probit, uma vez a variável dependente é uma variável binária, que assume o valor 1 quando determinada entidade adota o modelo de revalorização e o valor 0 caso contrário.

De seguida são testadas as hipóteses da segunda questão de investigação, através das medianas uma vez que se tratam de dados que seguem testes paramétricos.

Tabela 12 - Teste de hipóteses Q2

Hipótese nula	Mediana modelo de Revalorização	Mediana modelo do Custo	Conclusão
Quanto maior forem as necessidades de financiamento da empresa maior é a probabilidade desta optar pelo modelo de revalorização.	-180,59	-177,74	Como quanto maior for o fundo de maneio, menor é a necessidade de financiamento, então aceitamos a hipótese nula.
Quanto menor for a liquidez da empresa maior é a probabilidade desta optar pelo modelo de revalorização.	0,53	0,72	A liquidez no modelo de revalorização é inferior do que nas empresas que adotam o modelo do custo, logo aceita-se a hipótese nula.
Quanto maior for a autonomia financeira da empresa maior é a probabilidade desta optar pelo modelo de revalorização.	0,28	0,24	A autonomia financeira é superior no modelo de revalorização do que no modelo do custo, logo aceita-se a hipótese nula
Quanto maior for a Dimensão maior é a probabilidade desta optar pelo modelo de revalorização.	1538,99	992,42	A dimensão é superior no modelo de revalorização do que no modelo do custo, logo aceita-se a hipótese nula

Fonte: Elaboração própria

No que respeita à segunda questão de investigação, podemos concluir que uma empresa terá tendência para revalorizar quanto maior forem as necessidades de financiamento, a autonomia financeira e a dimensão, e quanto menor for a liquidez.

As conclusões retiradas sobre as necessidades de financiamento vão em linha de conta com o que foi estudado por Choi et al. (2013).

No que respeita à liquidez as conclusões são coincidentes com o estudo de Lin e Peasnell (2000).

Relativamente à autonomia financeira, chegou-se à mesma conclusão que a autora Santinha (2018).

Por fim, no que concerne à dimensão, o estudo segue as conclusões retiradas pelos seguintes autores: Lin e Peasnell (2000) e Iatridis e Kilirgiotis (2012).

## 5. Conclusão

O presente estudo teve como objetivo a identificação dos fatores que influenciam e são influenciados pela adoção do modelo de revalorização na mensuração subsequente dos ativos fixos tangíveis.

Numa fase inicial, através de estudos já existentes foi possível efetuar uma compilação de conclusões dos mesmos, a fim de entender os determinantes que são alvo de maior divergência de opiniões bem como aqueles que ainda possuem baixa investigação, havendo uma possível interligação entre os mesmos.

Após serem selecionados os determinantes que seriam abordados no estudo empírico, tornou-se crucial a divisão entre fatores que são influenciados e os que influenciam a adoção do modelo de revalorização, a fim de responder às duas principais questões desta investigação.

Relativamente aos fatores que são influenciados pela adoção de revalorização, foram estudados quatro fatores: o preço das ações, o retorno do capital próprio, o retorno do ativo e os resultados transitados. Quando uma empresa adota o modelo de revalorização, o excedente entre o justo valor e a quantia escriturada do ativo é registado em capital próprio, logo o capital fica mais apelativo aos investidores e por esse motivo implica o aumento do preço das ações, que por sua vez terá implicação no retorno do capital próprio e no retorno do ativo, que será superior. Na adoção deste modelo, o excedente de revalorização é realizado em contrapartida de resultados transitados, aquando do registo das depreciações do período, o que implica o aumento da rubrica resultados transitados o que irá colmatar os resultados transitados negativos. Importa realçar, que o impacto no preço das ações foi estudado a nível internacional, portanto este torna-se o principal contributo deste artigo a nível nacional.

Já no que concerne aos fatores que influenciam a adoção do modelo de revalorização, abordou-se quatro fatores: as necessidades de financiamento, a liquidez, a autonomia financeira e a dimensão. Quando uma empresa necessita de financiamento, o modelo de revalorização será mais apelativo, uma vez que este implica um aumento no capital próprio da empresa e, portanto, facilita a obtenção de financiamento. No que respeita à liquidez, quanto menor esta for, mais a empresa tenderá a revalorizar, uma vez que a obtenção de financiamento se torna facilitada. Já a autonomia financeira, como esta representa a proporção de ativos financiada pelo capital próprio, quanto maior for o capital próprio mais financiados se encontram esses ativos, logo a opção pelo modelo de revalorização torna-se mais atrativa. Seguidamente, concluiu-se que as empresas com maior dimensão, tendem a revalorizar mais, sendo que neste estudo foi efetuada uma hierarquia entre as empresas de grande dimensão.

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## Norma de Contabilidade Pública 26 – Contabilidade e Relato Orçamental – Uma Abordagem

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**Abstract :** *Em 2015, através do Decreto-Lei 192/2015 de 11 de setembro, é aprovado o Sistema de Normalização Contabilística para a Administração Pública (SNC-AP). O objetivo era instituir um processo de normalização e harmonização contabilística. A Norma 26 surge com um papel relevante pois é obrigatória mesmo para as pequenas entidades. É por isso importante perceber as suas indicações, orientações, principais impactos e forma de aplicação. Este trabalho visa esclarecer e exemplificar a aplicação desta Norma, tendo-se para isso apresentado uma série de exemplos.*

**Palavras-Chave:** *SNC-AP, NCP 26, Orçamento, Previsional*

### Introdução

Conforme disposto no artigo 3º do referido Decreto-Lei, o SNC-AP aplica-se a todos os serviços e organismos da administração central, regional e local que não tenham natureza, forma e designação de empresa, ao subsetor da segurança social, e às entidades públicas reclassificadas.

Encontra-se constituído pelos subsistemas de contabilidade orçamental, de contabilidade financeira e de contabilidade de gestão.

Tem no seu enquadramento:

#### *Artigo 9.º*

##### *Sistema de controlo interno*

*1 — O sistema de controlo interno a adotar pelas entidades públicas engloba, designadamente, o plano de organização, as políticas, os métodos e os procedimentos de controlo, bem como todos os outros métodos e procedimentos definidos pelos responsáveis que contribuam para assegurar o desenvolvimento das atividades de forma ordenada e eficiente, incluindo a salvaguarda dos ativos, a prevenção e deteção de situações de ilegalidade, fraude e erro, a exatidão e a integridade dos registos contabilísticos e a preparação oportuna de informação orçamental e financeira fiável.  
(...)*

##### *3 — Orçamento do Estado e execução orçamental*

*4— Outro elemento diferenciador no setor público é o Orçamento do Estado. As entidades públicas preparam o orçamento com as suas receitas e despesas. O Parlamento e outros órgãos controlam os atos de gestão do Governo e das entidades públicas através da execução orçamental. Também o orçamento é a base da política fiscal e das autorizações para fazer despesas. Assim, a informação orçamental é crucial porque permite aos utilizadores fazer comparações entre a receita e a despesa*

*executada e orçamentada, assim como verificar os eventuais saldos orçamentais. O relato orçamental é o mecanismo que permite verificar o cumprimento da lei em termos de finanças públicas. A comparação entre a informação prevista e realizada também facilita uma avaliação da extensão com que as Administrações Públicas cumprem os seus objetivos financeiros e, por isso, promove a responsabilidade pela prestação de contas. As necessidades dos utilizadores de informação orçamental são abordadas na secção indicada no parágrafo precedente. (...)*

#### *Informação orçamental e cumprimento da legislação*

*36 — Tipicamente, uma entidade pública prepara, aprova e torna público o orçamento anual. O orçamento aprovado proporciona aos interessados informação acerca do seu plano operacional para o período que se segue, às suas necessidades de financiamento e, muitas vezes, os objetivos e expectativas do serviço. É preparado para justificar a obtenção de recursos dos contribuintes e outros fornecedores de recursos e estabelece as competências para realizar despesas.*

*Os elementos estruturantes da informação orçamental são tratados em norma própria.”*

Os princípios orçamentais encontram-se definidos na Lei de Enquadramento Orçamental – Lei n.º 151/2015), nomeadamente:

- Unidade e universalidade (art.º 9.º);
- Estabilidade orçamental (art.º 10.º);
- Sustentabilidade das finanças públicas (art.º 11.º);
- Solidariedade recíproca (art.º 12.º);
- Equidade intergeracional (art.º 13.º);
- Anualidade e plurianualidade (art.º 14.º);
- Não compensação (art.º 15.º);
- Não consignação (art.º 16.º);
- Especificação (art.º 17.º);
- Economia, eficiência e eficácia (art.º 18.º);
- Transparência orçamental (art.º 19.º).

São estes princípios que estão na base de construção do Orçamento de Estado, sendo que esse orçamento será executado e relatado ao nível da norma específica para o efeito, NCP 26 – Contabilidade e Relato orçamental.

#### **Metodologia**

Neste trabalho a metodologia seguida é qualitativa na qual será feita uma revisão teórica, acompanhada de uma revisão da legislação existente. Numa segunda etapa iremos procurar mostrar o estudo de um caso numa ótica descritiva.

#### **A Norma de Contabilidade Pública (NCP) 26**

A NCP 26 trata-se de uma norma de aplicação obrigatória. Todas as entidades públicas são obrigadas a ter implementado um sistema de contabilidade orçamental baseado na NCP 26, sendo o seu relato consubstanciado pelas demonstrações orçamentais e anexo próprios e que visa permitir um registo pormenorizado do processo orçamental.

Esta norma tem como objetivo regular a contabilidade orçamental definindo conceitos, regras e modelos de demonstrações orçamentais de finalidades gerais, componentes principais do relato orçamental de uma entidade pública, de forma a assegurar a comparabilidade, quer com as respetivas demonstrações de períodos anteriores, quer com as de outras entidades.

Não tem IPSAS (International Public Sector Accounting Standards) como referência.

A NCP 26 tem uma classe de contas própria, Classe 0 e classificadores orçamentais, na qual devem ficar refletidos, numa ótica orçamental, todos os movimentos contabilísticos registados na contabilidade financeira. Faz o acompanhamento de todas as fases da receita e da despesa. Esta norma contém as notas de enquadramento que explicam a movimentação das contas de classe 0.

Utiliza o método digráfico (o que significa que todo débito em uma conta origina crédito em outra).

Os movimentos registados na contabilidade orçamental devem ser um “espelho” da atividade da entidade, evidenciando os movimentos que concorrem para a execução do orçamento. Pode-se dizer que é a Contabilidade das contas a receber e a pagar (procede ao registo das fases da receita e da despesa).

Visa controlar as dotações orçamentais aprovadas pelos órgãos legislativos competentes.

Quanto ao seu reconhecimento, os montantes de dotações e previsões são reconhecidos após a aprovação do orçamento e na data de início do período a que o mesmo se refere. Em caso de não aprovação do orçamento, deverá recorrer-se aos valores que decorrem dos normativos legais vigentes.

Quanto à sua mensuração, refere a NCP 26 que, os lançamentos nas contas orçamentais são feitos ao custo, sendo as verbas sempre registadas pelo valor nominal.

### Contas de Contabilidade Orçamental





### **Conceitos gerais – Lei de Enquadramento Orçamental**

A Lei de Enquadramento Orçamental define como um dos princípios orçamentais a especificação que estabelece que a despesa tem de ser estruturada por programa, fonte de financiamento, e por classificadores orgânico, funcional e económico e a receita por classificador económico e fonte de financiamento.

Os classificadores orçamentais são um elemento estruturante de qualquer sistema de gestão orçamental, pois definem a forma como os orçamentos são apresentados, executados e relatados, tendo uma correlação direta com a transparência e coerência do orçamento

### **Classificador Económico**

A classificação económica das receitas e despesas é mais relevante para a contabilidade orçamental, obrigando que a todas as fases da despesa e da receita se associe o classificador económico, e, consequentemente, todas as demonstrações orçamentais sejam apresentadas por esta classificação económica. Faz o acompanhamento numa perspetiva económica da execução orçamental das receitas e despesas públicas.

### **Classificador Funcional**

Específica os fins e atividades típicas do Estado, facilitando a identificação das prioridades do Estado na satisfação das necessidades coletivas. Classificação da despesa segundo as estruturas de funções e subfunções, que indicam as áreas de atuação do governo, como saúde, educação, transporte, entre outras.

### **Classificador Orgânico**

A classificação orgânica serve para identificar os serviços e organismos e estrutura-se por códigos que correspondem aos Ministérios, Secretarias de Estado, capítulos, divisões e subdivisões orçamentais.

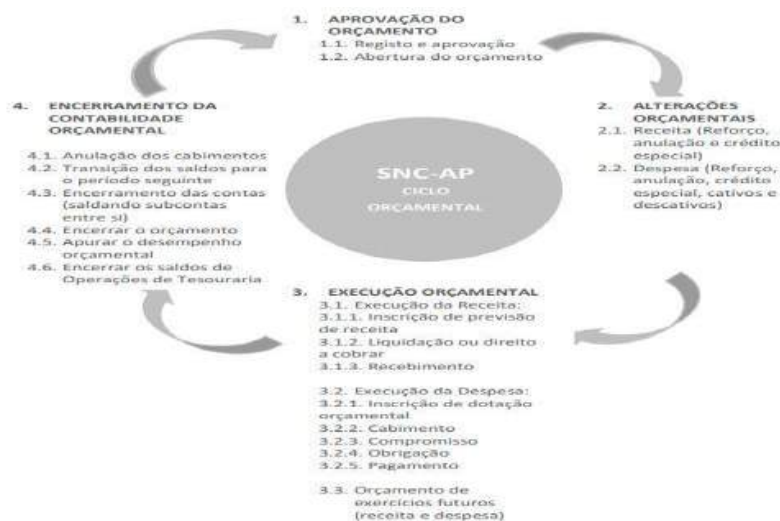
### **Fonte de Financiamento**

Refere-se às diferentes origens de recursos utilizadas por uma entidade pública para financiar as suas atividades e cumprir as suas obrigações financeiras.

## **Programa**

O programa orçamental abrange as despesas correspondentes a um conjunto de medidas de carácter plurianual que concorrem para a concretização de um ou vários objetivos específicos, relativos a uma ou mais políticas públicas. Artigo 19.º da Lei n. 91/2001, de 20 de agosto (Lei de Enquadramento Orçamental – LEO).

## **O processo orçamental**



O Orçamento do Estado é um instrumento de gestão que contém uma previsão discriminada das receitas e despesas do Estado, incluindo as dos fundos e serviços autónomos e o orçamento da segurança social, é da iniciativa exclusiva do Governo.

O processo orçamental comporta duas fases:

- Primeira Fase: Até 15 de abril é apresentado pelo Governo à Assembleia da República a atualização do Programa de Estabilidade e a Proposta de Lei das Grandes Opções em Matéria de Planeamento e da Programação Orçamental Plurianual.
- Segunda Fase: Até 1 de outubro o Governo apresenta à Assembleia da República a proposta de lei do Orçamento do Estado, que dispõe de 50 dias após a sua admissão para proceder à votação. Art.º 32.º ao 38.º LEO.

Os montantes de dotações e previsões são reconhecidos após a aprovação do orçamento e na data de início do período a que o mesmo se refere.

Em caso de não aprovação do orçamento, deverá recorrer-se aos valores que decorrem dos normativos legais vigentes (§19 NCP 26).

Os lançamentos nas contas orçamentais são feitos ao custo, sendo as verbas sempre registadas pelo valor nominal (§20 NCP 26).

A NCP 26 contém as notas de enquadramento que explicam com detalhe a movimentação das contas da Classe 0.

Após conhecimento do orçamento deve-se proceder ao seu carregamento na contabilidade através dos movimentos abaixo descritos:

1. Carregamento do orçamento de receita e transferência do mesmo para previsões corrigidas.

Descrição	Conta	Débito	Crédito	
Registo do reconhecimento do orçamento inicial de receita	012 - Previsões Corrigidas		x	a)
	011 - Previsões Iniciais	x		a)
	011 - Previsões Iniciais		x	b)
	014 - Previsões por Liquidar	x		b)

a) Carregamento da previsão inicial de receita.

b) Transferência do orçamento para previsões por liquidar.

2. Carregamento do orçamento de despesa e transferência do mesmo para orçamento disponível.

Descrição	Conta	Débito	Crédito	
Registo do reconhecimento do orçamento inicial de despesa	024 - Dotações Disponíveis		x	a)
	021 - Dotações Iniciais	x		a)
	021 - Dotações Iniciais		x	b)
	022 - Dotações Corrigidas	x		b)

a) Carregamento da previsão inicial de despesa.

b) Transferência do orçamento para dotação disponível.

As contas 011 e 021 só são movimentadas na contabilização do orçamento inicial, pelo que o objetivo das mesmas consiste em assegurar o conhecimento do orçamento inicial aprovado pelo órgão deliberativo competente. Estas contas ficam saldadas logo no início do ano.

### Execução Orçamental da Receita

Princípios de Execução do Orçamento de Receita (Segundo LEO – Artigo 52º) Nenhuma receita pode ser liquidada ou cobrada sem que, cumulativamente:

- a) Seja legal (princípio da legalidade – uma receita só pode ser cobrada se tiver consagração legal);
- b) Tenha sido objeto de correta inscrição orçamental;
- c) Esteja classificada.

O ciclo orçamental de Receita que se encontra definido na norma é o seguinte (ordem obrigatória):

#### Receita (3 fases):

- 1) Previsão (orçamento) - Quanto ao reconhecimento, refere a NCP 26 que os montantes de previsões são reconhecidos após a aprovação do orçamento e na data de início do período a que o mesmo se refere. Em caso de não aprovação do orçamento, deverá recorrer-se aos valores que decorrem dos normativos legais vigentes.
- 2) Liquidação - O Reconhecimento é no momento do direito, que se constitui em contas a receber do qual se espera influxos de caixa futuros (Contas a receber - Tem fatura associada).
- 3) Recebimento - O reconhecimento é feito no momento da cobrança. Recebimentos são influxos de caixa ou entradas em espécie no património da entidade.



Regras da execução de receita: A liquidação pode exceder a previsão de receita, sendo que só poderão ser liquidadas as receitas previstas no orçamento, ou seja, as liquidações não podem ser superiores ao orçamento corrigido (orçamento inicial + modificações).

Na classe 03, encontra-se previsto, os períodos futuros:

- Classe 03 (receita de períodos futuros): destina-se ao registo contabilístico dos contratos celebrados cuja liquidação da receita (faturação) tem efeito no período corrente, mas também em períodos futuros.

#### **Exemplo prático:**

O centro de saúde X prestou serviços de consulta de medicina geral e familiar, isento de IVA ao abrigo 9º do CIVA. O serviço foi faturado e cobrado pelo valor da taxa moderadora de 4,5€.

A previsão corrigida da classificação económica 040108 – Taxas moderadoras, nesta data é de 1.000 € e coincide com a dotação inicial.

#### **Resolução:**

Contabilidade orçamental: Pelo custo do serviço prestado: deverá ser utilizado o classificador económico 040108 – Taxas moderadoras, conforme o Decreto-Lei n.º 26/2002 de 14 de fevereiro.

Movimentos contabilísticos a realizar:

Descrição	Conta	Classificador Económico	Débito	Crédito
Registo orçamental da liquidação	014 - Previsões por Liquidar	040108		4,50 €
	0152 - Liquidações Emitidas	040108	4,50 €	
Registo do recebimento na contabilidade orçamental	0153 - Liquidações Recebidas	040108		4,50 €
	0171 - Recebimentos do Período	040108	4,50 €	

**Nota:** Paralelamente aos movimentos do registo da liquidação e do recebimento na contabilidade orçamental são também realizados movimentos na contabilidade financeira.

#### **Execução Orçamental da Despesa**

##### **Princípios de Execução do Orçamento de Receita (Segundo LEO – Artigo 52º)**

Nenhuma despesa pode ser autorizada sem que, cumulativamente:

- a) O facto gerador da obrigação respeite as normas legais aplicáveis;
- b) Disponha de inscrição orçamental no programa e no serviço ou na entidade, tenha cabimento e identifique se os pagamentos se esgotam no ano ou em anos futuros no período previsto para o programa;
- c) Satisfaça os requisitos de economia, eficiência e eficácia.

Nenhuma despesa pode ser paga sem que o compromisso e a respetiva programação de pagamentos previstos sejam assegurados pelo orçamento de tesouraria da entidade.

O ciclo orçamental de Despesa que se encontra definido na norma é o seguinte (ordem obrigatória):

### **Despesa (5 fases):**

1. Dotação (Orçamento) - Quanto ao reconhecimento, refere a NCP 26 que os montantes de dotações são reconhecidos após a aprovação do orçamento e na data de início do período a que o mesmo se refere. Em caso de não aprovação do orçamento, deverá recorrer-se aos valores que decorrem dos normativos legais vigentes.
2. Cabimento - O reconhecimento é realizado no momento da decisão de assumir uma despesa verificada a existência de dotação disponível. O seu registo tem suporte num documento interno, pelo montante dos encargos prováveis, e visa assegurar a existência de dotação para a assunção do compromisso, fundamentando a autorização da despesa - Adjudicação de despesa.
3. Compromisso - Deverá ser reconhecido no momento da assinatura de contrato, da nota de encomenda ou requisição, ou momento da fatura quando não houver ato anterior. O compromisso é a assunção perante terceiros da responsabilidade por um possível passivo, em contrapartida do fornecimento de bens e serviços ou da satisfação de outras condições.
4. Obrigação - Reconhecida no momento de ser recebida a fatura, ou o bem. Constitui-se em contas a pagar e tem fatura associada.
5. Pagamento - Reconhece-se no momento do pagamento. Pagamentos são exfluxos de caixa ou saídas em espécie do património da entidade.

Regras da execução de despesa: O cabimento não pode exceder a dotação disponível, assim como o compromisso não pode exceder o respetivo cabimento. A obrigação não pode exceder o valor do compromisso, assim como o pagamento não pode exceder o valor da obrigação.

Na classe 04, encontra-se previsto, os períodos futuros:

- Classe 04 (despesa de períodos futuros): destina-se ao registo contabilístico dos contratos celebrados que geram responsabilidade (compromissos) com incidência em períodos futuros, assim como aqueles que geram também contas a pagar (obrigações) com incidência em períodos futuros.

### **Exemplo prático:**

Uma escola superior pretende publicar um anúncio num jornal para divulgar a sua oferta formativa.

Sabe-se que:

- A dotação atual da classificação económica para publicidade é de 10.000€.
- A 10 de Abril foi recebido o orçamento do fornecedor no valor de 700€ e a contabilidade procedeu à informação de cabimento.
- Em 15 de Abril foi obtida a autorização de despesa e procedeu-se ao registo de compromisso e enviado a nota de encomenda ao fornecedor;
- Em 20 de Abril foi publicado no jornal e o fornecedor remeteu a fatura;
- Em 23 de Abril foi autorizado o pagamento e procedeu-se à Ordem de Transferência Bancária.

### Resolução:

Contabilidade orçamental: Pelo custo do serviço adquirido: deverá ser utilizado o classificador económico 020217 – Publicidade, conforme o Decreto-Lei n.º 26/2002 de 14 de fevereiro.

Movimentos contabilísticos a realizar:

Descrição	Conta	Classificador Económico	Débito	Crédito
Pelo registo do cabimento	0251 - Cabimentos registados	020217		700,00 €
	024 - Dotações Disponíveis	020217	700,00 €	
Pelo registo do compromisso	0261 - Compromissos Assumidos	020217		700,00 €
	0252 - Cabimentos com Compromissos	020217	700,00 €	
Pelo registo da obrigação	0271 - Obrigações Processadas	020217		700,00 €
	0262 - Compromissos com Obrigação	020217	700,00 €	
Pelo registo do pagamento	0281 - Pagamentos do Período	020217		700,00 €
	0272 - Obrigações Pagas	020217	700,00 €	

**Notas:** Para se iniciar o cabimento é obrigatória a existência de dotação disponível de valor igual ou superior ao valor máximo previsto para a nova despesa evidenciado no saldo inicial da conta 024 – «Dotações disponíveis».

O momento do compromisso ocorre na data do contrato ou nota de encomenda ou requisição. No final do registo do compromisso, a conta 0261.020217 – «Compromissos assumidos – publicidade», evidencia saldo credor enquanto a conta 0262.020217 – «Compromissos com obrigação – publicidade» evidencia saldo devedor.

Da leitura conjugada da conta 026 – «Compromissos» é possível determinar o montante de compromissos que ainda não se constituíram em obrigação de pagar.

O saldo da conta 027 – «Obrigações» informa sobre o montante atualizado das obrigações por natureza de despesa que se encontram por pagar.

Paralelamente aos movimentos do registo da obrigação e do pagamento na contabilidade orçamental são realizados movimentos na contabilidade financeira.

### **Reposições abatidas aos pagamentos e Reposições não abatidas aos pagamentos**

Nas situações em que houver lugar a pagamentos efetuados em excesso ou pagos indevidamente pela Administração Pública a qualquer pessoa/entidade, seja ela pública ou privada, deverá ocorrer o pedido de “reposição” do dinheiro pago indevidamente ou em excesso no momento em que se verifique a ocorrência desse pagamento (através da emissão de uma nota de débito).

Após emissão do documento de reposição, podem suceder duas situações:

1. A pessoa/entidade devedora procede ao reembolso nos cofres do Estado no mesmo ano económico em foi efetuado o pagamento indevido/em excesso (Reposição abatida aos pagamentos, isto é, correção aos pagamentos efetuados, logo uma diminuição da despesa paga).

2. A pessoa/entidade devedora procede ao reembolso nos cofres do Estado num ano económico posterior em foi efetuado o pagamento indevido/em excesso (Reposição não abatida aos pagamentos, isto é, aumento da receita cobrada do ano em que foi recebida).

**Movimentos contabilísticos:**

- Reposições abatidas aos pagamentos (reposições do ano).

Descrição	Conta	Débito	Crédito
Registo da emissão da nota de débito da reposição	0272 - Obrigações Pagas		x
	0291 - RAP Emitidas	x	
Registo orçamental do recebimento	0292 - RAP Pagas		x
	0281 - Pagamentos do Período	x	
Redução da obrigação que tinha sido processada	0262 - Compromissos com Obrigação		x
	0271 - Obrigações Processadas	x	
Redução do compromisso assumido	0252 - Cabimentos com Compromisso		x
	0261 - Compromissos Assumidos	x	
Redução do cabimento	024 - Dotações Disponíveis		x
	0251 - Cabimentos Registados	x	

- Reposições não abatidas aos pagamentos (de anos anteriores).

Descrição	Conta	Débito	Crédito
Registo da emissão da nota de débito	014 - Previsões por Liquidar		x
	0152 - Liquidações Emitidas	x	
Registo do recebimento	0153 - Liquidações Recebidas		x
	0171 - Recebimentos do Período	x	

**Alterações Orçamentais**

As alterações orçamentais são consideradas instrumentos de gestão orçamental, na medida em que possibilitam o ajustamento do orçamento inicial às necessidades de execução orçamental (despesas inadiáveis, não previsíveis, insuficiente dotação de despesa, ou receitas não previstas em orçamento).

Estão previstas na NCP 26 as seguintes alterações orçamentais (com reflexo nas respetivas rubricas da classe 0):

- Reforço e anulação do orçamento de receita;
- Reforço e anulação do orçamento de despesa;
- Créditos especiais;
- Cativação;
- Descativação.

Quanto à sua classificação estas podem do tipo:

- **Modificativa:** Procede à inscrição de uma nova natureza de receita ou de despesa ou da qual resulta o aumento do montante global de receita e despesa ou de ambas, face ao orçamento que esteja em vigor;
- **Permutativa:** Procede à alteração da composição do orçamento de receita ou de despesa da entidade, mantendo constante o seu montante global.

Modificações orçamentais ao orçamento de receita aprovado – reforços e anulações:

Descrição	Conta	Débito	Crédito	
Reforço do orçamento de receita	012 - Previsões Corrigidas		x	a)
	01311 - Reforços em Previsões Corrigidas	x		a)
	01312 - Reforços em Previsões por Liquidar		x	b)
	014 - Previsões por Liquidar	x		b)
Anulação do orçamento de receita	012 - Previsões Corrigidas	x		c)
	01321 - Anulações em revisões Corrigidas		x	c)
	01322 - Anulações em Previsões por Liquidar	x		d)
	014 - Previsões por Liquidar		x	d)

- a) Registo do reforço  
 b) Atualização da previsão por liquidar  
 c) Registo da anulação/diminuição  
 d) Atualização da previsão por liquidar

Modificações orçamentais ao orçamento de despesa aprovado – reforços e anulações:

Descrição	Conta	Débito	Crédito	
Reforço do orçamento de despesa	02311 - Reforços em Dotações Corrigidas		x	a)
	022 - Dotações Corrigidas	x		a)
	024 - Dotações Disponíveis		x	b)
	02312 - Reforços em Dotações Disponíveis	x		b)
Anulação do orçamento de despesa	022 - Dotações Corrigidas		x	c)
	02321 - Anulações em Dotações Corrigidas	x		c)
	02322 - Anulações em Dotações Disponíveis		x	d)
	024 - Dotações Disponíveis	x		d)

- a) Registo do reforço  
 b) Atualização da dotação disponível  
 c) Registo da anulação/diminuição  
 d) Atualização da dotação disponível.

Cativos e Descativos

Uma cativação corresponde a uma retenção de parte dos montantes orçamentados no lado da despesa que se traduz numa redução da dotação disponível dos serviços e organismos. A libertação dessas verbas (descativação) é, regra geral, sujeita à autorização do Ministro das Finanças.

Descrição	Conta	Débito	Crédito
Registo da cativação	02341 - Cativos		x
	024 - Dotações Disponíveis	x	

Descrição	Conta	Débito	Crédito
Registo da descativação	02342 - Descativos	x	
	024 - Dotações Disponíveis		x

### Créditos especiais

Descrito em sede de SNC-AP como sendo “aquele que é inscrito em adição aos créditos ordinários.”. O movimento do crédito especial ao é realizado tanto ao nível da receita como na despesa.

Descrição	Conta	Débito	Crédito	
Reforço do orçamento de receita por Crédito Especial	012 - Previsões Corrigidas		x	a)
	01331 - Créditos Especiais em Previsões Corrigidas	x		a)
	01332 - Créditos Especiais em Previsões por Liquidar		x	b)
	014 - Previsões por Liquidar	x		c)
Reforço do orçamento de despesa por Crédito Especial	02331 - Créditos Especiais em Dotações Corrigidas		x	d)
	022 - Dotações Corrigidas	x		
	024 - Dotações Disponíveis		x	
	02332 - Créditos Especiais em Dotações Disponíveis	x		

- a) Registo do reforço do orçamento de receita por integração de crédito especial
- b) Atualização da previsão corrigida
- c) Reforço do orçamento de despesa por integração de crédito especial
- d) Atualização da dotação disponível

**Nota:** No SNC-AP, em caso de lapso no registo da alteração orçamental, deve proceder-se à correção do lançamento contabilístico por meio de estorno (lançamento inverso do incorretamente efetuado) e não por via de alteração orçamental de inscrição ou reforço.

### Operações de Tesouraria

A NCP – 26 apresenta a seguinte definição para operações de tesouraria: Operações de tesouraria são as que geram influxos ou efluxos de caixa (movimentam a tesouraria) mas não representam operações de execução orçamental.

As operações extraorçamentais (operações de tesouraria), são operações complementares à execução do Orçamento representadas por movimentos excepcionais de fundos entrados/saídos (daí a designação de operações de tesouraria) efetuados pelo Tesouro e operações escriturais com eles relacionados no âmbito das contas do Tesouro.



As operações de tesouraria, reportam-se a fluxos de tesouraria em que as entidades beneficiárias não sejam o Estado.

A Classe 0 possui contas específicas para as operações de tesouraria e para responsabilidades contingentes (provisões e passivos contingentes), quando estas últimas possam ser objeto de mensuração.

Os recebimentos e pagamentos por operações de tesouraria são registados nas contas desagregadas da conta 071 e os pagamentos nas contas desagregadas da conta 072 respetivamente, as quais são movimentadas por contrapartida de uma conta refletida (conta 079).

Quanto aos passivos contingentes, os mesmos são registados a crédito nas subcontas da conta 091 por contrapartida da conta refletida 0991.

Um exemplo comum de operações de tesouraria são as cauções. A caução tem como função “garantir” determinada condição, não sendo uma cláusula penal ou indemnizatória. Em caso de incumprimento, a Entidade Pública pode efetivar a garantia que respeite àquele contrato, assim, caso o fornecedor não cumpra o contrato, a caução reverte a favor da Entidade Pública. Caso o fornecedor cumpra o contrato, a caução reverte a favor do fornecedor.

#### **Caso prático:**

A Entidade Pública Hospitalar ABC na condição de entidade adjudicante, celebrou um contrato com um fornecedor ao qual foi exigida a prestação de uma caução destinada a garantir o cumprimento do contrato. Assim, o fornecedor, em 10 de janeiro do ano N, prestou uma caução através de depósito em dinheiro no valor de 10.000€. Dado que o contrato foi totalmente cumprido pelo fornecedor, a caução foi devolvida no mês de agosto do mesmo ano.

#### **Resolução:**

Lançamentos contabilísticos:

1. Pela constituição da caução, depósito em dinheiro (10/01/N).

Conta	Classificação Económica	Débito	Crédito
0713 – Constituição e reforço de cauções e garantias	17.02.00	10 000,00 €	
0791 – Recebimentos por operações de tesouraria	17.02.00		10 000,00 €

2. Pela libertação da caução, em 08/N

Conta	Classificação Económica	Débito	Crédito
0792 – Pagamentos por operações de tesouraria	17.02.00	10 000,00 €	
0723 – Devolução de cauções e garantias	17.02.00		10 000,00 €

E se o fornecedor não cumprisse o contrato, qual seria o procedimento?

Neste caso a caução reverte a favor da Entidade Pública e o tratamento contabilístico a realizar seria o seguinte:

Descrição	Conta	Débito	Crédito
Registo da conversão da caução	0728 - Conv. De OT em Receita Orçam.		10 000,00 €
	0792 - Pagamentos por OT	10 000,00 €	
Registo do reforço da receita por incorporação da caução	01312 - Reforços em Prev. Por Liquidar		10 000,00 €
	014 - Previsões por Liquidar	10 000,00 €	
Registo da previsao de receita resultante da execução da caução	012 - Previsões corrigidas		10 000,00 €
	01311 - Reforços em Previsões Corrigidas	10 000,00 €	
Registo da liquidação	014 - Previsões por Liquidar		10 000,00 €
	0152 - Liquidações Emitidas	10 000,00 €	
Registo do recebimento	0153 - Liquidações Recebidas		10 000,00 €
	0171 - Recebimentos do Período	10 000,00 €	

Findo o período orçamental, é necessário proceder ao processo de encerramento da contabilidade orçamental que irá permitir a elaboração das demonstrações de relato.

Em SNC-AP, o encerramento das contas da classe 0 visa evidenciar os saldos que são relevantes para aferir o que transitam para o período seguinte:

- Compromissos assumidos que ainda não se concretizaram em obrigações a pagar;
- Obrigações orçamentais assumidas que no período seguinte implicarão exfluxos de caixa;
- Liquidações emitidas e não recebidas no decurso do período;
- Desempenho orçamental do período.

A NCP 26 descreve no §39 o processo de encerramento da contabilidade orçamental.

Este deve obedecer à seguinte ordem de procedimentos:

1. Anulação dos cabimentos que não originaram compromissos.
2. Transição dos saldos para o período seguinte.
3. Encerramento de alterações orçamentais, cativos e descativos e execução orçamental (Encerramento das contas, saldando subcontas entre si).
4. Encerrar o orçamento.
5. Apurar o desempenho orçamental.
6. Encerrar os saldos de Operações de Tesouraria

39 — O encerramento da contabilidade orçamental deve obedecer à seguinte sequência de procedimentos:

(a) Anulação dos cabimentos — Anulação dos cabimentos em excesso, ou seja, anulação dos cabimentos que não deram origem a compromissos, assim como da parcela de cabimentos que excedeu os respetivos compromissos assumidos, através do seguinte lançamento contabilístico: debita-se a conta “0251 Cabimentos registados” por contrapartida da conta “024 Dotações disponíveis”;

(b) Transição de saldos para o período seguinte — As contas “a transitar” relativas a liquidações, compromissos e obrigações servem para acomodar o montante de liquidações não recebidas, compromissos não convertidos em obrigações e obrigações não pagas, respetivamente, no período corrente. Estas contas serão movimentadas da seguinte forma no âmbito do processo de encerramento da contabilidade orçamental:

(i) “0154 — Liquidações a transitar” debita-se pelo montante de liquidações não recebidas à data de relato por contrapartida da conta “0151 Liquidações transitadas” nos casos em que não se cobrou a totalidade das liquidações de períodos anteriores ou da conta “0152 Liquidações emitidas”. No âmbito do processo de abertura do período contabilístico seguinte o saldo da conta em referência será objeto de registo a débito da conta “0151 Liquidações transitadas” por contrapartida da conta “014 Previsões por liquidar”;

(ii) “0263 — Compromissos a transitar” credita-se pelo montante de compromissos não convertidos em obrigações à data de relato por contrapartida de “0261 Compromissos assumidos”, dando origem a novos cabimentos e compromissos no âmbito do processo de abertura do período contabilístico seguinte;

(iii) “0273 — Obrigações a transitar” credita-se pelo montante das obrigações não pagas à data de relato por contrapartida de “0271 Obrigações processadas”, dando origem a novos cabimentos, compromissos e obrigações no âmbito do processo de abertura do período contabilístico seguinte.

(c) O encerramento das contas a seguir indicadas ocorre saldando entre si as respetivas subcontas, ou seja, saldando entre si as subcontas de:

- (i) 0131 — Alterações orçamentais receita — Reforços;
- (ii) 0132 — Alterações orçamentais receita — Anulações;
- (iii) 0133 — Alterações orçamentais receita — Créditos especiais;
- (iv) 015 — Liquidações;
- (v) 016 — Liquidações anuladas;
- (vi) 018 — Reembolsos e restituições;
- (vii) 0231 — Alterações orçamentais despesa — Reforços
- (viii) 0232 — Alterações orçamentais despesa — Anulações
- (ix) 0233 — Alterações orçamentais despesa — Créditos especiais

- (x) 025 — Cabimentos;
- (xi) 026 — Compromissos;
- (xii) 027 — Obrigações;
- (xiii) 029 — Reposições abatidas aos pagamentos

(d) Encerrar o orçamento — Saldar as contas de “012 Previsões corrigidas”, “014 Previsões por liquidar”, “022 Dotações corrigidas” e “024 Dotações disponíveis” por contrapartida da conta “081 Encerramento do Orçamento”. O saldo desta conta caduca com o ano tal como acontece com o orçamento.

(e) Apurar o desempenho orçamental — Saldar as contas “0171 Recebimentos do período” e “0172 Recebimentos de períodos findos” (saldo devedor) e “0281 Pagamentos do período” e “0282 Pagamentos de períodos findos” (saldo credor) por contrapartida, respetivamente, do débito e do crédito da conta “0821 Desempenho orçamental do período”. Esta conta como envolve todas as classificações orçamentais apresentará sempre saldo nulo ou devedor (caso em que teríamos um excedente orçamental). A conta “0822 Desempenho orçamental de períodos anteriores” será debitada no início do período de relato por contrapartida de “0821 Desempenho orçamental do período” que ficará saldada.

### **Demonstrações Orçamentais**

As demonstrações orçamentais são uma representação estruturada da execução e desempenho orçamental de uma entidade. Consequentemente, os objetivos das demonstrações orçamentais de finalidades gerais são o de fornecer informação acerca do orçamento inicial, das alterações orçamentais, da execução das despesas e das receitas orçamentadas, dos pagamentos e recebimentos e do desempenho orçamental.

Para efeitos de relato orçamental qualquer entidade deve utilizar os modelos de demonstrações orçamentais constantes da parte final da NCP 26 – Contabilidade e Relato Orçamental.

Estes modelos fazem parte do conjunto completo de demonstrações orçamentais previsto no parágrafo 46 da NCP 26, contendo:

#### Demonstrações previsionais:

- O orçamento, enquadrado num plano orçamental plurianual;
- O plano plurianual de investimentos.

#### Demonstrações de relato:

- Demonstração do Desempenho Orçamental (DDORC);
- Demonstração da Execução Orçamental da Despesa (DODES);
- Demonstração da Execução Orçamental da Receita (DOREC);
- Demonstração da Execução do Plano Plurianual de Investimentos (DPPI);
- O anexo às demonstrações orçamentais.

A DDORC evidencia as importâncias relativas a todos os recebimentos e pagamentos ocorridos no período contabilístico, quer se reportem à execução orçamental, quer a operações de tesouraria. Nesta demonstração também se evidenciam os correspondentes saldos (da gerência anterior e para a gerência seguinte, saldo global, saldo corrente, saldo de capital e saldo primário).

RUBRICA RECEBIMENTOS	FONTES DE FINANCIAMENTO (n)						n-1	RUBRICA PAGAMENTOS	FONTES DE FINANCIAMENTO (n)						n-1
	RP	RG	UE	EMPR	FUNDOS ALHEIOS	TOTAL			RP	RG	UE	EMPR	FUNDOS ALHEIOS	TOTAL	
<b>Saldo de gestão anterior</b>								<b>Despesa corrente</b>							
Operações orçamentais [1]								Despesas com o pessoal							
Devolução do saldo oper. orçamentais								D1.1 Remunerações Certas e Permanentes							
Recabimento do saldo devolvido por entidades terceiras								D1.2 Abonos Variáveis ou Eventuais							
Operações de tesouraria [A]								D1.3 Segurança social							
<b>Recorre corrente</b>								D2 Aquisição de bens e serviços							
R1	Recorre fiscal							D3 Juros e outros encargos							
R1.1	Impostos directos							D4 Transferências correntes							
R1.2	Impostos indirectos							D4.1 Administrações Públicas							
R2	Contribuições para a segurança social, OGA e ADSE							D4.1.1 Administração Central - Estado							
R3	Taxas, multas e outras penalidades							D4.1.2 Administração Central - Outras entidades							
R4	Rendimentos de propriedade							D4.1.3 Segurança Social							
R5	Transferências Correntes							D4.1.4 Administração Regional							
R5.1	Administrações Públicas							D4.1.5 Administração Local							
R5.1.1	Administração Central - Estado							D4.2 Instituições sem fins lucrativos							
R5.1.2	Administração Central - Outras entidades							D4.3 Famílias							
R5.1.3	Segurança Social							D4.4 Outras							
R5.1.4	Administração Regional							D5 Subsídios							
R5.1.5	Administração Local							D6 Outras despesas correntes							
R5.2	Exterior - UE							<b>Despesa de capital</b>							
R5.3	Outras							D7 Investimento							
R6	Venda de bens e serviços							D8 Transferências de capital							
R7	Outras receitas correntes							D8.1 Administrações Públicas							
<b>Recorre de capital</b>								D8.1.1 Administração Central - Estado							
R8	Venda de bens de investimento							D8.1.2 Administração Central - Outras entidades							
R9	Transferências de Capital							D8.1.3 Segurança Social							
R9.1	Administrações Públicas							D8.1.4 Administração Regional							
R9.1.1	Administração Central - Estado							D8.1.5 Administração Local							
R9.1.2	Administração Central - Outras entidades							D8.2 Instituições sem fins lucrativos							
R9.1.3	Segurança Social							D8.3 Famílias							
R9.1.4	Administração Regional							D8.4 Outras							
R9.1.5	Administração Local							D9 Outras despesas de capital							
R9.2	Exterior - UE														
R9.3	Outras														
R10	Outras receitas de capital														
R11	Reposição não abatidas aos pagamentos														
<b>Recorre efectiva [2]</b>								<b>Despesa efectiva [5]</b>							
<b>Recorre não efectiva [3]</b>								<b>Despesa não efectiva [6]</b>							
R12	Recorre com activos financeiros							D10 Despesa com activos financeiros							
R13	Recorre com passivos financeiros							D11 Despesa com passivos financeiros							
<b>Soma [4]=[1]+[2]+[3]</b>								<b>Soma [7]=[5]+[6]</b>							
<b>Operações de tesouraria [B]</b>								<b>Operações de tesouraria [C]</b>							
								Saldo para a gestão seguinte							
								Operações orçamentais [8] = [4]-[7]							

A DODES tem como finalidade permitir o controlo da execução orçamental da despesa durante o período contabilístico, devendo as despesas ser desagregadas de acordo com as contas do Plano de Contas Multidimensional usadas no orçamento, esta demonstração permite controlar todas as fases da execução do orçamento da despesa, nomeadamente os compromissos assumidos e quais os valores pagos e por pagar, bem como informação das dotações corrigidas (esta última informação é também obtida através da demonstração de alterações orçamentais à despesa, constante do Anexo).



Rubrica Descrição	Despesas por pagar de períodos anteriores	Dotações corrigidas	Cativos	Descativos	Dotações disponíveis	Cabimentos	Compromissos	Obrigações	Despesas pagas brutas	Reposições abatidas aos pagamentos		Despesas pagas líquidas		
										Emitidas	Recebidas	Períodos anteriores	Período corrente	Total
	[1]	[2]	[3]	[4]	[5]	[6]	[7]	[8]	[9]	[10]	[11]	[12]	[13]	[14]=[12]+[13]
Despesa corrente														
Despesa de capital														...
<b>Total</b>														

Compromissos a transitar	Obrigações por pagar	Compromissos assumidos para períodos futuros					Obrigações para períodos futuros					
		(n+1)	(n+2)	(n+3)	(n+4)	Períodos seguintes	(n+1)	(n+2)	(n+3)	(n+4)	Períodos seguintes	
[15]=[7]-[8]	[16]=[8]-[14]											
...												

da execução orçamental da receita durante o período contabilístico, devendo as receitas ser desagregadas de acordo com as contas do Plano de Contas Multidimensional usadas no orçamento, esta demonstração permite controlar todas as fases da execução do orçamento da receita, nomeadamente as liquidações e quais os valores cobrados e por receber, bem como informação das previsões corrigidas (esta última informação é também obtida através da demonstração de alterações orçamentais à receita, constante do Anexo).

Classificações orçamentais detalhadas	Previsões corrigidas	Previsões por liquidar	Receitas por cobrar de períodos anteriores	Receitas liquidadas	Liquidações anuladas	Receitas cobradas brutas	Reembolsos e restituições		Receitas cobradas líquidas			Recebimentos diferidos	Receitas por cobrar no final do período	Liquidações de períodos futuros					
							Emitidos	Pagos	Períodos anteriores	Período corrente	Total			(n+1)	(n+2)	(n+3)	(n+4)	Períodos seguintes	
Receita corrente																			
Receita de capital																			
<b>Total</b>																			



A DPPI tem como finalidade permitir o controlo da execução anual do plano plurianual de investimentos, facultando informação relativa a cada programa e projeto de investimento, designadamente sobre forma de realização (utilizar os códigos: (A) para administração direta; (E) para empreitada; (O) para fornecimentos e outras), fontes de financiamento ((RP) receitas próprias, (RG) receitas gerais, (UE) financiamento da UE e (EMPR) contração de empréstimos), fase de execução, financiamento da componente anual e valor global do programa/projeto, e execução financeira dos anos anteriores, no período e esperada para períodos futuros. Relato dos movimentos no agrupamento de classificação económica 07.

Objetivo	Número do Projeto	Designação do Projeto	Forma de Realização	Rubrica Orçamental	Fonte de Financiamento			Datas		Fase de Execução	Montante Previsto						Montante executado			Nível de execução financeira anual %	Nível de execução financeira global %																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																		
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[1]	[2]	[3]	[4]	[5]	[6]	[7]	[8]	[9]	[10]	[11]	[12]	[13]	[14]	[15]	[16]	[17]	[18]	[19]	[20]	[21]	[22]	[23]	[24]	[25]	[26]	[27]	[28]	[29]	[30]	[31]	[32]	[33]	[34]	[35]	[36]	[37]	[38]	[39]	[40]	[41]	[42]	[43]	[44]	[45]	[46]	[47]	[48]	[49]	[50]	[51]	[52]	[53]	[54]	[55]	[56]	[57]	[58]	[59]	[60]	[61]	[62]	[63]	[64]	[65]	[66]	[67]	[68]	[69]	[70]	[71]	[72]	[73]	[74]	[75]	[76]	[77]	[78]	[79]	[80]	[81]	[82]	[83]	[84]	[85]	[86]	[87]	[88]	[89]	[90]	[91]	[92]	[93]	[94]	[95]	[96]	[97]	[98]	[99]	[100]	[101]	[102]	[103]	[104]	[105]	[106]	[107]	[108]	[109]	[110]	[111]	[112]	[113]	[114]	[115]	[116]	[117]	[118]	[119]	[120]	[121]	[122]	[123]	[124]	[125]	[126]	[127]	[128]	[129]	[130]	[131]	[132]	[133]	[134]	[135]	[136]	[137]	[138]	[139]	[140]	[141]	[142]	[143]	[144]	[145]	[146]	[147]	[148]	[149]	[150]	[151]	[152]	[153]	[154]	[155]	[156]	[157]	[158]	[159]	[160]	[161]	[162]	[163]	[164]	[165]	[166]	[167]	[168]	[169]	[170]	[171]	[172]	[173]	[174]	[175]	[176]	[177]	[178]	[179]	[180]	[181]	[182]	[183]	[184]	[185]	[186]	[187]	[188]	[189]	[190]	[191]	[192]	[193]	[194]	[195]	[196]	[197]	[198]	[199]	[200]	[201]	[202]	[203]	[204]	[205]	[206]	[207]	[208]	[209]	[210]	[211]	[212]	[213]	[214]	[215]	[216]	[217]	[218]	[219]	[220]	[221]	[222]	[223]	[224]	[225]	[226]	[227]	[228]	[229]	[230]	[231]	[232]	[233]	[234]	[235]	[236]	[237]	[238]	[239]	[240]	[241]	[242]	[243]	[244]	[245]	[246]	[247]	[248]	[249]	[250]	[251]	[252]	[253]	[254]	[255]	[256]	[257]	[258]	[259]	[260]	[261]	[262]	[263]	[264]	[265]	[266]	[267]	[268]	[269]	[270]	[271]	[272]	[273]	[274]	[275]	[276]	[277]	[278]	[279]	[280]	[281]	[282]	[283]	[284]	[285]	[286]	[287]	[288]	[289]	[290]	[291]	[292]	[293]	[294]	[295]	[296]	[297]	[298]	[299]	[300]	[301]	[302]	[303]	[304]	[305]	[306]	[307]	[308]	[309]	[310]	[311]	[312]	[313]	[314]	[315]	[316]	[317]	[318]	[319]	[320]	[321]	[322]	[323]	[324]	[325]	[326]	[327]	[328]	[329]	[330]	[331]	[332]	[333]	[334]	[335]	[336]	[337]	[338]	[339]	[340]	[341]	[342]	[343]	[344]	[345]	[346]	[347]	[348]	[349]	[350]	[351]	[352]	[353]	[354]	[355]	[356]	[357]	[358]	[359]	[360]	[361]	[362]	[363]	[364]	[365]	[366]	[367]	[368]	[369]	[370]	[371]	[372]	[373]	[374]	[375]	[376]	[377]	[378]	[379]	[380]	[381]	[382]	[383]	[384]	[385]	[386]	[387]	[388]	[389]	[390]	[391]	[392]	[393]	[394]	[395]	[396]	[397]	[398]	[399]	[400]	[401]	[402]	[403]	[404]	[405]	[406]	[407]	[408]	[409]	[410]	[411]	[412]	[413]	[414]	[415]	[416]	[417]	[418]	[419]	[420]	[421]	[422]	[423]	[424]	[425]	[426]	[427]	[428]	[429]	[430]	[431]	[432]	[433]	[434]	[435]	[436]	[437]	[438]	[439]	[440]	[441]	[442]	[443]	[444]	[445]	[446]	[447]	[448]	[449]	[450]	[451]	[452]	[453]	[454]	[455]	[456]	[457]	[458]	[459]	[460]	[461]	[462]	[463]	[464]	[465]	[466]	[467]	[468]	[469]	[470]	[471]	[472]	[473]	[474]	[475]	[476]	[477]	[478]	[479]	[480]	[481]	[482]	[483]	[484]	[485]	[486]	[487]	[488]	[489]	[490]	[491]	[492]	[493]	[494]	[495]	[496]	[497]	[498]	[499]	[500]	[501]	[502]	[503]	[504]	[505]	[506]	[507]	[508]	[509]	[510]	[511]	[512]	[513]	[514]	[515]	[516]	[517]	[518]	[519]	[520]	[521]	[522]	[523]	[524]	[525]	[526]	[527]	[528]	[529]	[530]	[531]	[532]	[533]	[534]	[535]	[536]	[537]	[538]	[539]	[540]	[541]	[542]	[543]	[544]	[545]	[546]	[547]	[548]	[549]	[550]	[551]	[552]	[553]	[554]	[555]	[556]	[557]	[558]	[559]	[560]	[561]	[562]	[563]	[564]	[565]	[566]	[567]	[568]	[569]	[570]	[571]	[572]	[573]	[574]	[575]	[576]	[577]	[578]	[579]	[580]	[581]	[582]	[583]	[584]	[585]	[586]	[587]	[588]	[589]	[590]	[591]	[592]	[593]	[594]	[595]	[596]	[597]	[598]	[599]	[600]	[601]	[602]	[603]	[604]	[605]	[606]	[607]	[608]	[609]	[610]	[611]	[612]	[613]	[614]	[615]	[616]	[617]	[618]	[619]	[620]	[621]	[622]	[623]	[624]	[625]	[626]	[627]	[628]	[629]	[630]	[631]	[632]	[633]	[634]	[635]	[636]	[637]	[638]	[639]	[640]	[641]	[642]	[643]	[644]	[645]	[646]	[647]	[648]	[649]	[650]	[651]	[652]	[653]	[654]	[655]	[656]	[657]	[658]	[659]	[660]	[661]	[662]	[663]	[664]	[665]	[666]	[667]	[668]	[669]	[670]	[671]	[672]	[673]	[674]	[675]	[676]	[677]	[678]	[679]	[680]	[681]	[682]	[683]	[684]	[685]	[686]	[687]	[688]	[689]	[690]	[691]	[692]	[693]	[694]	[695]	[696]	[697]	[698]	[699]	[700]	[701]	[702]	[703]	[704]	[705]	[706]	[707]	[708]	[709]	[710]	[711]	[712]	[713]	[714]	[715]	[716]	[717]	[718]	[719]	[720]	[721]	[722]	[723]	[724]	[725]	[726]	[727]	[728]	[729]	[730]	[731]	[732]	[733]	[734]	[735]	[736]	[737]	[738]	[739]	[740]	[741]	[742]	[743]	[744]	[745]	[746]	[747]	[748]	[749]	[750]	[751]	[752]	[753]	[754]	[755]	[756]	[757]	[758]	[759]	[760]	[761]	[762]	[763]	[764]	[765]	[766]	[767]	[768]	[769]	[770]	[771]	[772]	[773]	[774]	[775]	[776]	[777]	[778]	[779]	[780]	[781]	[782]	[783]	[784]	[785]	[786]	[787]	[788]	[789]	[790]	[791]	[792]	[793]	[794]	[795]	[796]	[797]	[798]	[799]	[800]	[801]	[802]	[803]	[804]	[805]	[806]	[807]	[808]	[809]	[810]	[811]	[812]	[813]	[814]	[815]	[816]	[817]	[818]	[819]	[820]	[821]	[822]	[823]	[824]	[825]	[826]	[827]	[828]	[829]	[830]	[831]	[832]	[833]	[834]	[835]	[836]	[837]	[838]	[839]	[840]	[841]	[842]	[843]	[844]	[845]	[846]	[847]	[848]	[849]	[850]	[851]	[852]	[853]	[854]	[855]	[856]	[857]	[858]	[859]	[860]	[861]	[862]	[863]	[864]	[865]	[866]	[867]	[868]	[869]	[870]	[871]	[872]	[873]	[874]	[875]	[876]	[877]	[878]	[879]	[880]	[881]	[882]	[883]	[884]	[885]	[886]	[887]	[888]	[889]	[890]	[891]	[892]	[893]	[894]	[895]	[896]	[897]	[898]	[899]	[900]	[901]	[902]	[903]	[904]	[905]	[906]	[907]	[908]	[909]	[910]	[911]	[912]	[913]	[914]	[915]	[916]	[917]	[918]	[919]	[920]	[921]	[922]	[923]	[924]	[925]	[926]	[927]	[928]	[929]	[930]	[931]	[932]	[933]	[934]	[935]	[936]	[937]	[938]	[939]	[940]	[941]	[942]	[943]	[944]	[945]	[946]	[947]	[948]	[949]	[950]	[951]	[952]	[953]	[954]	[955]	[956]	[957]	[958]	[959]	[960]	[961]	[962]	[963]	[964]	[965]	[966]	[967]	[968]	[969]	[970]	[971]	[972]	[973]	[974]	[975]	[976]	[977]	[978]	[979]	[980]	[981]	[982]	[983]	[984]	[985]	[986]	[987]	[988]	[989]	[990]	[991]	[992]	[993]	[994]	[995]	[996]	[997]	[998]	[999]	[1000]

O Anexo às demonstrações orçamentais é composto pelos seguintes elementos: Alterações orçamentais da receita; Alterações orçamentais da despesa; Alterações ao plano plurianual de investimentos; Operações de tesouraria; Contratação administrativa - Situação dos contratos; Contratações administrativas - Adjudicações por tipo de procedimento e Transferências e subsídios.

### Conclusão

Conclui-se que a NCP 26 tem uma classe de contas própria, Classe 0 e faz o acompanhamento de todas as fases da receita e da despesa.

Os movimentos registados na contabilidade orçamental devem ser um “espelho” da atividade da entidade, evidenciando os movimentos que concorrem para a execução do orçamento.

O orçamento, em qualquer organização é sempre encarado como um instrumento de gestão, mas na Administração Pública, assume uma importância redobrada, associando a isso, requisitos legais, sendo de elaboração obrigatória.

A Norma Contabilística e de Relato Orçamental (NCP 26) do Sistema de Normalização Contabilística para as Administrações Públicas (SNC-AP) é uma norma que estabelece os princípios contabilísticos e de relato orçamental a serem seguidos pelas entidades do setor público, e é obrigatória a todas as entidades públicas.

Ao seguir a NCP 26, as entidades públicas podem aprimorar a gestão financeira e a tomada de decisões informadas.

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## Are Sustainable Companies more Successful Financially? – Implementation of Sustainability Management and Financial Effects

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**Abstract:** *Sustainability is receiving more attention than ever before. Economically, ecologically, and socially sustainable management is demanded by many stakeholders and can be understood as an element of good corporate governance. However, the increasing pressure of European legislation, e.g., the obligation to publish on sustainability management, means that many companies would only take up the topic and implement corresponding changes to a limited extent on their own. But why? On the one hand, it requires the use of precious resources to design and implement sustainable management, including consideration of sustainability goals and indicators in corporate management. On the other hand, there is the assumption that ecological and social sustainability in particular costs companies more than it benefits them, and that sustainable action therefore leads to a reduction in earnings. Are companies that operate sustainably in a worse economic position than those that do not? The resulting research question is therefore: "What influence does sustainable corporate behavior have on the company's financial success and what role does the time perspective play?" Since many studies on this topic are already available, this paper aims to analyze three selected country-specific studies, which will be considered in relation to the results of one of the largest collective studies to date. Thus, a comprehensive view of the topic from both a theoretical and a practical perspective will be gained.*

**Keywords:** *Sustainability management, sustainability measurement, ESG criteria, corporate financial performance, country-specific case studies*

### 1. Introduction

Today's business world demands a lot from the participating companies. Characterized by high volatility and uncertainties due to accumulating crises, market participants are put under enormous pressure to succeed. In addition, the demands of stakeholders are becoming increasingly complex. Issues such as climate change, scarcity of resources and social equality are forcing companies to rethink. In this context, the importance of sustainability is growing. One of the main stakeholders in most companies is the government, whose needs entail, for example, legal requirements such as the EU taxonomy, mandatory reporting, and disclosure. In addition, other stakeholders such as customers, suppliers and employees attach importance to sustainable action, which calls on companies to act.

This is associated with the implementation of sustainability management, which uses innovative strategies to optimize processes from an ecological, social, and economic perspective. However, the introduction of this is usually associated with ongoing high costs and personnel time. In addition to personnel costs, there may also be costs for the purchase of new machinery or the changeover to higher-quality materials. This can have a negative impact on financial performance and thus also on traditional, success-oriented corporate management. But what about the positive aspects? In addition to the qualitative benefits, such as satisfying stakeholder needs or enhancing the image, are there also added financial values for companies? Are these effects short-lived or are there also long-term effects?

The current literature on sustainability and financial corporate performance reveals anomalies regarding a multitude of country-specific case studies with similar methodology. Most of them have focused on individual countries. Typically, a number  $x$  of samples from a database are examined to provide country-specific results. Due to this homogeneity in the approach and the associated focus on a single target country in most of the current literature, a research gap becomes apparent. Therefore, the expansion of research through a comparison of these country-specific results becomes intriguing. Consequently, the present methodology includes a juxtaposition of previous findings, using selected examples. The selection considers a large number of samples, the longest possible period of observation, a comparable database, and the geographical location of the country. Furthermore, an overview of early literature is provided through previous empirical studies, which are subsequently linked to the selected case examples. Through this comparison, the insights from the selected country studies are juxtaposed with the insights of the country unspecific studies, aiming to provide a comprehensive perspective on the topic.

This study aims to provide not only a complement to existing homogeneous results but also to address the identified research gap. The research results are intended to serve as guidance for corporate management in their own planning. Alongside the commonly known qualitative benefits, they may also allow to draw conclusions regarding the quantitative value for their company from the results. Highlighting the financial benefits of sustainable practices, the temporal aspect is also crucial, which is considered in the study. These two components can thus serve, for instance, as decision support when investing in sustainable innovations. Based on this topic, this paper addresses the general research question: *What influence does sustainable corporate behavior have on the company's financial success and what role does the time perspective play?*

To answer the research question, initial general research was carried out. The paper begins with a literature review of previous empirical studies, followed by the methodology. Using case studies, three country-specific examples from Norway, Japan and the USA are compared with each other in terms of generality, methodology, results, and criticism. Subsequently, the correlations between the respective study results and the previous empirical studies are highlighted. Finally, a general summary and classification in the scientific context follow.

## **2. Previous empirical studies**

The following chapter shows appreciable, large-scale empirical studies that deal with the relationship between corporate sustainability and the financial performance of companies. In addition, the short-term and long-term added value of sustainability in corporate practice is examined.

Starting in 1978 with the first relevant work by Aldag and Bartol, which uses empirical studies to explore corporate social performance and policy and provides an initial overview. This is followed by a number of both econometric overview studies and methodologically less sophisticated vote-count studies (cf. Aldag & Bartol, 1978, n. p.).

The research by Orlitzky, Schmidt and Rynes from 2003, with more than 6,800 citations, is regarded as a pioneer. The meta-analysis includes 52 studies representing the population of previous quantitative research and includes a total sample of 33,878 observations. The results of the meta-analysis show that corporate action is profitable for companies. Social responsibility is more significant than environmental responsibility, although the operationalizations of corporate social performance (CSP) and corporate financial performance (CFP) weaken the positive correlation (cf. Orlitzky et al., 2003, p. 403).

Operationalization describes the transformation of theoretical concepts into empirically measurable characteristics. Thus, they refute the assumption at the time that generalizable conclusions cannot be drawn because of the incomplete literature.

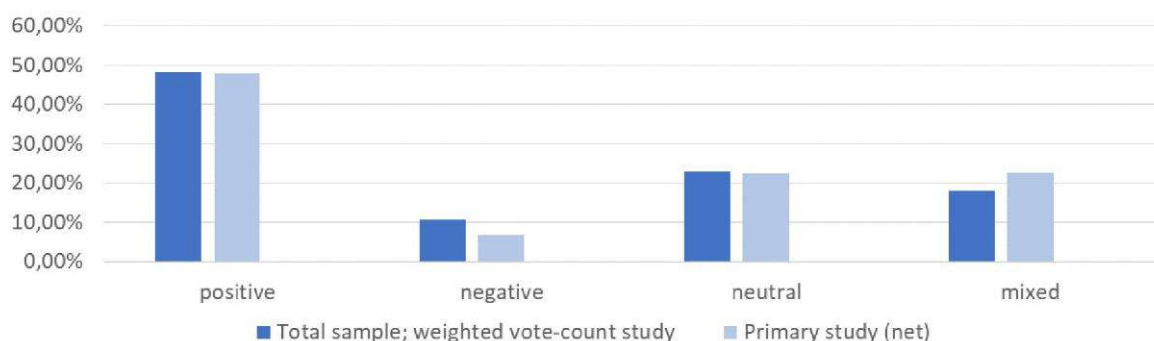
In 2013, the research of Kleine, Krautbauer and Weller follows, which focuses on all three ESG areas for the first time and involves 195 studies. For the most part, the previous works only dealt with environmental protection (E) and/or social justice (S) but disregarded the perspective of corporate governance (G) (cf. Kleine et al., 2013, p. 11).

Two years later, the most comprehensive study to date with more than cited 1,000 times was published by Friede, Busch and Bassen (2015). It summarizes over 2,000 empirical studies and shows that interest in the connection between corporate sustainability (here: ESG) and the financial performance of companies (here: CFP) has been steadily increasing since the 1970s (cf. Friede et al., 2015, p. 211). In this context, the authors explore the question of whether sustainable investments are financially worthwhile for companies and their investors. Contrary to the general perception of investors that ESG measures mainly entail costs and thus have a neutral impact for the company at best, the paper shows the opposite.

To investigate this, Friede et al. conducted a broad second-level review study with the consideration of more than 2,200 individual studies. Among them were primary and review studies. A two-step research method is used for the study. In the first step, the results of the vote-count studies are included. By considering the significant results, the following categories could be derived: positive, negative, neutral, and mixed. The vote counts of the respective categories provide important insights, but the methodological standard of this can be classified as low. This is followed by the results analysis of the econometric studies. They represent a quantitative summary of the meta-studies, also known as second-order meta-analysis.

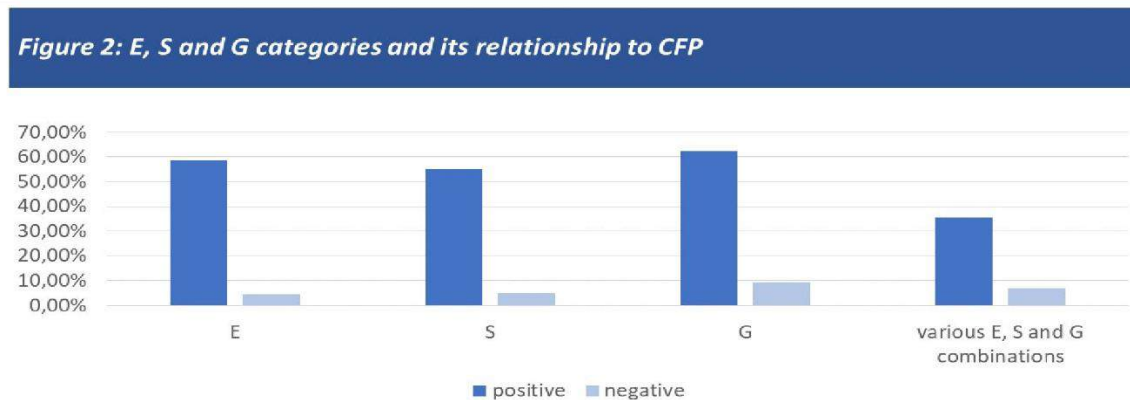
After adjusting for the enumeration sample, the distribution shows that about 50% of all analyzed studies have a positive correlation and about 10% have a negative correlation. Possible positive biases have already been eliminated in advance. Accordingly, the meta-analytical studies also deliver comparable results (cf. Friede et al., 2016, p. 220).

**Figure 1: Relationship between ESG and CFP in Vote Count Studies**



Source: Own representation based on Friede et al., 2016, p. 221.

Within the Environmental, Social and Governance categories, a slightly more positive correlation with corporate financial performance can be observed in category G (62.3%), compared to the other two categories E (58.7%) and S (55.1%). However, none of the three categories shows a strikingly positive correlation. The negative correlation is similar ranging between 4.3% (E) and 9.2% (G) (cf. Friede et al., 2016, p. 222).



Source: Own representation based on Friede et al., 2016, p. 223.

In summary, around 90 % of the primary and secondary studies show a non-negative and the majority a positive correlation between environmental, social and governance criteria and the financial performance of companies. Furthermore, the authors point to a long-term focus on sustainable and responsible action and its necessity to fulfil their social tasks and to align the goals of stakeholders and the company (cf. Friede et al., 2016, p. 226).

### 3. Methodology

Starting with an unsystematic literature review, an overview of the topic "sustainability and financial success" was initially obtained. Two categories could be identified in this process. Firstly, the foundational literature, which has already been extensively covered in the previous chapter, was examined. This includes basic empirical literature such as early research beginnings and provides an overview of the history of this topic. Some publications with high citation value could be identified, which are considered particularly relevant for further research. Secondly, a significant number of current papers can be found in the literature. In this study, these papers have a publication year after 2019. Characteristic of this second category is the homogeneity in approach. They are case studies focusing on a selected country. In these studies, panel data are typically analyzed, referring to several samples within a specified period of observation. The available datasets can be collected using databases such as the Thomson Reuters database.

Numerous agencies, banks and other organizations are involved in evaluating the success of sustainable companies. In some cases, specially developed methods are used to measure sustainability and financial performance. As a result, there is a wide range of measuring methods and assessment frameworks. In the following, three case studies from different countries are presented to provide an insight into corporate practice. A general presentation of the studies is followed by the respective methodology, the most concise results, assessments, and critiques. The focus is on their informative value on the topic of sustainability in connection with their financial impact. This is followed by a discussion to filter out the



correlations between the individual country examples and to find a generally valid answer to the question of what influence does sustainable corporate behavior have on the company's financial success and what role does the time perspective play.

To identify the three case studies, 19 country-specific studies from Australia, China, France, Great Britain, India, Indonesia, Japan, Kenya, Korea, Morocco, Norway, Pakistan, Romania, Sweden, Turkey, USA, and Vietnam can be evaluated. As a criterion for exclusion, duplicate countries and studies that only refer to one industry or sector were excluded to represent as broad a range of companies as possible. Among the 13 remaining case studies, industrialized countries are selected because they dominate the mass. The homogeneity is intended to enable a better comparison. The country studies from Australia, France, Great Britain, Japan, Norway, Romania, Sweden, and the USA remained. The following table shows the number of samples, the period of observation and the database used to record sustainability and financial data.

**Figure 3: Overview of country-specific case studies**

Country	Samples	Period of Observation	Database used
Australia (cf. Munir et al., 2019, p. 915ff.)	425	2014	Australian Securities Exchange (ASX)
France (cf. Boukattaya, Omri, 2021, p. 1f.)	81	2011-2016	SBF 120 & ASSET4 database (Panel)
United Kingdom (cf. Ahmad, Mobarek, Roni, 2021, p. 1ff.)	351	2002-2018	FTSE350 (Panel)
Japan (cf. Vuong, 2022, p. 911)	367	2005-2019	Thomson Reuter Datastream & ASSET4 database (Panel)
Norway (cf. Giannopoulos et al., 2022, p. 1f.)	67	2010-2019	Refinitiv Thomson Reuters Eikon database (Panel)
Romania (cf. Vuță et al., 2019, pp. 607ff.)	61	2015-2017	Bucharest Stock Exchange (Panel)
Sweden (cf. Cuong et al., 2021, p. 1f.)	116	2019	Dow Jones Sustainability Index
USA (cf. Matuszewska-Pierzynka, 2021, p. 885f.)	59	2014-2019	Refinitiv Thomson Reuters Eikon database (Panel)

Source: Own representation.

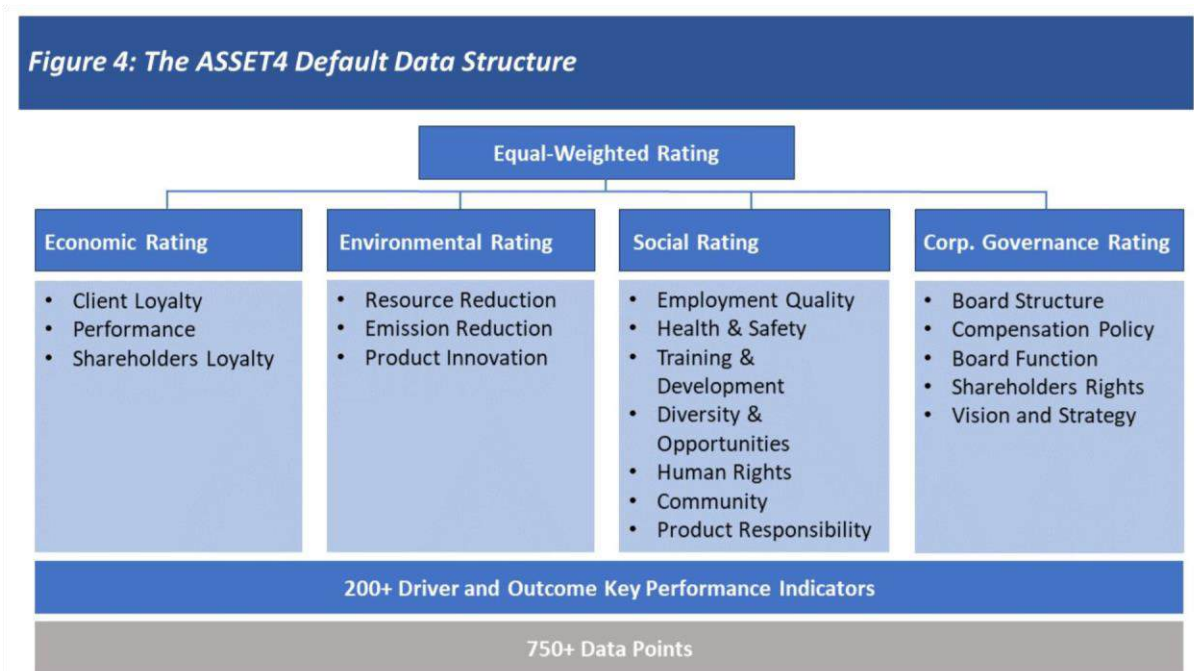
The studies from Australia and Sweden are excluded due to their short observation period of one year to minimize the high influence of external fluctuations, e.g., due to crises. To return to the argument of comparability in terms of geographical location, either a global comparison with country studies from different continents (Europe, Asia, North America) or a European comparison (France, Great Britain, Norway, Romania) is recommended due to the high data density. Another selection criterion is the database used. Thus, with the Thomson Reuter database or Datastream, there is an overlap of the three countries Japan, Norway, and the USA (see blue highlighting). All comparators work with a panel data analysis. Thus, the three industrialized countries are compared from different continents to create a global but comparable value. To clarify how the case studies measured sustainability, please refer to the following section *Database-supported sustainability measurement in the case studies*, which explains the composition of the ESG score measurement and the structure of the database. Another common feature

is the period in consideration. These end in 2019 for each of the three examples, so fluctuations due to the Corona crisis beginning in the following year are not considered.

After identifying the three country-specific studies of Norway, Japan, and the USA, they are compared in terms of their generality, methodology, results, and critiques in the chapter *County-specific Case Studies*. Subsequently, in the chapter *Discussion*, the connections between the respective case study results and previous basic empirical literature are compared and integrated into the scientific context.

Database-supported sustainability measurement in the case studies

Regarding the following country-specific case studies, it should be clarified in advance which factors constitute a sustainable company and how these can be recognized. The framework breaks down into three main areas of responsibility for sustainable action, which are: Environment, Social and Governance (cf. Deutscher Bundestag, 2022, p. 4). This division is also used by ratings such as Thomson Reuters. The provider of news and information services provides the Refinitiv Thomson Reuters Eikon database with a variety of financial market data in the form of panel data and a data stream. This includes the ASSET4 ESG data. Thomson Reuters Asset4 (Asset4) is a leading corporate social responsibility (CSR) database that is increasingly used by both practitioners and researchers. It provides objective, relevant and systematic environmental, social and governance (ESG) information based on more than 250 key performance indicators (KPIs) and more than 750 individual data points, as well as their original data sources (cf. De Villiers et al., 2022a, pp. 11/cf. De Villiers et al., 2022b, pp. 4523).



Source: Own representation based on Thomson Reuters, 2011, p. 3.

Figure 4 shows a standard data structure of Thomson Reuters Asset4. The ratings and the data structure show only one way of many to visualize, organize and evaluate ASSET4 information. Overall, the structure shown in Figure 4 consists of more than 80 performance indicators, 18 categories and four pillars. The three pillars of the ESG rating and the additional economic rating are weighted equally (cf. Thomson

Reuters, 2011, p. 3). The evaluation framework of the Equal-Weighted Rating is between the best value of 100, indicated by A+, and the worst value of 0, which is represented as D-. The result is a rating value per pillar for each company examined, which, in turn, can be linked to an overall rating in the sense of a top indicator. In addition, the database shows the ranking of the analyzed company. In this way, financial performance and ESG performance can be determined and made comparable.

#### **4. Country-specific case studies**

*Norway Case-Study (Giannopoulos et al., 2022)*

##### General

The study "The ESG Disclosure and the Financial Performance of Norwegian Listed Firms" by George Giannopoulos, Renate Victoria Kihle Fagernes, Mahmoud Elmarzouky and Kazi Abul Bashar Muhammad Afzal Hossain was published in the "Journal of Risk and Financial Management" on 26/05/2022. The authors address the impact of environmental, social and governance (ESG) initiatives on corporate financial performance (FP). The study examines 20 Norwegian listed companies over a period of ten years (2010-2019). The working hypothesis is formulated as: "Hypothesis 1 (H1). There is a significant relationship between ESG factors and financial performance" (Giannopoulos et al., 2022, p. 6). In the literature review, an overview of literature with positive and negative correlations between ESG and financial performance is shown in tabular form. The country-specific background of Norway shows a leading position in corporate sustainability so far.

##### Methodology

Well-known databases such as ASSET4, SAM, Bloomberg, or Thomson Reuters Eikon deal with listed companies and offer comprehensive information e.g., regarding commodities, shares or ESG score. Using important market data, charts or time series analyses, the companies can be compared with each other. In the case study Norway, the authors work with the Thomson Reuters Eikon database, which includes around 6000 listed companies and their data. Of these, 267 companies are from Norway. The calculated ESG scores are evaluated to measure sustainability. 67 of the companies have shown ESG activities in 2019, but only 20 of them in the complete selected period of ten years (cf. Giannopoulos et al., 2022, pp. 7). Thus, 200 companies per year observations can be identified. The scoring range is between the worst score 0 (D-) and the best score 100 (A+). The paper considers the two ratios ROA and Tobin's Q.

##### Results

Looking at Norwegian companies show a correlation between ESG activities and financial performance. However, considering the time perspective, differences in impact emerge. In the short term, ESG activities have a negative impact on financial performance. An example of this is provided by a one-off investment in new, modern technology. Due to the increase in investment value, the Tobin's Q or market value-to-substance value ratio changes in the year of acquisition. The ROA shows a negative impact on the company's profitability, as the expenditure reduces profits. In the following year, this leads to an increase in market value, the Tobin's Q or the market value/substance value ratio is positively influenced and growth increases (cf. Giannopoulos et al., 2022, pp. 10). Thus, in the long run, a positive impact of ESG on financial performance can be observed.

##### Criticism

The research paper reports three limitations that could lead to a possible bias. Probably the most important limitation is the small number of samples, which limits the significance and reliability of the results. This is due to the small number of reporting companies. Only 20 out of 267 listed Norwegian

companies have reported every year between 2010 and 2019. Positive prospects for further research with a larger data base are brought by the EU taxonomy coming into force in 2022 and the associated ESG disclosure requirement (cf. Giannopoulos et al., 2022, p. 12). According to this, companies, graded according to size, are obliged to increase their transparency concerning their sustainability and to report on it annually. Another restriction is the neglect of actual CSR initiatives. Since these are not considered in the ESG score, companies with a high level of sustainability activities can still receive a significantly low ESG score. Lastly, there is the problem of omitted variables, which can have an impact on the sustainable and/or financial performance of companies. For example, the "degree of competition" may affect the business environment of the respective companies.

### *Japan Case Study (Vuong, 2022)*

#### General

The research paper "Investor sentiment, corporate social responsibility, and financial performance: Evidence from Japanese companies" by Ngoc Bao Vuong was published in „Borsa Istanbul Review“ on 08/06/2022. Vuong looks at the relationship between corporate social performance (CSP), financial performance (FP) and investor sentiment. Since the investor sentiment is not the focus in this context, only the second of his three hypotheses is discussed. This is: "H2. CSP has a positive impact on firm value but a negative impact on firm profitability" (Vuong, 2022, p. 913). For verification, 367 Japanese companies are analyzed over a period of 15 years (2005-2019). Due to cultural differences and the country-specific background, Japan still significantly lags other industrialized countries in the issue of sustainability. In contrast to Western countries, charitable donations were considered unusual in Japan for a long time. Financial aid mostly came from the close corporate environment. With the help of government regulations such as the Stewardship Code (2014) or the Corporate Governance Code (2015), the first adaptations to the global market were introduced.

#### Methodology

There is also a lot of overlap in the methodology with the previously considered study. The information from the two databases ASSET4 and Thomson Reuters Eikon is evaluated. The overall ESG value is derived from the weighted average index of the three categories environment, social and governance. The data basis is derived from publicly available information, including annual reports, stock exchange reports, CSR reports, the company's website, and news sources. The ESG rating range is also between 0-100. The two indicators ROA and Tobin's Q are also decisive in the comparison of Japanese companies.

#### Results

The study shows a heterogeneous relationship between corporate social performance (CSP) and corporate financial performance (FP). Whereby the ESG score is seen as a proxy variable for corporate social responsibility (CSR) performance. The evaluation of Tobin's Q shows a positive effect. According to this, the implementation of a successful CSR strategy would increase the company value in the following year. If one looks at the impact of the three ESG pillars separately, social performance is the only statistically significant value and is therefore dominant. The ROA figure shows that ESG performance has a negative impact on the company's return on assets, which reduce the company's profitability (cf. Vuong, 2022, pp. 916). In this case, environmental performance shows the only significant value of the three ESG pillars. Results from the two other hypotheses addressed in this study are irrelevant and not considered further.

### Criticism

The authors cannot identify any points of criticism. The results are robust, several proxy indicators are used, and endogeneity problems are considered. The sample size of 367 companies is also considered sufficient (cf. Vuong, 2022, p. 923).

### *USA Case-Study (Matuszewska-Pierzynka, 2021)*

#### General

The third case study deals with U.S. companies and is titled "Relationship between corporate sustainability performance and corporate financial performance: evidence from U.S. companies" by Agnieszka Matuszewska-Pierzynka. The article was published on 10/12/2021 in „Equilibrium. Quarterly Journal of Economics and Economic Policy“. The author addresses the question of whether corporate sustainability performance in all its facets leads to higher total revenues. For this purpose, the economic, environmental, and social dimensions are considered in each case and an overall assessment of corporate sustainability, as well as the weighted and disaggregated pillar assessment, are used. This leads to the formation of the hypothesis: "H: The effect of corporate sustainability performance at both aggregate and disaggregate levels on corporate financial performance as expressed by total revenues is positive" (Matuszewska-Pierzynka, 2021, p. 893). The 59 largest nonfinancial companies from the United States listed in the Fortune 500 from 2015 to 2020 were considered.

#### Methodology

The research also shows many parallels in its methodological approach to the previous papers. It focuses on the relationship between corporate sustainability performance and corporate financial performance. Whereby the economic view (mean value of the long-term return column) is also included in addition to the ESG criteria (mean value of the aggregated ESG rating) when considering sustainability. The main criterion of the financial evaluation, and thus the classification of the companies in the Fortune 500 ranking, is the total deposits. Further evaluation criteria are fixed assets, which show the capital employed, and average employment, which reflects the labor employed. The data basis is the information reported by the companies to the Refinitive Thomson Reuters Eikon database. In comparison to the two previous studies, the TR (total return) is chosen here instead of the ratios Tobin's Q (market-substance value ratio) and ROA (return on assets). However, this is considered in conjunction with the results of similar studies.

#### Results

On the one hand, there is a relationship between the statistically significant coefficients of the long-term return pillar and the disaggregated environmental pillar. On the other hand, there is a relationship between the weighted social pillar and the disaggregated social pillar, too. The hypothesis "H: The effect of corporate sustainability performance at aggregate and disaggregated levels on corporate financial performance expressed by total sales is positive" cannot be positively confirmed. The reason for this is the non-significant values of, on the one hand, the panel regression models of total sustainability performance and weighted environmental performance, and, on the other hand, weighted governance performance and disaggregated governance performance (cf. Matuszewska-Pierzynka, 2021, p. 894). Thus, the positive relationship between sustainability performance and corporate financial performance cannot be verified. In this study, total revenue is considered to assess financial performance. The effect of corporate governance performance on total revenues is negative, with the coefficients being statistically insignificant. It can be concluded that the increase in sustainability performance in ecology, social affairs and corporate governance does not lead to higher total revenues of the company. Compared to the results of similar studies, Tobin's Q is not directly influenced by the company's overall environmental and social



sustainability performance. It should be noted that this is only the overall assessment of corporate sustainability and not the assessment of the individual categories separately. According to the author Matuszewska-Pierzynka, the reason could be "high institutionalization degree of sustainable development principles and practices in U.S. and thus the high sustainability level of the largest U.S. companies" (Matuszewska-Pierzynka, 2021, p. 900).

#### Criticism

Probably the main limitation of the research is the short analysis period and the resulting limited data base of 59 companies. The reason for the chosen period of analysis is the lack of calculations in long-term return columns prior to 2014. Furthermore, the data in the Refinitive Thomson Reuters Eikon database is based only on the information reported by the company. This can be partly influenced by the companies themselves. Accordingly, a subjective data basis is only given to a limited extent (cf. Matuszewska-Pierzynka, 2021, p. 899).

### 5. Discussion

After the presentation of the three practice-based case studies from Norway, Japan and the USA, an overview in relation to answering the research question based on the examples presented follows. Thereby, it is examined which sustainable corporate behavior have on the company's financial success. The next step is to examine whether, despite the potentially high costs, there is a short- or long-term added value. For this purpose, the selected financial and ESG indicators are summarized and compared. Afterwards, the summaries are compared and linked to the core statements of the previous studies or chapters.

#### Answering the research question through studies 1-3

The first case study, which examines Norwegian companies, shows a significant correlation between ESG activities and the financial performance of companies. One influencing factor is the time perspective. In the short term, ESG activities have a negative impact on financial performance. In the long term, there is an increase in market value and a positive impact on company growth. Thus, the implementation of sustainable measures can also have long-term benefits for financial performance. Compared to the first case study, the "Japan case study" looks at two heterogeneous relationships between corporate social performance (CSP) and corporate financial performance (FP). On the one hand, an increase in corporate value is recorded due to the successful implementation of sustainable strategies. Thus, a positive influence of market-specific sentiment on future financial performance is evident. The temporal perspective compares current and future market sentiment. On the other hand, the impact of the three ESG pillars is considered separately with social performance emerging as the dominant value. Case study three examines US companies. A correlation between the individual ESG activities and the individual financial performance could be established. In general, there is no positive influence on the financial performance of the company due to improvements in sustainability performance in the areas of economic, social, environmental, and corporate governance. The research hypothesis could therefore not be positively confirmed. The temporal perspective does not play a significant role in this.

#### Summary of the financial and ESG key figures from study 1-3

When looking at the financial ratios Tobin's Q, ROA and TR and the sustainable ratios, there is overlap between all studies. The first two case studies show negative ROA, with positive Tobin's Q. That is, in the Norway example, the increased investments in ESG initiatives result in a negative impact on ROA, but the market value-to-substance value ratio is positively impacted. The case study of Japan shows mixed effects



of market sentiment. Based on the ROA ratio, ESG performance shows a negative impact on the company's return on assets, which reduces the company's profitability. In the US example, total returns do not increase, suggesting that improving ESG performance does not improve financial performance. The overall impact of sustainability performance on total returns is only very weakly significant.

#### Comparison of the summaries of all studies

In addition to many qualitative benefits, studies one and two also assert the long-term financial advantages. Even if losses must be made in the profitability of the total capital in the short term, in the long term an added value for the company is shown as an increase in market value. This result confirms the main finding of Friede, Busch and Bassen (2016), who found a non-negative relationship between ESG and CFP in around 90% of 2000 empirical studies (cf. Friede et al., 2016, p. 210). According to Friede et al., the third study with its rather negative influence on corporate financial performance thus belongs to the minority of 10% of the defined studies. Country-specific characteristics must be considered, which can have a considerable influence on the findings of the case studies. These include, e. g. the already mentioned high degree of institutionalization and the associated high level of sustainability of the largest U.S. companies in the United States (cf. Matuszewska-Pierzynka, 2021, p. 900). In addition to country-specific characteristics, the results can also be influenced by the respective approach. Corporate sustainability can be viewed as a whole or the individual ESG categories of ecology, social affairs and governance can be compared with each other.

#### Conclusion

In terms of corporate management, successful business management means defining realistic and ambitious corporate goals, drawing up suitable plans, monitoring these continuously during implementation and, if necessary, taking countermeasures at an early stage if deviations become apparent. From a traditional economic perspective, the goal is to maintain or increase the company's profit or value. Sustainable management expands this perspective to include ecological and social aspects, in which e. g. the preservation of the basis of life by means of resource conservation is added as an equally important goal.

Sustainable companies face the challenge of finding sustainability metrics that fit their business model and integrating them into their management process. The permanent measurement of new data in this sense is costly and time-consuming, especially when it is carried out for the first time. Due to these possible additional efforts and costs, the question arises whether they exceed the benefits? Is the introduction of sustainability management a losing proposition or is the opposite? Are companies that operate sustainably perhaps even more successful financially? The work by Friede et al. (2016) shows that there is a non-negative correlation between environmental, social and governance criteria and monetary company performance in around 90% of primary and secondary studies, and a positive correlation in the majority. This positive correlation reflects the financial success of the companies. In addition, the authors point to a long-term orientation of sustainable action, as positive effects often only become visible with a time delay.

Three country-specific studies also point in the same direction. One example is resource-efficient production, where waste avoidance has an immediate positive impact on the profitability of a company. However, if a costly new acquisition has to be made first, the financial situation deteriorates at the beginning. Only after a measure has settled and been communicated, the reputation can be strengthened among stakeholders and the value of the company be increased. Particularly in the case of legal requirements for more sustainability, companies should not only consider the possible financial effects.

They should also keep an eye on the resulting possible (competitive) advantages and, if applicable, disadvantages and respond accordingly. The key message of the studies is that not all sustainable activities have a direct positive financial impact. A time delay is quite likely. A general long-term deterioration in terms of corporate success because of the introduction of sustainability management can only be demonstrated in a very small number of cases. Accordingly, companies should see sustainability management as an opportunity to be quantitatively and qualitatively successful in the long term.

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# **CHAPTER SEVEN**

# ORGANIZATIONAL RESILIENCE



## From Transactional to Servant Leadership and Team Commitment

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**Abstract:** *This study examined the relationship between traditional leadership styles, such as authentic and transformational leadership, and emerging forms of leadership, such as servant and positive leadership. The researchers conducted a correlation analysis to find the predictive strength of each leadership profile on the leader's feeling of their commitment to work teams. They also explored the conceptual and empirical overlap between the different leadership profiles. In the second phase of the study, the researchers conducted an exploratory factor analysis on selected variables from each leadership profile to propose an instrument that can measure and show the interrelationship of each leadership dimension. The findings revealed significant and positive relationships between servant leadership and team commitment, particularly when mediated by positive leadership. Overall, the study highlights the importance of understanding the various leadership styles and their impact on team commitment.*

**Keywords:** *Servant leadership, positive leadership, authentic leadership, transformational leadership, transactional leadership, team commitment.*

### 1. Introduction

When it comes to leadership, it still doesn't seem possible to define the space, or even the characteristics and behaviors that are exclusive to a particular profile, without passion or bias. It must first be acknowledged, without generalizing, that each profile has skills and behaviors that are applicable or useful for each situation.

Now, when it comes to research involving leadership profiles, it will be necessary to involve at least the main profiles already recognized in terms of scientific research, in addition to the forms that have not yet been explored, which in this research we will call emerging forms.

A quick search on Google Scholar between the years 2013 and 2022 for "transformational leadership" will find approximately 113,000 citations, "servant leadership" 32,100, "authentic leadership" 25,600, "transactional leadership" 24,100 and "positive leadership" 15,800 respectively, while transformational leadership and servant leadership are among the most explored profiles, positive leadership can be considered an emerging profile and possibly a research opportunity.

The first stage of this analysis compares leaders' feelings of five leadership profiles: transactional, authentic, transformational, positive and servant leadership, as well as their relationship with team commitment, well-being and preparedness in times of external crises, such as pandemics, conflicts and wars, global economic difficulties and national political upheavals.

The research involves the effects of leader feeling on the relationship between team commitment and servant leadership, which incorporates ideals of empowerment, team consolidation, participative management and ethical service, necessary to promote commitment, (Mahembe & Engelbrecht, 2013).

In addition to measuring how much the feeling of servant leadership is positively related to team commitment, we will also analyze the mediation of leadership between servant leadership and team commitment, and finally discuss how much this commitment is able to effect on the leader's ability to withstand moments of crisis.

This research has some theoretical foundations, especially servant leadership, team commitment and leaders in times of external crisis. To conduct the research, we adopted mixed methods divided into two phases, like the method used by Araujo (2015).

## **2. Literature review and hypotheses**

There are indications from leadership experts that there is conceptual overlap between profiles, (van Dierendonck & Nuijten, 2011), (Bruce Winston & Fields, 2015), (Anderson & Sun, 2017), (Deng et al., 2022). From the transactional leadership style, whose basic principle is hierarchy, (Bass et al., 2003), to the more emerging profiles, this investigation seeks to avoid forms of inappropriate empirical relationships such as those found by Hoch et al. (2018), who despite confirming overlap between authentic and ethical leadership, observed results of conceptual and empirical distinction between transformational and servant leadership.

Based on the need to verify possible conceptual and empirical overlap between the positive, servant and other leadership styles, as well as trying to build an instrument that confirms a "complete" leadership model that encompasses several styles (Anderson & Sun, 2017). In this study, a mix of question selection and scales was developed to conduct an exploratory analysis, as well as proposing a preliminary construct that confirms multiple profiles. Based on the earlier statements in the literature, the first research hypothesis is derived:

- Hypothesis 1 (H1). There is conceptual and empirical overlap in the factor relationships of leadership profiles.

The framework and comparative inclusion between the transactional, authentic, transformational and servant leadership profiles were reflected in the work of (Bruce Winston & Fields, 2015) and Hoch et al. (2018), who sought to see the correlation between the profiles, overlap and mediation relationship.

### **2.1 Transactional leadership**

In 1978 James M. Burns found two types of leadership styles, transformational and transactional (Lowe et al., 1996). The transactional leadership style is most often found when conducting many complex procedures, like those developed in military and police environments, where leaders exercise a leadership, whose basic principle is hierarchy and a top-down decision-making style, (Bass et al., 2003). The main behaviors of transactional leadership in relation to those they lead are mainly aimed at alternating in three basic actions: rewarding, communicating and punishing, Hoch et al. (2018).

### **2.2 Authentic leadership**

Regarding authentic leadership, Bill George in 2003, former head of Medtronic, stated that in short, they are leaders who lead with purpose, values and integrity, who build lasting organizations and motivate their employees to provide superior customer service and create long-term shareholder value, (Avolio & Gardner, 2005).

Authentic leadership is based on positive psychological skills, climate and self-development in order to promote greater self-awareness, an internalized moral perspective, balanced information processing and



relational transparency on the part of leaders, (Walumbwa et al., 2008). The authentic leader stands out for the dimension of positive moral perspective and demands leadership actions based on internalized positive virtues and high moral character, (Hoch et al., 2018).

### **2.3 Transformational leadership**

James M. Burns in 1978, the same author of the transactional leadership concept, also found the first assumptions of the transformational leadership style (Lowe et al., 1996). Transformational leadership has four basic behavioral pillars: 1) Idealized influence, these leaders are admired, respected and trusted; 2) Inspirational motivation, leaders behave in a way that motivates those around them; 3) Intellectual stimulation, leaders stimulate their followers' efforts to be innovative and creative and 4) Individualized consideration, leaders pay attention to each individual's need for achievement and growth, (Bass et al., 2003).

### **2.4 Servant leadership**

The term "servant leadership" attributed to the creation in 1970 by Robert Greenleaf, comes from the original idea, the servant as leader, possesses a noble and guiding spirit, greatness and a deep desire to help others, with a sense of community and power sharing in decision making, (Spears, 1996). The servant leader involves service to followers, spirituality and morale, leadership dimensions for organizational contexts, (Sendjaya et al., 2008). Regarding the main characteristics, they can be listed in categories such as: vision, credibility, service, example, pioneering, with an emphasis on trust, valuing others and empowerment, (Russell, 2001).

Servant leadership behaviors concisely: 1. Practices what it preaches; 2. Serves people without regard to their nationality, gender or race; 3. Sees serving as a mission of responsibility to others; 4. Is genuinely interested in employees as people; 5. Understands that serving others is the most important thing; 6. Is willing to make sacrifices to help others; 7. Seeks to inspire confidence rather than fear or insecurity; 8. Is always honest; 9. Is driven by a sense of higher calling; and 10. Promotes values that transcend self-interest and material success, (Bruce Winston & Fields, 2015). Based on the earlier statements in the literature, the following research hypothesis is derived:

- Hypothesis 2 (H2). Servant leadership is positively related to team commitment.

### **2.5 Positive leadership**

The concept of positive leadership is defined as the ability of leaders to influence their followers in complex and varied situations, to be improved through the development of a rich and multifaceted self-construction between cognitions, affections, aims, expectations and positive values, (Hannah et al., 2009). The strengths related to positive leadership behavior are expressed when it shows feelings of caring and compassion, the successful fusion of two distinct cultures in organizations, resulting in improved financial performance, customer satisfaction rates and greater employee commitment, (Cameron & Plews, 2012).

The conceptual model of "positive leadership" includes the possibility of considering, according to Hoch et al. (2018) and Abbas et al. (2022), that servant leadership is a positive way of leading, or the possibility that this view is reductionist, and that positive leadership is really an independent autonomous profile as advocated by Cameron & Plews (2012), but that both possibilities contribute by positively influencing team commitment. Based on the earlier statements in the literature, the following research hypotheses are derived:

- Hypothesis 3 (H3). Positive leadership is positively related to servant leadership.
- Hypothesis 4 (H4). Positive leadership mediates the relationship between servant leadership and team commitment.

## **2.6 Team commitment**

Initially, it is necessary to distinguish between the several types of commitment that a leader can have or inspire. Organizational commitment is divided into three aspects; 1) affective commitment, which refers to emotional attachment in relation to identification and involvement with the organization, continuity commitment, which refers to the fear of leaving the organization and its costs and, finally, normative commitment, which refers to the feeling of loyalty to the organization's values (Allen & Meyer, 1990). There are four types of focus of leaders or team members on commitment: 1) first, on the organization, 2) second, on top management, 3) third, on supervisors and 4) fourth, on work groups or teams, (Becker, 1992).

Commitment can have meanings and directions that vary between the organization and the work groups or team, the proximity and regular interaction with the team, makes it easier to receive feedback on how much your behavior and performance reflects on the team rather than this measure being perceived in relation to the organization, (Bishop & Scott, 2000).

Performance at work can be related to commitment to the team and intention to leave related to commitment to the organization. The feelings someone has towards the work team may or may not be equivalent to someone's feelings towards the organization, so it is important to separate commitment to the organization and to the team, (Bishop et al., 2005).

There are strong effects related to the organization in criteria such as (job satisfaction and intention to leave), while others related to team commitment criteria such as (team performance and altruism), these effects can increase over time, (Neininger et al., 2010). Team commitment (CE) may still be a stronger predictor of work behavior (team performance and altruism) than organizational commitment, (Neininger et al., 2010). This study collaborates with the general hypothesis of this research, that the feeling of servant leadership has positive effects on team commitment and these in turn relate positively to the feeling of the leader and their preparedness in times of external crises.

Team commitment is the psychological attachment that members feel for the team, the focus of commitment can be on the team and not on the organization, yet this commitment to teamwork brings pressure on the individual to attend work in the organization, (Singh & Gupta, 2015). Based on the earlier statements in the literature, the following research hypothesis is derived:

- Hypothesis 5 (H5). Team commitment is positively related to preparedness in times of external crises.

## **3. Methodology**

The research was conducted in a multi-phase manner, an example of a mixed-methods, exploratory, convergent and integrative design, making it possible to go beyond basic designs (Cresswell & Plano Clark, 2011). Application of a questionnaire to the Community of Portuguese Speaking Countries (CPLP) or leaders working in other countries, qualitative and quantitative method with descriptive statistical analysis, correlation and regression, based on online responses between the months of February and March 2023, questions, construct and application of scales.

The questionnaire collected 118 responses from CPLP leaders, mostly from Brazil and Portugal. Scales and categorical questions were selected and adapted based on articles by Hoch et al. (2018). The first questions, related to personal and professional background, include leaders mostly resident in Brazil and Portugal from different business segments. The unit of analysis is the leader's self-perception of their profile, positive behaviors, commitment, well-being and preparedness for external crises.

### **3.1 Measurement tools and information analysis**

Sequencing of the most relevant texts and quotes according to publication date ascending and data analysis with R Studio version 1.4, IBM SPSS, AMOS both version 28 and SMARPLS 4. The scale used for the questionnaires was a Likert-type scale with 8 points that vary in the frequency of the leader's practice in relation to the question, between the values of 0 and 7, being 0 (Never), 1 (Little), 2 (Slightly), 3 (Moderately), 4 (Very), 5 (Intensely), 6 (Often) and 7 (Always), a neutral-type scale makes it difficult to add the average point.

Regarding the stages, the instruments and measurement scales of the questionnaires were initially adapted, with the following steps: 1) Literal translation by a fluent English speaker and native speaker of the target language Portuguese, 2) Synthesis of the translation considering cultural context and 3) Evaluation during the pre-test of the questionnaire by leadership experts and the target audience involved in this phase, (Borsa et al., 2012).

Contact with leaders in a wide range of positions and activities was made through the authors' relationship network, be it linkedin, facebook, whatsapp and mailing listing, with a snowball effect, the leaders involved others with similar actions.

## **4. Results and discussions**

### **4.1 Exploratory factor analysis (efa)**

As foreseen in the method, an exploratory factor analysis was conducted in the first phase, which is a proper tool as it is an adapted and reduced scale of the factors (Borsa et al., 2012). We used the AQL1 questionnaire as a database, with 118 leaders from different areas of activity and experience, whose answers related to their feeling as a leader. We used non-probability convenience sampling (Malhotra, 2019).

With a total explained variance of 62.90% for the 4 (four) principal factor components, table 1.

*Table 1. Total variance explained (AQL1)*

CP	Initial eigenvalues			Sum	Rotation sums of squared loads				
	Tot.	% of var.	% cum.		Tot.	% of var.	% cum.	Tot.	% of var.
1	8,97	40,81	40,81	8,97	40,81	40,81	4,19	19,06	19,06
2	1,84	8,37	49,18	1,84	8,37	49,18	3,61	16,42	35,49
3	1,62	7,39	56,58	1,62	7,39	56,58	3,32	15,09	50,58
4	1,39	6,31	62,90	1,39	6,31	62,90	2,70	12,31	62,90

Extraction Method: Principal Component Analysis (CP).

Source: Prepared by the authors.

The component analysis verified the hypothesis of potential empirical overlap between the profiles, (van Dierendonck & Nuijten, 2011), (Bruce Winston & Fields, 2015), (Anderson & Sun, 2017), (Hoch et al., 2018). In the positive leader relationship in the positive climate dimension and leadership in the first place of the servant leader, as well as the servant leader in the conceptual skills dimension and internalized moral

perspective of the authentic leader, as well as the emotional healing dimension and creating team value with self-awareness.

Overlap is also saw with transformational leadership in the dimensions of idealized influence and self-awareness of authentic leadership, as well as relational transparency and individualized consideration. Authentic leadership focuses on integrity, trust, courage, hope and perseverance, also dimensions attributed to spiritual leadership, (Avolio & Gardner, 2005), servant leadership also shares these dimensions.

Based on the results and theories that were the conceptual basis of the constructs, our hypothesis (H1) is supported on a conceptual and empirical basis. Although the principal components method raises a lot of debate as to its robustness in verifying this issue in depth.

#### 4.2 Descriptive statistics and correlations (aql1)

Table 2 shows the descriptive statistics for the frequencies of the 118 cases. With regard to country of residence, 89.8% live in Brazil, while 6.8% live in Portugal, with regard to gender, 86.4% male and 13.6% female, with regard to marital status, 85.6% are married and only 8.5% are single, with regard to level of education, 35.6% have a postgraduate degree, while 11% have only secondary education.

Table 2. Study 1: Descriptive statistics and correlations of variables (N = 118)

Variable	M	DP	Asymmetry	Kurtosis	1	2	3	4	5	6	7	8	9	10	11	12
1.Country	0,15	0,53	4,61	25,68	1											
2.Gender	0,86	0,34	-2,16	2,70	0,067	1										
3.Marital Status	1,01	0,53	2,80	16,76	0,056	0,006	1									
4.Level of education	2,80	1,11	0,34	-0,42	0,039	-0,118	-0,012	1								
5.Age	42,88	13,59	-0,36	-0,81	-0,079	0,110	0,16*	-0,034	1							
6.Positive	5,43	1,14	-0,67	-0,07	-0,088	-0,069	0,124	-0,051	0,17*	1						
7.Servant	6,20	0,85	-1,22	1,22	-0,102	-0,060	-0,065	0,064	0,087	,67**	1					
8.Authentic	6,05	0,86	-1,24	1,99	-0,047	-0,104	-0,016	0,000	0,062	,62**	,68**	1				
9.Transformational	6,12	0,83	-1,32	1,90	-0,027	-0,097	0,068	-0,021	0,134	,64**	,68**	,79**	1			
10.Transactiona	5,72	1,08	-0,77	-0,02	-0,15*	-0,103	0,16*	-0,059	,263**	,64**	,494**	,60**	,65**	1		
11.Commitment	6,41	0,86	-1,45	1,33	-0,054	-0,127	-0,15*	-0,104	-0,042	,415**	,411**	,65**	,64**	,52**	1	
12.Crisis	5,15	1,48	-0,58	-0,03	-,258**	-0,094	-0,013	-,242**	0,080	,379**	,293**	,384**	,295**	,413**	,346**	1

Source: Prepared by the authors. \*\*. The correlation is significant at the 0.01 level (2 ends). \*. The correlation is significant at the 0.05 level (2 ends). Nominal variables converted to numerical: Country (0 Brazil, 1 Portugal, 2 USA, 3 Canada); Gender: (0 Female, 1 Male); Marital status: (0 Single, 1 Married, 2 Divorced) and Level of education: (0 Elementary, 1 Secondary, 2 Higher, 3 Post-graduate)

#### 4.3 multiple linear regression

The essence of regression analysis is a way of predicting some kind of result from one or more independent variables (or predictors) that impact or can predict the value of a dependent (or output) variable, (Field, 2009), (Maroco, 2018). In this sense, a multiple linear regression analysis was conducted, method (insert) in separate groups with the five leadership factors (positive, servant, authentic, transformational and transactional), in order to analyze their ability to impact or predict team commitment.

Table 3 shows the coefficients for all the significant predictors. As can be seen, the variables that most strongly affected team commitment levels were authentic leadership (LAm) explaining 21.5%, positive leadership (LPm) explaining 17.2%, transformational leadership explaining 5.60%, servant leadership (LSm) explaining 3.3% of the outcome and transactional leadership explaining only 1.1% of team commitment (CEm). Positive leadership behaviors will be predictive of positive affect, but in addition to being

significantly associated with affective commitment to the organization (Kelloway et al., 2013), our findings also confirm a strong relationship as a predictor of team commitment.

Table 3. Linear regression - Summary of models (AQL1)  
Model overview<sup>f</sup>

Model					Change statistics					
	R	R square	R square adjusted	Standard error of estimate	Changing R square	Change F	df1	df2	Sig. Change F	D. Watson
1	,415 <sup>a</sup>	0,172	0,165	0,7894	0,172	24,106	1	116	0,000	
2	,452 <sup>b</sup>	0,205	0,191	0,7770	0,033	4,725	1	115	0,032	
3	,648 <sup>c</sup>	0,420	0,405	0,6665	0,215	42,301	1	114	0,000	
4	,690 <sup>d</sup>	0,476	0,457	0,6363	0,056	12,064	1	113	0,001	
5	,698 <sup>e</sup>	0,487	0,464	0,6321	0,011	2,505	1	112	0,116	1,70
a. Predictors: (Constant), LPm										
b. Predictors: (Constant), LPm, LSm										
c. Predictors: (Constant), LPm, LSm, LAm										
d. Predictors: (Constant), LPm, LSm, LAm, LTm										
e. Predictors: (Constant), LPm, LSm, LAm, LTm, LTsm										
f. Dependent variable: CEm										

Source: Prepared by the authors.

Since the focus of the study was on positive and servant leadership, we opted for model 2. It is worth noting that the loadings of authentic leadership on the R2 change were 21.50% in this sample, surpassing the combined loadings of servant and positive leadership of 20.50%.

The results in table 3 show a significant influence of the positive and servant leadership factors on team commitment ( $F(1,115) = 14.802$ ,  $p < 0.001$ ; adjusted  $R^2 = 0.191$ ). A similar result was found by Muthia & Krishnan (2015), who found a significance level of  $p < 0.01$  with a correlation load of 0.33 and a significance level of  $p < 0.001$  with a load of 0.57, respectively.

Servant leadership and transformational leadership have been identified as predictors of commitment, satisfaction and intentions to remain in the organization, (Schneider & George, 2011), as well as, positive relationships have been found between servant leadership, team effectiveness and affective team commitment, (Mahembe & Engelbrecht, 2013), considering these theoretical statements, in addition to our empirical results, our hypothesis (H4) is fully supported.

Analysis of outliers and residuals, table 4. Standardized residuals (SR), values greater than 3 are cause for caution and cases close to 3 merit investigation. Mahalanobis distances (MAH), for a sample of 100 with three predictors, values greater than 15 would be problematic. Cook's distances (COO), values greater than 1 deserve attention, (Field, 2009). In the analysis of only the Mahalanobis distance index, with 5 (five) cases of outliers, this value can be considered low, as it is 4% of the sample, (Borsa et al., 2012).

Table 4. Analysis of outliers

ZRE	2,7364	2,564	2,0889	2,0674	1,6535	1,4546
MAH	30,148	24,78	19,645	18,135	15,204	14,924
COO	0,2252	0,1881	0,122	0,1212	0,0767	0,0758

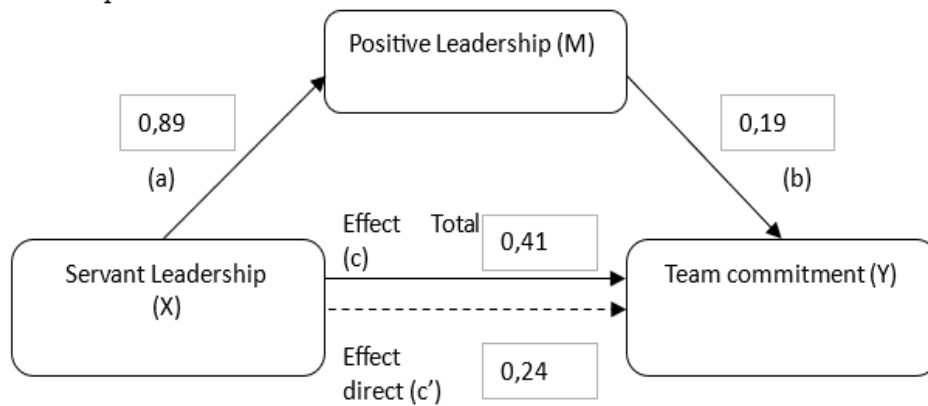
Source: Prepared by the authors

After verifying the predictive power of positive leadership with team commitment, it is worth evaluating the mediating power with servant leadership, since the latter can be considered a type of "positive" leadership, and the overlap between the loadings of some dimensions of positive and servant leadership was mentioned. Next, the mediation analysis adds predictive power and how much this mediation represents for our research model.

#### 4.4 Mediation analysis

Analysis with PROCESS Procedure for SPSS Version 4.2, macro written by Andrew F. Hayes (Documentation available at [www.guilford.com/p/hayes3](http://www.guilford.com/p/hayes3)). Model: Y: CEm (Dependent Variable), X: LSm (Independent Variable) and M: LPM (Mediating Variable), Sample Size: 118.

Figure 1. Servant leadership model as a predictor of team commitment, mediated by positive leadership.



Source: Source: Prepared by the authors. The Bias-corrected and Accelerated (BCa) confidence interval was estimated using the Bootstrapping technique (5,000, resampling)

We looked to investigate the extent to which positive leadership (M) mediated the relationship between servant leadership (X) and team commitment (Y). The mediation effect (indirect effect) was significant,  $b=0.1722$  (95% BCa CI = 0.0003, 0.3242). As figure 1 shows, the positive leadership variable mediated approximately 41.50% of the relationship between servant leadership and team commitment. Based on these findings, our hypothesis (H3) is supported, as shown in figure 1.

#### Conclusions

The study analyzed leader feelings of the five leadership profiles: transactional, authentic, transformational, positive and servant, and their relationship to engagement and preparedness for times of external crisis. It explored the impact of leadership on team commitment and the relationship with



service leaders, including the ideals of empowerment, team building, participative management and ethical service needed to promote engagement.

The main contribution and pioneering spirit of this research, initially by exploring the conceptual and empirical overlap involving the servant, transformational, authentic, transactional and positive leadership profile, as well as extrapolating this last form of leadership beyond the perspective of positive psychology. But above all, as an independent and viable form of leader behavior, finally, we will analyze its mediation capacity when related to servant leadership to obtain greater commitment from work teams.

The results suggest that all the leadership profiles are positive predictors of team commitment, with due emphasis on the significant load of the authentic and transformational leadership styles. This may have been due to the quality of the instruments in this phase, which were much more developed than those that measured servant and positive leadership.

Some implications stem precisely from the results found, which show the need to build an instrument capable of measuring a group of leaders, with gains between the concepts and dimensions of the profiles, which not only builds a theory, to a certain degree generalist, but also specialist, in the ability to stimulate commitment in work teams.

The main limitation that may reflect on our results may be the quality and consistency of the scales available, which resulted in the need for adaptation, in addition to keeping the most relevant factors and their dimensions. The number of studies involving servant and positive leadership profiles too was a limitation we met.

We therefore suggest further research in this area to collect data on widely used measures of team commitment and the leader's feeling of their preparedness for times of external crisis, with attention to the relationship between the two emerging leadership profiles, servant and positive.

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## Dynamic Capabilities and Strategic HRM: Fostering Resilience in Disruptive Business Environments

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**Abstract:** *As the business environment grows increasingly disrupted, building resilience has become an imperative for organizational survival and competitiveness. This paper explores the critical nexus between dynamic capabilities theory and strategic human resource management (SHRM) in enabling organizational resilience. Through a comprehensive literature review, we examine the conceptual intersections between dynamic capabilities, strategic HRM, and resilience. We propose a theoretical framework that delineates how targeted SHRM practices can develop dynamic capabilities by continuously sensing opportunities and threats, seizing market options, and reconfiguring resources and competencies. Our model provides an integrated perspective on how targeted SHRM practices can develop the dynamic capabilities needed to foster resilience in turbulent business environments. Testing this model empirically can provide evidence-based insights for practice on configuring SHRM to build resilience.*

**Keywords:** *Business disruption, Organizational resilience, Strategic Human Resource Management, HRM practices, Dynamic Capabilities.*

### 1. Introduction

In the relentless churn of today's business landscape, organizations find themselves navigating turbulent waters. The once-foreseeable future has given way to a paradigm of perpetual disruption. In this ever-evolving environment, the survival and prosperity of organizations hinge on their ability to adapt, recover, and even flourish in the face of adversity.

This journey of navigating and thriving amid disruptions is underpinned by two pivotal constructs: Organizational Resilience and Strategic Human Resource Management (SHRM). (Armstrong, 2021; Kim et al., 2022; Weick & Sutcliffe, 2007; Williams & You, 2021) Organizational Resilience embodies the capacity of an entity to absorb shocks, adapt swiftly, bounce back stronger and renew. It is the bedrock upon which survival is built, a dynamic response to an unrelenting cascade of challenges. Fuelling this resilience is the concept of Dynamic Capabilities, encapsulating an organization's ability to sense market shifts, seize opportunities, and strategically reconfigure its resources and competencies (Kurtz & Varvakis, 2016).

Our paper aims to provide a comprehensive review of the nexus between SHRM and organizational resilience, by exploring the theoretical underpinnings derived from the Dynamic Capabilities theory, which have shaped our understanding of this relationship, we will try to respond to our research question: "To what extent do strategic Human Resource Management (SHRM) can develop the dynamic capabilities needed to foster resilience in disrupted business environment?"

The core of this article lies in the intersection of Dynamic Capabilities Theory and Strategic Human Resource Management (SHRM). We delve into how these interrelated concepts play a pivotal role in developing organizational resilience, and we propose a theoretical framework that connects dynamic capabilities, Strategic Human Resource Management (SHRM), and organizational resilience for

understanding how these elements interact. But before we journey deeper into the nexus of Dynamic Capabilities, SHRM, and Resilience, let us first understand each concept in isolation, uncovering their essence and individual significance.

In the following sections, we will explore the critical importance of Organizational Resilience in the current business environment, shed light on Dynamic Capabilities as the vehicle for resilience, and emphasize the indispensable role of SHRM in forging a path towards thriving amidst disruption.

## **2. Procedure**

According to (Breslin & Gatrell, 2020) “literature reviews play an increasingly important role in theory development, understanding how they contribute to the process of theorizing is lacking”. With this in mind, our study, aims to explore the nexus between strategic human resource management and organizational resilience with the lens of dynamic capability framework. Our research methodology begins with the identification of suitable databases such as Web of Science, Scopus and Google Scholar, to locate relevant articles. A combination of keywords and phrases were used to capture the broad spectrum of literature relevant to the study's objectives. The search strategy incorporated variations and combinations of the following terms: "Strategic Human Resource Management" OR "SHRM" "Dynamic Capabilities" AND "sensing" OR "seizing" OR "reconfiguring""resilien\* AND (organi?ation\* OR entreprise\* OR firm\* OR business\* OR corporate\* OR compan\*)

Question marks and asterisks have been used to take account of the variation in search terms, for example: (resilience, or resiliency or resilient, organiZation or organiSation...).

The search was not limited to a specifically time frame, to not exclude seminal works and foundational theories that have significantly influenced the development of SHRM, dynamic capabilities, and organizational resilience.

Inclusion criteria were as follows:

- Peer-reviewed journal articles, conference papers, and book chapters.
- Studies that explicitly discuss the relationship between SHRM practices and dynamic capabilities or organizational resilience.
- Empirical and theoretical works that offer insights into the mechanisms through which HR practices influence sensing, seizing, and reconfiguring capabilities.

Exclusion criteria included:

- Non-peer-reviewed articles, opinion pieces, and grey literature.
- Studies focusing solely on operational aspects of HRM without strategic implications.

In sum, our methodological approach is based on searching scientific databases, using keywords and filters to target SHRM, dynamic capability and organizational resilience fields, with a particular focus on empirical papers to select articles reinforcing our proposed framework.

## **3. Synthesis**

*Resilience, the ability to persist through disruption*

Cultivating resilience has become an imperative for organizational survival and competitiveness (Epaminondas Koronis & Ponis, 2018; Landini et al., 2020). In fact, navigating disruptions in today's business environment, requires the development of specific capabilities that enable organizations not only to survive, but also to continue to grow. These capacities are increasingly linked to organizational resilience, hence the growing interest in research in this field. The literature on organizational resilience is marked by a predominance of effort on conceptualizing and understanding the

concept (Burnard & Bhamra, 2019; Eltigani et al., 2021; Hillmann & Guenther, 2021; Lee et al., 2013; Linnenluecke, 2017; Wakrim & Khaldi, 2022). From this literature emerge a huge number of definitions, amidst this rich tapestry of definitions, an insightful synthesis emerges, allowing us to extract the essence of organizational resilience into four distinct aspects that collectively capture its multiple dimensions.

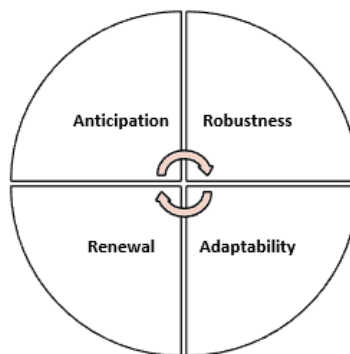
The first aspect we can note is the anticipation, which encompasses proactive measures taken by organizations to foresee potential threats and disruptions by emphasizing that resilient organizations can anticipate challenges, and plan for disruptions before they occur, enabling proactive measures to be taken in advance. This facet manifests itself in definitions that emphasize an organization's preparedness to deal with unexpected events even before they occur (E. Koronis & Ponis, 2018; Mafabi et al., 2012; McManus et al., 2008; Somers, 2009).

The second aspect presents the concept of organizational resilience in terms of Robustness/or effective recovery from disruptive events. These are the definitions grouped under the defensive vision. From this angle, organizational resilience is seen by some as the ability to endure and bounce back from disruptive situations and to return to the state prior to the unexpected situation (Boin & van Eeten, 2013; Branicki et al., 2019; Horne III & Orr, 1998; Khan et al., 2019; Linnenluecke & Griffiths, 2012; Sincorá et al., 2018).

A third aspect of organizational resilience goes beyond robustness and recovery and focuses on the agility and flexibility needed to enable organizations to adapt to change. These are the definitions grouped under the adaptive vision. In this sense, resilience is not simply about bouncing back and recovering, but also about adapting in a positive way, taking advantage of challenges as catalysts for growth. Authors who emphasize this aspect stress the transformative potential of disruption, encouraging organizations to seize opportunities for positive change (Castellacci, 2015; Robb, 2000; Sutcliffe & Vogus, 2003; Vogus & Sutcliffe, 2007).

Following on logically from this third aspect of adaptation, we find the last common aspect of the definitions of organizational resilience, namely transformation, which sees resilience as a catalyst for transformative change and innovation (Buyl et al., 2022; Hillmann & Guenther, 2021; Lengnick-Hall et al., 2011). This aspect embraces the idea that organizations can emerge from disruption not only stronger, but also transformed.

Figure 1: Organizational resilience's dimensions



Source: The authors



The four dimensions of organizational resilience can be seen as interconnected; cyclical capabilities as illustrated in Figure 1. Indeed, anticipation would enable a better response to the disruptive event, and thus enable the organization to be robust, to adapt, to learn from the event and to renew itself. Learning from this experience would then enable better preparation for future events, and so on. At the end of this exploration, it becomes clear that organizational resilience is not static; rather, it is a dynamic force that draws its strength from its multidimensional nature.

*Dynamic Capabilities and Organizational Resilience*

Dynamic capability theory is highly relevant for understanding organizational resilience in today's dynamic and uncertain business environment (Barrón & Sánchez, 2022). Dynamic capabilities are the specific processes and capabilities that enable organizations to sense and shape opportunities, seize opportunities, and maintain competitiveness through the enhancement, combination, protection, and reconfiguration of their resources (Teece, 2007; Zollo & Winter, 2002). Table 1, explain each of these dimensions.

Table 1 : The three dimensions of Dynamic capabilities

Dimensions of DCS	Explanation
Sensing	ability to identify and interpret changes in the external and internal environment. It involves continuously monitoring the business landscape, gathering information, and analysing data to anticipate opportunities and threats (Zollo & Winter, 2002). By effectively sensing changes, organizations can proactively respond to disruptions and capitalize on emerging opportunities.
Seizing	ability to act upon identified opportunities and translate them into competitive advantages. It encompasses the organization's capacity to make strategic decisions, allocate resources, and mobilize its capabilities to exploit opportunities (Hu et al., 2023). Seizing requires agility, decisiveness, and the ability to quickly adapt and respond to changing market conditions (Markovich et al., 2022).
Reconfiguring	Ability to reconfigure its resources, processes, and structures to align with new strategic objectives and changing market dynamics. It involves the organization's capacity to integrate, combine, and reconfigure its assets and capabilities to adapt to disruptions and changing business requirements (Wulandhari et al., 2022). Reconfiguring enables organizations to transform their operations, innovate, and maintain their competitive edge in dynamic environments (Kleynhans et al., 2021).

Source: The authors

Furthermore, dynamic capability theory emphasizes the importance of learning and knowledge management in building organizational resilience. Disruptions often require organizations to acquire new knowledge, develop new skills, and integrate diverse sources of information (J. Wang et al., 2022). Dynamic capabilities enable organizations to effectively manage knowledge, facilitate learning processes, and leverage knowledge assets to respond to disruptions (Hu et al., 2022). By fostering a culture of learning and knowledge sharing, organizations can enhance their ability to anticipate and respond to disruptions, thus strengthening their resilience.

There is considerable effort in the search for empirical evidence on the relationship between dynamic capabilities and organizational resilience. Studies have shown that dynamic capabilities can mediate the relationship between valuable, rare, inimitable, and non-substitutable (VRIN) resources and organizational resilience, as well as between non-VRIN resources and organizational resilience (You et al., 2023).

Additionally, different types of dynamic capabilities, such as replicating, integrating, reconfiguring, creating, developing, assimilating, renewing, adaptive, innovative, and regenerative capabilities, have been identified as important for building and sustaining organizational resilience during crises like the COVID-19 pandemic (Prayag et al., 2023). Also, Sensing, seizing, and reconfiguring capabilities are key to increasing organizational resilience (Ozanne et al., 2022; Patrício et al., 2022; Wulandhari et al., 2023).

Moreover, The capabilities to anticipate, respond, and thrive in unprecedented situations have been recognized as strategic levers for business continuity and resilience (Buzzao & Rizzi, 2023). Also the finding of (Jiang et al., 2019) suggest that dynamic capabilities play a crucial role in promoting organizational resilience and enabling tourism firms to respond, and thrive in the face of challenges and disruptions by transforming existing operational routines into new ones. In another sector, (Martinelli et al., 2018) investigated the link between dynamic capabilities and organizational resilience in the context of retail entrepreneurs facing natural disasters, and concluded that Dynamic Capabilities and social capital are influential to enhancing organizational resilience according to the temporal phase of the natural disaster under analysis.

In summary, dynamic capabilities theory provides a comprehensive framework for understanding organizational resilience. By focusing on the abilities to sense, seize, and reconfigure, organizations can effectively adapt to disruptions, capitalize on opportunities, and maintain their competitive advantage in dynamic and uncertain business environments. Understanding and cultivating dynamic capabilities are essential for organizations to thrive and succeed in today's rapidly changing and unpredictable business landscape (Akpan et al., 2021).

#### *Strategic HRM as an Enabler of Dynamic Capabilities*

SHRM has attracted growing interest and has been variously defined by researchers and practitioners, with no consensus on what it is in particular (Wright & Boswell, 2002). According to (Boxall, 1996), SHRM is a field of difficult definitions and controversial theory. However, certain common points and key elements emerge from the conceptualizations most widely cited in the literature in relation to SHRM. One of the first and most widely used definitions in the literature is that of (Wright & Mc Mahan, 1992), who define HRM as a pattern of planned human resource deployment and activities designed to enable an organization to achieve its objectives. According to these authors, SHRM involves vertically linking the strategic management process to HRM practices, and horizontally creating coordination, also known as congruence, between these HRM practices. They also noted that SHRM is ultimately the means by which human resources can serve as a competitive advantage.

SHRM focuses on aligning HR practices with strategic goals to enhance organizational performance and create value through human capital (Boon et al., 2018; Wright et al., 2001). SHRM recognizes that human capital is a valuable resource that can contribute to a firm's competitive advantage (Wright et al., 2001). A huge number of studies carried out to examine the link between HR practices and performance have produced an almost indisputable conclusion: there is a positive relationship between these two variables (Storey et al., 2019). However, the new challenges of the business environment, with its increasing turbulence, presents Strategic human resources management with new challenges, namely, to act as a lever for developing the capabilities needed to enable organizations to cope with these disruptions.

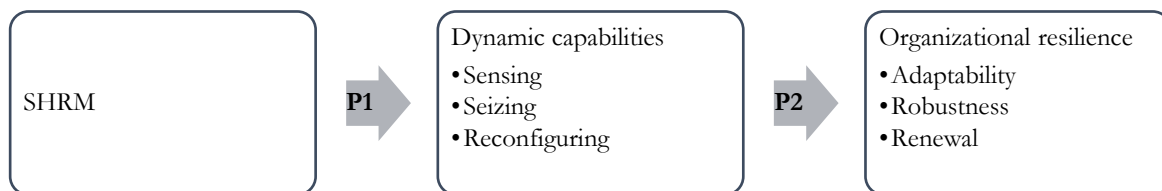
SHRM practices such as flexible organization, organizational learning, resources integration, and environmental perception can enhance the development of dynamic capabilities (Apascaritei & Elvira,

2022). Additionally, High involvement HRM practices have been found to foster the dimensions of dynamic capabilities. These practices have a positive impact on innovation capabilities, specifically exploitative and exploratory innovation, through the mediating role of knowledge sharing behaviours (Cao et al., 2022; Garmendia et al., 2021; Ha & Le, 2023; Le & Le, 2023). Additionally, high involvement HRM practices are associated with the development of dynamic capabilities, including sensing, seizing, and reconfiguration, through their effects on HR systems (Bornay-Barrachina et al., 2023; Lopez-Cabrales et al., 2017). In another side, High-performance work systems (HPWS) comprising elements like selective staffing, extensive training, developmental performance management, flexible job design, participative decision-making and incentive compensation can cultivate sensing, seizing and reconfiguring capacities underlying resilience (Patel et al., 2013). Selective staffing boosts sensing capabilities by bringing in employees with learning agility who can quickly perceive environmental changes (King et al., 2016). Extensive training enhances seizing skills by building employees' ability to rapidly acquire new knowledge for opportunity capture. And according to (Y. Wang et al., 2021) high-performance work system is positively correlated with organizational performance and such correlation is partially mediated by strategic flexibility.

#### 4. A proposed theoretical framework

Creating a theoretical framework that connects dynamic capabilities, Strategic Human Resource Management (SHRM), and organizational resilience is a complex endeavour but highly valuable for understanding how these elements interact. The following framework illustrated in figure 2, outlines the relationships and components to consider in.

Figure 1 : A proposed theoretical framework for Strategic HRM as an Enabler of Dynamic Capabilities that foster organizational resilience.



Source: Authors

##### *a. SHRM and Dynamic Capabilities (DCs):*

The intersection of Strategic Human Resource Management (SHRM) and the development of dynamic capabilities within organizations represents a vital area of inquiry for understanding how firms adapt to rapidly changing environments. This first proposition argues that SHRM plays a crucial role in fostering the dynamic capabilities of sensing, seizing, and reconfiguring, which are essential for organizations seeking sustainable competitive advantage in volatile markets.

Sensing capabilities refer to the organization's ability to identify, assess, and respond to external opportunities and threats (Teece, 2007). SHRM contributes to this capability by ensuring that the firm's human capital is aligned with its strategic objectives, enabling a more proactive and anticipatory approach to environmental changes. Research indicates that HR practices focused on talent management, learning and development, and knowledge sharing are key in improving an organization's sensing capabilities (Apascaritei & Elvira, 2022; Zollo & Winter, 2002).

Seizing capabilities involve the firm's capacity to capture value from identified opportunities (Teece, 2007). SHRM facilitates seizing opportunities by aligning human resources practices with the strategic needs of the organization, ensuring that the workforce is prepared and motivated to act on identified opportunities. Performance management systems, incentive structures, and organizational culture shaped by SHRM practices play a critical role in encouraging innovation and risk-taking. It's in this sense that High Performance Work Systems are valuable to develop this dynamic capability (Gahan et al., 2021; Patel et al., 2013; Y. Wang et al., 2021).

Reconfiguring capabilities refer to the firm's ability to restructure and transform its asset base to address and adapt to internal and external changes (Teece, 2007). SHRM is instrumental in this process by facilitating organizational flexibility and agility. Practices such as cross-functional training, job rotation, and flexible work arrangements enhance the versatility of the workforce, making it easier for the organization to reconfigure its operations in response to strategic shifts. Moreover, SHRM can support strategic renewal through leadership development and succession planning, ensuring that the organization has the leadership capacity to guide and manage change effectively (Helfat & Peteraf, 2003).

In conclusion, Strategic Human Resource Management plays a pivotal role in developing the dynamic capabilities of sensing, seizing, and reconfiguring within organizations. By aligning human resource practices with strategic objectives, SHRM not only enhances the firm's ability to anticipate and respond to environmental changes but also empowers it to capture value from new opportunities and adapt its operations and strategies proactively. This alignment between SHRM and dynamic capabilities is critical for firms seeking to maintain and enhance their competitive advantage in an increasingly complex and unpredictable business landscape.

*Proposition1:* Targeted SHRM practices support sensing, seizing, and reconfiguring capabilities.

*b. Dynamic Capabilities (DCs) and Organizational Resilience (OR):*

OR, characterized by adaptability, renewal, and robustness, enables organizations to withstand shocks, adapt to change, and recover from setbacks. Our second proposition posits that the dynamic capabilities, specifically sensing, seizing, and reconfiguring capabilities, plays a foundational role in fostering organizational resilience. By enhancing these capabilities, organizations can better anticipate changes, respond effectively, and reconfigure resources to maintain continuity and growth in the face of adversity. Sensing capabilities allow firms to detect early signals of potential disruptions, market shifts, or emerging needs, facilitating timely and informed decision-making (Teece et al., 1997). By continuously scanning the environment, organizations can develop a more nuanced understanding of the landscape in which they operate, enhancing their adaptability and readiness to face unexpected challenges.

As for seizing capability, it enables firms to pivot quickly in response to sensed opportunities or threats, ensuring they remain relevant and competitive. By effectively leveraging and redeploying resources, organizations can transform challenges into growth opportunities, embodying the essence of renewal and resilience (Eisenhardt & Martin, 2000; Helfat & Peteraf, 2009). Reconfiguring capabilities, directly contribute to organizational robustness. Robustness is the capacity to maintain core functions and integrity under duress without significant degradation or loss of functionality. Through reconfiguring capabilities, organizations can reallocate resources, modify operations, and adapt strategies to navigate through and recover from adverse situations. This flexibility and agility are essential for resilience, as they allow firms

to withstand shocks and emerge stronger, often with enhanced capabilities and a better position in the market.

*Proposition 2:* DCs dimensions: sensing, seizing, and reconfiguring capabilities contribute directly to organizational resilience by enabling adaptability, renewal, and robustness.

Building on the discussion of the role of SHRM in developing dynamic capabilities—sensing, seizing, and reconfiguring— that contribute directly to foster organizational resilience, we will delve into the implications for research and practice within Strategic Human Resource Management (SHRM), the limitations of the proposed framework, and outlines potential directions for future research.

#### *Implications*

For Research, this framework highlights the integral role of SHRM in not just operational efficiency but in shaping an organization's resilience. It invites further empirical examination into how specific SHRM practices contribute to the development and deployment of dynamic capabilities. Additionally, this model provides a basis for investigating the mediating or moderating effects of organizational context, industry, or external pressures on the relationship between SHRM, DCs, and resilience. For Practice, the framework offers a roadmap for HR professionals aiming to contribute strategically to their organizations. It suggests that SHRM should focus not only on aligning HR practices with current business strategy but also on developing capabilities that ensure long-term resilience and adaptability.

#### *Limitations*

One major limitation of the proposed framework is the potential oversimplification of the relationships between SHRM, dynamic capabilities, and resilience. The framework assumes a linear and somewhat deterministic relationship between these elements, which may not fully capture the complexity and context-specific nature of these dynamics. The review may also overlook the role of external factors, such as industry dynamics or technological change, that could influence these relationships.

#### *Future Research Directions*

Future research should aim to empirically test and refine the proposed framework, focusing on the following areas:

- **Empirical Validation:** Conducting longitudinal studies and case research to empirically validate the framework and explore how SHRM practices influence the development of dynamic capabilities and organizational resilience over time.
- **Contextual Variability:** Investigating how industry, size, and cultural context affect the relationship between SHRM, dynamic capabilities, and resilience, potentially leading to framework adaptations for different contexts.
- **Mechanisms and Mediators:** Examining the mechanisms through which SHRM practices impact dynamic capabilities and resilience, including the role of technology, leadership, and organizational structure for example.

## **5. Conclusion**

In an era marked by unprecedented disruption and constant change, organizations face a daunting challenge: how to not only survive but thrive in the face of turbulence. This article has explored the critical nexus between Strategic Human Resource Management (SHRM), Dynamic Capabilities, and Organizational

Resilience, trying to respond to our research question we proposed a theoretical framework that link SHRM that led to develop DCs that fostering organisation resilience.

Dynamic Capabilities, comprising the abilities to sense, seize, and reconfigure resources and competencies, form the core that enables organizations to adapt, renew, and remain robust in the face of disruptions. They act as the bridge between SHRM and Organizational Resilience. The framework provides a basis for empirical research, enabling scholars to test these relationships, expand the theoretical understanding, and inform the development of HRM strategies that enhance organizational resilience in various contexts.

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## La résilience des entreprises en difficultés : Le rôle des mécanismes de traitement des difficultés dans la résilience et le rebond des entreprises

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**Résumé :** *Le Droit des entreprises en difficultés est un droit en perpétuelle évolution. On est passé d'un droit de la faillite sanctionnateur à un droit des entreprises en difficultés souple. Cette évolution est révélatrice d'une progression dans les principes et les objectifs de la loi étant donné que celle-ci est orientée peu à peu vers la protection des intérêts du chef d'entreprise et vers la sauvegarde de son activité. Désormais, l'entreprise est le sujet principal de la législation et la protection de ses intérêts est l'une des priorités du législateur. C'est dans ce contexte que le législateur marocain, à l'instar d'autres législateurs étrangers, a mis en place, dans le cadre de la nouvelle loi 73-17, de nouveaux mécanismes de traitement précoce des difficultés de l'entreprise. Ces mécanismes sont destinés à faciliter la réorganisation de l'entreprise en difficultés afin de permettre la poursuite de l'activité économique. Ainsi, le législateur instaure une sorte de redressement anticipé qui permet au débiteur de traiter en amont les difficultés de son entreprise avant d'arriver au stade de cessation des paiements. Ce redressement se traduit par le recours à des procédures préventives telles que la conciliation et la sauvegarde qui ont pour but d'accroître les solutions de sauvetage de l'entreprise et qui permettent au débiteur de bénéficier d'une seconde chance de rebondissement. Cette seconde chance vise à ouvrir à l'entrepreneur, débiteur personne physique honnête, des perspectives de redémarrage et de restructuration de son activité entrepreneuriale.*

**Mots-clés :** *Résilience, défaillance, chef d'entreprise, entreprises en difficultés, sauvetage, restructuration, la conciliation, la sauvegarde.*

### 1. Introduction

Le monde d'aujourd'hui est plus complexe que jamais. Plusieurs phénomènes imprévisibles déséquilibrent les sociétés provoquant ainsi des crises brutales et des conséquences tragiques qui touchent surtout l'économie. Et par conséquent, les entreprises se trouvent confrontées à des difficultés économiques et financières susceptible de les conduire à la faillite.

Ainsi, dans ce contexte de survie, il est indubitable que la résilience des entreprises en général et marocaines en particulier, repose sur le droit des entreprises en difficultés par le biais de certains mécanismes préventifs qui ont pour but de maintenir l'activité de l'entreprise en difficulté.

En effet, en vue de préserver les entreprises en difficultés, le législateur Marocain à l'instar d'autres législateurs, a mis en place, dans le cadre de la nouvelle loi 73-17 de nouveaux mécanismes de traitement précoce des difficultés de l'entreprise et ce afin de permettre aux entreprises marocaines de s'adapter en permanence aux diverses contingences économiques, juridiques ou sociales. Dès lors, l'ambition du législateur a été d'inciter les entreprises et leurs dirigeants à anticiper et prévenir les difficultés d'ordre structurel ou conjoncturel.

Ces nouveaux mécanismes préventifs visent essentiellement à aider les entreprises qui éprouvent des difficultés insurmontables sans pour autant être en état de cessation de paiement.

Il s'agit de la procédure de conciliation et de la procédure de sauvegarde. Ces deux procédures visant à accroître les solutions de redressement du débiteur et à offrir aux entreprises en difficultés une seconde chance de rebondissement, elles contribuent donc à la résilience et au rebond des entreprises en difficultés avant l'état de cessation des paiements.

En effet, le rebond se manifeste lorsque l'entrepreneur regagne sa confiance en lui-même et lorsqu'il s'engage dans un nouveau projet, et contribue ainsi à la création de valeur économique.

Concrètement, "le droit au rebond" du débiteur, ou le "droit à une nouvelle chance", a pour objectif de permettre à un entrepreneur de redémarrer sa vie professionnelle après avoir fait l'objet d'une procédure collective, en étant libéré de ses dettes antérieures, et sans subir de stigmatisation. (Paola Nabet, 2020) L'intérêt d'une telle prérogative est de favoriser l'entrepreneuriat et ainsi une économie active.

Ce droit trouve son origine dans le droit américain et anglais de la fin du XIXe siècle. Ce n'est qu'à la fin du XXe siècle que certains pays ont réformé leur droit des entreprises en difficulté en changeant leur vision du débiteur failli. Ce dernier n'est plus considéré comme une personne malhonnête ou incompétente, mais plutôt comme un simple débiteur malchanceux ou victime des circonstances économiques difficiles. (Paola Nabet, 2020).

On est donc passé du droit de la faillite au droit des procédures collectives pour n'évoquer aujourd'hui que le droit des entreprises en difficultés. Après avoir été pendant longtemps un droit répressif au sein duquel les créanciers avaient le pouvoir d'intimider le débiteur failli sur la place publique, la tendance s'est orientée peu à peu vers un droit protecteur des intérêts du débiteur laissé à la tête de ses affaires. (Sémia Saaied, 2013)

Ainsi, la philosophie du droit des entreprises en difficultés a changé progressivement et désormais plusieurs législateurs, à l'instar du législateur américain, cherchent à favoriser le droit au rebond du débiteur à travers l'instauration des mécanismes favorisant le rebond et la résilience de ce dernier.

Dans cette optique, le législateur Marocain, à l'instar de son homologue Français, s'efforce de favoriser le droit au rebond du débiteur à travers diverses mesures, notamment à travers certaines procédures comme la conciliation, la sauvegarde et le rétablissement professionnel.

Dans ce travail, notre attention sera principalement portée sur la procédure de conciliation et la procédure de sauvegarde.

En effet, la seconde chance visée par ces procédures vise à ouvrir à l'entrepreneur, débiteur personne physique honnête, des perspectives de redémarrage et de restructuration de son activité entrepreneuriale.

La question qui se pose donc est de savoir dans quelle mesure ces procédures contribuent-elles à la résilience et au rebond des entreprises en difficultés ?

Afin de répondre à cette question, il convient d'examiner, dans un premier temps, le rôle de la procédure de conciliation et dans un deuxième temps le rôle de la procédure de sauvegarde dans la résilience et le rebond des entreprises en difficultés.



## **2. La démarche méthodologique**

La méthodologie de recherche proposée dans le cadre de cet article est une méthode qualitative basée sur l'analyse des principales dispositions législatives relatives à la procédure de conciliation et à la sauvegarde. Il s'agit donc d'analyser et d'examiner la rationalité de ces règles et leur efficacité dans le sauvetage des entreprises en difficultés.

Cette méthode consiste également en une confrontation du Droit Marocain des entreprises en difficulté et du Droit Français. Cette confrontation porte principalement sur les dernières réformes du législateur marocain et français en matière des procédures collectives, notamment en ce qui concerne la prévention et le traitement précoce des difficultés de l'entreprise.

## **3. La résilience par la conciliation**

En psychologie, la résilience signifie la capacité d'une personne à surmonter un traumatisme pour retrouver un confort de vie acceptable au-delà de l'impact puissant du trauma.

Dans le monde des affaires, la notion de résilience du dirigeant et des organisations a émergé surtout en 2020 avec la crise sanitaire du « Covid-19 ».

Ainsi, le « traumatisme » subi par les dirigeants d'entreprise notamment en période du « COVID-19 » se traduit par les doutes de ces derniers quant à leurs capacités à maintenir leur activité entrepreneuriale et leur vulnérabilité vis-à-vis des difficultés financières de leurs entreprises.

Ce traumatisme devient alors source de découragement pour les dirigeants d'entreprises qui ne peuvent plus continuer leur route dans la vie des affaires. (LYAZAMI, 2020) Et c'est là où le droit des entreprises en difficultés intervient, afin d'apaiser la souffrance psychologique du dirigeant d'entreprise.

Cette intervention se fait tant en amont qu'en aval, c'est-à-dire dès la découverte des difficultés insurmontables et aussi lorsque les perspectives de rebondissement se dissipent et le dépôt de bilan devient inévitable. (LYAZAMI, 2020)

Dans le présent chapitre nous nous intéresserons surtout à la procédure de conciliation qui est un outil préventif de la défaillance des entreprises. Plus précisément, nous allons nous focaliser sur le rôle de ce mécanisme dans la résilience et le rebondissement de l'entreprise en difficultés.

En effet, dans le but d'éviter autant que possible les défaillances des entreprises, le législateur marocain ainsi que son homologue français ont apporté plusieurs améliorations au droit des entreprises en difficultés et ce à travers des mesures diverses qui renforcent le traitement précoce des difficultés des entreprises et leur résolution amiable telles que la conciliation.

Cette procédure est considérée comme une mesure préventive permettant aux dirigeants d'entreprises en difficulté de trouver des solutions amiables, rapides et discrètes afin de redresser la situation de leur entreprise.

En d'autres termes, c'est une procédure qui offre au débiteur la possibilité de trouver un moyen d'arrangement avec ses créanciers, notamment la possibilité d'obtenir des délais de paiement ou des remises de dettes dans le but de parvenir à un accord de conciliation tout en maintenant l'équilibre des intérêts du débiteur et de ses créanciers. (BACHLOUCH, 2012).



Son objectif est de faciliter la réorganisation à l'amiable de toute entreprise qui n'est pas en état de cessation des paiements ou qui l'est depuis moins de quarante-cinq jours et qui rencontre des difficultés juridiques, économiques ou financières. (LYAZAMI, 2013)

Le législateur marocain, à l'instar de son homologue français, a précisé les conditions de mise en œuvre de la procédure de conciliation. En effet, la lecture de l'article 551 du Code de commerce marocain et de l'article L.611-4 du Code de commerce français met en exergue les critères essentiels permettant à une entreprise de bénéficier de la procédure de conciliation. Ainsi, selon le Droit marocain, pour bénéficier de l'ouverture de la procédure de conciliation, l'entreprise ne doit pas être confrontée à une situation économique et financière irrémédiable.

Il convient de noter qu'en se référant aux difficultés économiques ou financières, le législateur marocain adopte une approche similaire à celle de son homologue Français, lequel a également pris en compte le critère économique dans les conditions d'ouverture de la procédure de conciliation (BACHLOUCH, 2012).

Toutefois, des différences subsistent entre les deux législateurs, notamment en ce qui concerne les critères retenus pour l'accès à la procédure et la nature des difficultés qui justifie son ouverture.

Ainsi, nous remarquons que le législateur marocain est plus exigeant que le législateur français en ce qui concerne les critères et les difficultés justifiant l'ouverture de la procédure de conciliation.

D'abord, l'article 551 du Code de commerce, précise que l'entreprise ne doit pas être en cessation des paiements. A travers ce critère important, le législateur marocain a voulu maîtriser les difficultés de l'entreprise en séparant la notion de cessation des paiements de la phase judiciaire.

Dès lors, en droit marocain, la conciliation ne peut être mise en œuvre et ne peut être efficace qu'avant la cessation des paiements.

En revanche, en Droit français, comme nous l'avons évoqué précédemment la notion de cessation des paiements n'est pas détachée de la phase amiable et ne constitue plus le critère unique de distinction entre le traitement amiable et le traitement judiciaire.

Dans ce sens, l'article L.611-5 du Code de commerce français prévoit que le débiteur peut demander l'ouverture de la procédure de conciliation même s'il est en état de cessation de paiement, mais à condition que cet état ne dépasse pas un délai de quarante-cinq jours.

Dès lors, en Droit français, la conciliation peut être ouverte même lorsque le dirigeant d'entreprise est en état de cessation des paiements à condition que cette situation ne soit pas postérieure à quarante-cinq jours. (KOUROUMA Fanta, 2018)

Il convient donc de s'interroger sur l'utilité de cette disposition et l'avantage qu'elle peut apporter au débiteur. Dans ce sens, certains auteurs, considèrent que cette souplesse a pour but d'offrir au débiteur, déjà en état de cessation des paiements, le choix entre une procédure souple et confidentielle comme la conciliation ou la procédure de sauvegarde.

D'une part, le recours à la conciliation offre au débiteur une chance de redressement en lui permettant des délais de paiement et des remises de dettes de la part de ses créanciers, tout en protégeant la confidentialité de la situation de l'entreprise.

D'autre part, le choix d'une procédure de sauvegarde lui offre un temps de répit car il peut bénéficier de l'arrêt des poursuites individuelles, surtout lorsque l'entreprise fait face à des difficultés structurelles, qui s'étalent sur une longue durée (BACHLOUCH, 2012).

A notre avis, le délai accordé au débiteur français dans le cadre de la conciliation permet à ce dernier de prendre le temps nécessaire pour décider du futur de son entreprise qui est déjà en état de cessation des paiements.

Autrement dit, cette modification de l'institution de la cessation des paiements dans le cadre de la procédure de conciliation française, a donné un supplément d'espoir aux débiteurs qui disposent de facto d'une sorte de seconde chance pour optimiser leur chance de rebondissement.

Ensuite, l'article 551 du code de commerce marocain précise que l'entreprise doit connaître des difficultés juridiques, économiques et financières. Dans ce sens, il convient de noter que les deux textes marocains et français ne déterminent pas la nature des difficultés qui peuvent entraîner l'ouverture de la procédure de conciliation.

Selon certains auteurs, ces difficultés peuvent être de tout ordre comme la rupture d'un contrat d'exclusivité ou de franchise, les grèves répétées, la rupture de crédit...etc.

Elles peuvent être également d'ordre juridique, comme la mésentente entre les associés, le décès d'un associé ou d'un dirigeant dans les sociétés de personne...etc. (BACHLOUCH, 2012).

De plus, on déduit des textes marocains et français que le cumul des difficultés semble obligatoire, dans la mesure où les textes parlent de « difficulté juridique, économique ou financière ».

Certains auteurs marocains pensent qu'une lecture stricte du texte impose de refuser l'ouverture de la conciliation à une entreprise qui connaît uniquement des difficultés économiques. Toutefois, cette solution ne semble pas appropriée car, souvent, les difficultés économiques sont susceptibles de produire rapidement des difficultés juridiques et financières (BACHLOUCH, 2012).

A notre avis, une certaine prudence s'impose quant à l'interprétation des critères d'ouverture de la procédure de conciliation.

Ainsi, la conciliation ne doit pas être utilisée pour toutes sortes de difficultés temporaires, car l'ouverture facultative de cette procédure peut avoir des répercussions négatives sur l'entreprise.

Enfin, le législateur marocain, contrairement à son homologue français, ajoute une autre condition pour l'ouverture d'une procédure de conciliation. En effet, selon l'article 551 du Code de commerce marocain, l'entreprise doit avoir des besoins financiers ne pouvant être couverts par un financement adapté aux possibilités de l'entreprise. Nous constatons que les dispositions de cet article ne précisent pas la nature de ces besoins de financement.

Selon la doctrine, les besoins financiers sont définis comme ceux qui peuvent contribuer au redressement de l'entreprise. Cela inclut le financement du cycle d'exploitation, des investissements importants, la réduction des coûts et charges sociales importantes, l'augmentation des capitaux propres, ainsi que l'obtention de crédits, notamment les crédits à court terme pour des investissements.

A notre avis, même si ces besoins peuvent permettre le développement de l'exploitation d'une entreprise. Ils doivent, toutefois, être déterminants pour le redressement de la situation de l'entreprise, car ils

peuvent provoquer une difficulté à court terme s'ils ne sont pas rapidement acquis par l'entreprise. (BACHLOUCH, 2012).

En outre, il convient de noter que la formule employée par l'article 551 du code de commerce marocain, « des besoins qui ne peuvent être couverts par un financement adapté aux possibilités de l'entreprise », est orientée vers l'avenir. Nous nous en déduisons que le chef d'entreprise doit trouver un financement pour éviter les futures difficultés.

Selon le professeur Ahmed CHOUKRI-SBAAI, il s'agit de l'octroi de délais des paiements et de remises de dettes ainsi que de nouvelles sources de financement pour aider l'entreprise à surmonter ses difficultés (BACHLOUCH, 2012).

Une fois ouverte, la procédure de conciliation permet au débiteur qui est dans l'impossibilité de payer ses créanciers, avec l'aide du conciliateur, de demander au président du tribunal la suspension provisoire des poursuites judiciaires ou des mesures d'exécution qui peuvent être engagés par ses créanciers. (Article 555 du code de commerce marocain)

Néanmoins, nous déduisons des termes de l'article 555 du code de commerce que la suspension provisoire des poursuites n'est qu'une mesure facultative, car le conciliateur ne la demande que s'il estime qu'elle est susceptible de contribuer à faciliter la conclusion de l'accord amiable.

En outre, cette mesure peut être utilisée comme un moyen de dissuasion contre certains créanciers récalcitrants qui cherchent à tirer profit de la situation difficile de l'entreprise pour engager des poursuites contre le débiteur.

Il est à relever que la suspension provisoire des poursuites a été supprimée par le législateur français et remplacée par l'octroi de délais des paiements au débiteur afin de faciliter la mise en œuvre de la procédure de conciliation.

En effet, certains auteurs s'opposent à son utilisation pendant les négociations, estimant que la loi ne semble donner aucune autorité juridique à l'avis des principaux créanciers, car en pratique, cette mesure peut être imposée par le président du tribunal même en cas de refus des créanciers.

Tandis que d'autres auteurs estiment que cette mesure comporte un caractère préventif important, mais ils soulignent qu'elle doit être bien encadrée par la loi. (BACHLOUCH, 2012)

Nous estimons que cette mesure est très favorable pour le débiteur puisqu'elle permet la préservation des ressources financières de l'entreprise et contribue au redressement de cette dernière. Toutefois, il ne faut pas perdre de vue que cette mesure restreint un peu les droits des créanciers. De ce fait, elle doit être justifiée et doit également être en mesure de rassurer ces derniers, pour les encourager à participer au redressement de l'entreprise.

Enfin, chaque entreprise en difficultés a besoin d'une pause pour se restructurer et pour rétablir sa santé financière initiale. C'est pourquoi, dans le cadre d'une procédure de conciliation, les créanciers peuvent être soumis à la suspension provisoire des poursuites.

La raison d'être de cette mesure est d'empêcher ces derniers d'engager des poursuites judiciaires à l'encontre du débiteur pour recouvrer leurs créances. Il s'agit donc d'un moyen de protection du débiteur, qui permet à ce dernier de se mettre à l'abri des poursuites des créanciers. (SOURHAMI, 2022)

En conclusion, on peut dire que la suspension provisoire des poursuites découlant de la procédure de conciliation ainsi que l'assouplissement du régime de la cessation des paiements dans cette procédure notamment en droit français, offre un répit au chef d'entreprise lui permettant de tout mettre en œuvre afin redresser l'activité de son entreprise.

Cet assouplissement se justifie par la volonté du législateur de sauvegarder les entreprises car l'expérience de plusieurs législateurs enseigne que le meilleur moyen de redressement d'une entreprise en difficultés est la contractualisation des outils de traitement de ses difficultés (KOUROUMA Fanta, 2018).

In fine, grâce aux mécanismes préventifs existants, notamment la conciliation et avec l'aide du conciliateur, une chance de restructuration est accordée aux entreprises dont la situation financière n'est pas sérieusement menacée. Ces mécanismes sont très efficaces et constituent des outils adaptés à la gestion des crises dans le sens où ils permettent à certaines entreprises de surmonter leurs difficultés, sans perdre la confiance de leurs partenaires et clients.

Ainsi, dans l'esprit des deux législateurs Français et Marocain, la conciliation est l'ultime chance offerte aux chefs d'entreprises en difficulté, pour trouver une solution consensuelle avant l'entrée dans le trou noir du redressement judiciaire et pour regagner leur confiance en la continuité d'exploitation. (LYAZAMI, Nahid, 2013)

Par ailleurs, la procédure de conciliation n'est pas le seul mécanisme qui favorise la résilience du chef d'entreprise en difficultés. Ce dernier peut également recourir à une procédure de sauvegarde pour bénéficier d'une seconde chance de restructuration de son entreprise et pour faire un nouveau départ à travers l'élaboration d'un plan de sauvegarde permettant la réorganisation et le redressement de son entreprise.

#### **4. La résilience par la sauvegarde**

Etant une innovation majeure de la loi 73-17, la procédure de sauvegarde présente plusieurs avantages pour le chef d'entreprise dans le sens où elle lui permet de bénéficier d'un traitement judiciaire de ses difficultés avant la cessation des paiements. Il s'agit d'un mécanisme souple permettant la poursuite d'activité de l'entreprise en difficultés, ainsi que le maintien de l'emploi et l'apurement du passif.

Cette procédure se caractérise par une démarche volontaire qui se traduit par le fait que le débiteur est le seul à pouvoir demander son ouverture selon sa volonté, à condition de justifier de difficultés difficiles à surmonter et de nature à le conduire à la cessation des paiements dans un futur très proche. (Article 561 du code de commerce marocain)

Ainsi, le président du tribunal, après avoir entendu le chef d'entreprise, désigne des organes de la procédure, dont l'objectif est d'accompagner ce dernier dans la préparation d'un plan de sauvegarde permettant le redressement de la situation de l'entreprise.

Contrairement au redressement judiciaire, la procédure de sauvegarde ne dessaisit pas le chef d'entreprise de son pouvoir de gestion. Celui-ci poursuit la gestion de son entreprise avec l'aide du syndic et accomplit tous les actes d'administration et de gestion habituels.

En outre, la gestion des contrats en cours par le chef d'entreprise se poursuit et ce dernier peut vendre, louer ou utiliser les biens de l'entreprise comme il le faisait avant l'ouverture de la procédure. (Stankiewicz Murphy, 2011)

Il est à relever que l'intérêt de cette procédure réside dans le fait qu'elle permet de préserver le tissu économique des entreprises marocaines en difficultés et de protéger les emplois et l'écosystème (clients, fournisseurs, prestataires, etc.) notamment en période de crise.

A l'instar de la procédure de conciliation, la procédure de sauvegarde contribue au rebondissement du chef d'entreprise en difficultés et revalorise la situation de ce dernier en lui offrant la possibilité de se prémunir contre les poursuites de ses créanciers.

Ainsi, l'ouverture de la procédure de sauvegarde entraîne la suspension provisoire des poursuites individuelles de la part des créanciers.

L'objectif de cette mesure qu'est (la suspension provisoire des poursuites) est de faire bénéficier l'entreprise en difficulté d'une période de répit, face à la pression de ses créanciers. (LYAZAMI, 2020).

Cette mesure prive les créanciers de leur droit de poursuite et par conséquent, elle contribue au rebond du dirigeant de l'entreprise qui ne doit plus être entravé par les actions de ses créanciers. (Fanta Kourouma, 2018)

Elle constitue donc un avantage pour le débiteur qui bénéficie du gel provisoire du passif et ce pour ne pas aggraver la situation de l'entreprise et amoindrir son actif patrimonial.

En outre, même les cautions (personnes physiques ou morales, solidaires ou non) bénéficient de l'avantage de suspension des poursuites. En effet, celles-ci peuvent se prévaloir du bénéfice du plan de sauvegarde et de l'arrêt du cours des intérêts. (Article 572 du code de commerce marocain.)

Il convient de noter que la procédure de sauvegarde a été conçue de façon à inspirer la confiance des dirigeants d'entreprise qui font face à des difficultés insurmontable et susceptible de conduire à un état de cessation des paiements. A cet égard, certaines dispositions traduisent cette confiance que le législateur avait placée dans le comportement du débiteur.

D'une part, les sanctions que le débiteur craint en cas d'ouverture d'une procédure collective, à savoir la responsabilité pour insuffisance d'actif, la faillite personnelle et l'interdiction de gérer ou encore la banqueroute, sont écartées par les textes lorsqu'une procédure de sauvegarde est ouverte.

D'autre part, la deuxième incitation vise les cautions personnes physiques, plus particulièrement, le dirigeant personne physique qui s'est porté garant des engagements de l'entreprise débitrice.

Celles-ci peuvent se prévaloir de l'arrêt du cours des intérêts dans les conditions de l'article 572 du code de commerce. Elles peuvent également se prévaloir des dispositions du plan de sauvegarde en cas d'adoption de ce dernier.

Dès lors, toute caution qui s'est porté garante de l'entreprise débitrice, bénéficiera de ces dispositions protectrices en cas d'ouverture de la procédure de sauvegarde.

A tous cela s'ajoute d'autres mesures incitant le chef d'entreprise à recourir à la procédure de sauvegarde. Ces mesures concernent notamment les pouvoirs du débiteur pendant la période d'observation, il s'agit essentiellement du principe du maintien des pouvoirs du dirigeant.

A l'instar du modèle américain, le législateur français ainsi que son homologue marocain ont incorporé le principe de « *debtor in possession* » à la sphère de la sauvegarde.

Ce principe prévoit la concentration des pouvoirs de gestion entre les mains du dirigeant de l'entreprise en difficultés.

En droit américain, ce principe signifie que la structure de direction de l'entreprise conserve le pouvoir de gestion et d'administration de cette dernière. Par conséquent, le débiteur « in boni » devient « *debtor in possession* ». (Stankiewicz Murphy, 2011).

Ainsi, l'ouverture d'une procédure de sauvegarde a pour effet de confier au débiteur plusieurs prérogatives. Ce dernier conserve ses anciennes fonctions et continue à exécuter ses actes de gestion et d'administration habituels.

Autrement dit, le dessaisissement n'est pas le principe en matière de sauvegarde car le débiteur demeure à la tête de son entreprise et reste impliqué dans la gestion de celle-ci.

Tant en droit Marocain qu'en droit Français, l'ouverture de la procédure de sauvegarde n'entraîne pas le dessaisissement du débiteur, ce dernier continue à administrer, exercer des actes de gestion de l'entreprise. Il n'est pas donc dessaisi de ses prérogatives et il poursuit son activité, éventuellement surveillé par la justice.

Dès lors, le principe du « *debtor in possession* » concourt à assurer au débiteur, pendant la période d'observation, une bulle de tranquillité d'autant plus qu'il n'est pas dessaisi de la gestion de son entreprise. (Steve KARFO, 2014)

Il encourage donc le dirigeant d'entreprise en difficulté à recourir à la procédure de sauvegarde car il sait déjà qu'il gardera ses prérogatives de gestion et qu'il participera à la réorganisation de son entreprise sans que ses pouvoirs de gestion ne soient abandonnés au profit d'une autre personne.

De ce fait, le chef d'entreprise a toujours intérêt à recourir à la sauvegarde car elle présente l'avantage de lui conserver un pouvoir de direction alors qu'il en est dessaisi dans d'autres procédures.

Néanmoins, les pouvoirs du débiteur sont limités notamment en ce qui concerne la gestion.

En principe, le débiteur est libre dans la gestion de son entreprise dans le cadre de la sauvegarde. Toutefois, cette liberté connaît quelques limites qui se traduisent notamment par la nomination d'un administrateur judiciaire en droit français et d'un syndic en droit marocain qui le surveille et l'assiste. Ce qui provoque donc une répartition des pouvoirs, et partant une « gestion contrôlée » de l'entreprise.

En effet, en Droit français l'administrateur partage ses pouvoirs avec le débiteur.

En ce qui concerne l'élaboration du plan de sauvegarde, l'administrateur assiste le débiteur dans le cadre des propositions relatives audit plan. A cet égard, l'article L. 626-2, prévoit dans son premier alinéa qu'au vu du bilan économique, social et, le cas échéant, environnemental, le débiteur, avec le concours de l'administrateur, propose un plan, sans préjudice de l'application des dispositions de l'article L. 622-10.

Il est tenu de requérir du débiteur ou, selon le cas, de faire lui-même tous actes nécessaires à la conservation des droits de l'entreprise contre les débiteurs de celle-ci et à la préservation des capacités de production. De plus, il est seule habilité à inscrire, au nom de l'entreprise, les hypothèques, nantissements, gages ou privilèges que le débiteur aurait omis de prendre ou de renouveler. (Article L622-4 code de commerce Français.)

Pour ce qui est de l'établissement du bilan économique, social et environnemental, en principe, ce dernier est exclusivement l'œuvre de l'administrateur judiciaire. En effet, celui-ci établit ledit bilan avec



l'assistance du débiteur et le concours d'un ou plusieurs experts. (Article L. 623-1 du Code de commerce français.)

Ce pouvoir exclusif conféré à l'administrateur judiciaire s'explique par la nécessité pour les juges d'obtenir une information impartiale, information que le débiteur n'est pas en mesure de fournir de manière efficace. Ainsi, nous estimons que l'administrateur judiciaire, contrairement au débiteur, est mieux placé pour décrire et expliquer objectivement la situation de l'entreprise.

À notre avis, ce dernier occupe une position importante au sein de la procédure de sauvegarde dans la mesure où il y joue un rôle significatif en collaborant avec le chef d'entreprise pour gérer le quotidien de celle-ci. Il est donc impliqué dans l'entreprise à laquelle il apporte son expertise, notamment dans les situations les plus difficiles telles que l'absence de trésorerie, les conflits internes et les relations tendues avec les fournisseurs.

Par ailleurs, l'administrateur judiciaire détient des pouvoirs également en matière des contrats en cours. En effet, ce dernier peut exiger l'exécution des contrats en cours en fournissant la prestation promise au cocontractant du débiteur. Il joue donc un rôle important dans le mécanisme de la continuation des contrats en cours (Article L. 622-13 du Code de commerce français).

En droit Marocain, le débiteur est habilité à administrer et à effectuer seulement les actes de gestion. Toutefois, pour ce qui concerne les actes de disposition et d'exécution du plan, il ne peut les exercer que sous le contrôle du syndic et du juge commissaire. Cela signifie que le chef d'entreprise n'est pas totalement libre dans la gestion de son entreprise en difficulté car il reste contrôlé par le syndic et par le juge commissaire (Article 566 du code de commerce marocain).

En effet, les pouvoirs du syndic en matière de sauvegarde se traduisent par le pouvoir de contrôle exercé par ce dernier sur le chef d'entreprise notamment en ce qui concerne les actes de disposition et l'exécution du plan de sauvegarde. (Article 566 du code de commerce marocain). Ainsi, le syndic assure le contrôle de l'exécution du plan de sauvegarde et il a pour mission principale de mener les opérations de sauvetage à partir du jugement d'ouverture jusqu'à la clôture de la procédure de sauvegarde. (Article 673 du code de commerce marocain).

Il jouit également d'un pouvoir en ce qui concerne l'information comptable. A cet égard, l'article 568 du code de commerce marocain prévoit que tout tiers détenteur des documents et livres comptables qui concernent l'entreprise est tenu de les mettre à la disposition du syndic en vue de leur examen, sous peine d'une astreinte fixée par le juge-commissaire. Dans la même optique, l'article 679 prévoit que le syndic peut se faire remettre par le chef d'entreprise ou par tout tiers détenteur les documents et les livres comptables en vue de leur examen.

En somme, la procédure de sauvegarde, offre au débiteur un véritable havre dans lequel il peut reconstituer ses forces et réorganiser son entreprise et ce nonobstant les limites susmentionnées. Dès lors, cette procédure renforce l'idée d'une seconde chance offerte au débiteur car ce dernier est l'entrepreneur de demain. De ce fait, le recours à une telle procédure permet la réhabilitation du chef d'entreprise en le replaçant dans le circuit économique et en lui permettant de devenir ainsi un facteur de richesse et de production. (Stankiewicz Murphy, 2011).

## **5. Résultats**

L'analyse comparative des mécanismes préventifs marocain et français nous a permis de faire le point sur les éléments de ressemblances et de divergences entre les deux législations et de réfléchir sur les solutions permettant le recours à la procédure de conciliation et à la sauvegarde.

En ce sens, nous pensons que l'adoption d'une procédure de conciliation est très avantageuse tant au chef d'entreprise qu'à ses créanciers. D'une part, elle offre au débiteur le choix de la confidentialité tout en lui assurant une sécurité juridique, pour lui-même ainsi que pour ses créanciers. D'autre part, elle incite ces derniers à participer à l'élaboration d'un accord amiable, pour éviter les lourdes conséquences des procédures collectives, en leur assurant des négociations sécurisées et avantageuses.

De plus, les créanciers bénéficient, dans le cadre de cette procédure, d'un privilège qui est accordé aux personnes ayant consenti dans l'accord homologué par le tribunal, un nouvel apport en trésorerie au débiteur en vue d'assurer la poursuite de l'activité de l'entreprise et sa pérennité. L'intérêt de ce privilège est d'apporter aux créanciers une sécurité juridique. (BACHLOUCH, 2012)

Pour ce qui est de la sauvegarde, comme nous l'avons évoqué précédemment, elle présente plusieurs avantages au débiteur dans le sens où elle lui permet de rester à la tête de son entreprise sans être dessaisi de ses pouvoirs de gestion. Ce dernier est également à l'abri des poursuites de ses créanciers et ce grâce au mécanisme de suspension provisoire des poursuites et à la règle d'interdiction des poursuites individuelles et des voies d'exécution.

Dès lors, vu la souplesse de ces deux procédures et vu les avantages qu'elles présentent pour le débiteur, ce dernier a donc tout intérêt à y recourir. Toutefois, pour renforcer l'attractivité de ces procédures et pour les rendre plus accessibles, il importe de sensibiliser le chef d'entreprise sur leur importance en tant que mesures préventives et sur les règles juridiques qui les encadrent.

Quant aux créanciers, nous pensons qu'il est nécessaire de préciser et clarifier les textes relatifs à ces procédures pour leur apporter une réelle sécurisation et pour protéger leurs intérêts.

En outre, afin de faciliter l'adoption de ces procédures en pratique, il nous semble important de bien informer le chef d'entreprise sur toutes les conditions de leur ouverture, le but étant d'encourager ce dernier à décider avec anticipation de recourir à ces procédures avant l'aggravation de sa situation financière. Il serait aussi souhaitable de demander aux chefs d'entreprises d'effectuer l'analyse de la situation financière de leur entreprise par les soins d'un expert-comptable, avant toute tentative d'accès à la conciliation ou à la sauvegarde. Cette démarche est très importante car elle permet au chef d'entreprise de choisir la procédure la plus convenable en fonction de la situation financière réelle de son entreprise.

Enfin, nous pensons que la réussite des mécanismes de prévention des difficultés des entreprises en Droit marocain dépend principalement de l'adaptation de ces derniers au contexte social, économique et culturel des entreprises marocaines car celles-ci ne sont pas encore bien familiarisées avec ces mécanismes préventifs. Ainsi, la sauvegarde et la procédure de conciliation doivent toutes les deux être accessibles, bien précisées et souples pour permettre au dirigeant d'entreprise de traiter d'une manière précoce et efficace les difficultés de son entreprise.

## **6. Conclusion**

En guise de conclusion, les avantages présentés par les deux procédures : la procédure de sauvegarde et la procédure de conciliation, laissent au chef d'entreprise en difficultés une possibilité de rebond. En effet,

ces procédures constituent des instruments juridiques attirants dans la mesure où elles sont favorables au rebond de l'activité de toute entreprise en difficultés. Il importe donc de favoriser le recours à ces procédures en renforçant leur attractivité.

Enfin, si le droit au rebond semble désormais être l'une des préoccupations du législateur, il n'en demeure pas moins que le Droit des entreprises en difficulté doit favoriser ce droit tout en tenant compte des différents intérêts en présence notamment les intérêts des créanciers.

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## SYNOPSIS


This proceedings book from the 2nd International Conference on Humanities and Social Sciences, held on 27-28 November 2023 at ISCAP Porto, highlights diverse interdisciplinary discussions on resilience. Key topics include inclusive education, community resilience, social dynamics, technological innovation, digital ethics, financial practices, and leadership styles. The book emphasizes cross-cultural collaboration and inclusive dialogue, providing valuable insights for addressing contemporary global challenges and fostering resilience. It also offers strategies and recommendations for coping with crises and building a more sustainable and resilient future.

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