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**“The Roles of Intellectuals for Enhancing Cultural Diversity along the Silk Roads”**



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## Key Note Speech



Prof. Ronald Steiner  
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## **Session I**

### **Silk Roads Heritage Tourism**

# Silk Road heritage tourism perspectives in Thessaloniki, Greece

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## Abstract

Cultural heritage makes a place appealing to tourists who want to discover the local cultural identity, and it is thus a valuable resource for local tourism development. As a result, a growing number of cities and regions around the world are emphasizing the promotion of their tangible and intangible cultural heritage in their tourism development strategies. Silk Road cultural heritage sites, traced along the historical Silk routes connecting East and West, can serve as tourist attraction poles for travelers looking to experience diverse cultures, as well as important tools in (re)branding destinations. Thessaloniki, a historic Mediterranean port city located on significant trade routes between Europe and Asia, is endowed with a plethora of Silk Road cultural assets, the vast majority of which still untapped. The aim of this paper is to promote Silk Road assets in the city identified within “SILC-Silk Road Culture” Black Sea Programme project and introduce tourism development perspectives, in order for Thessaloniki to benefit from the resurgence of its Silk Road legacy and capitalize on a diversified cultural tourism product.

**Key words:** Silk Road, khans, cultural heritage, tourism development

## 1. Introduction

Tourism has grown to become one of the largest and fastest-growing global industries in the postwar decades, marked by constant growth, spatial expansion and product diversification, and has been established as an important source of revenue for many cities and regions. Closely linked to several other sectors, tourism has a significant impact on local development, creating jobs, motivating entrepreneurship and featuring cultural heritage. Cultural heritage, the result of cumulative human activity expressed and projected in a material (historic city cores, built structures, iconic monuments, landscapes) or immaterial sense (music, dance, literature) (Nijkamp, 2012:76), is recognized as a vital resource for activating local tourism development process (Della Spina, 2020). Worldwide, an increasing number of cities and regions rely on the promotion of tangible and intangible cultural heritage for their tourism development strategies, as history and culture define the distinctiveness of cities, also improving their competitiveness (Minetto et al., 2011).

Silk Road tangible and intangible heritage, such as monuments, architectural complexes, arts, music, traditions, etc., form an international brand connecting West and East that may attract tourists to visit destinations offering unique experiences. Silk Road was the historic network of trade routes that served as a bridge linking the Mediterranean region

with East Asia, along which people of different cultures, religions and languages met, exchanged ideas and influenced each other. Nowadays, the legendary Silk Road revives again as wide tapestry of emerging tourism destinations and products, engaging numerous countries with rich cultural heritage (Kostopoulou, 2019; Winter, 2020; Kostopoulou et al., 2021a). Historic cities on the Silk Road feature a diverse collection of historic buildings of architectural value associated to the past way of life, often reflecting the local community's traditions (Ahunbay, 2019). For many travelers, visiting centuries-old buildings related to the Silk Road legacy, such as khans, caravansaries, covered bazaars, fountains, baths, industrial buildings, may be an enriching experience since they get to feel the past and be informed about the structure's history and the activities that took place there, as well as the city's evolution and social life. Therefore, incorporating Silk Road tangible cultural assets in local tourism development strategies may offer great opportunities for the diversification of the local tourism product, allowing bettering conquering new tourism markets (Kour, 2016; Manhas et al., 2014).

In this paper we seek to discuss the concept of Silk Road cultural heritage tourism prospect originated from the identification and promotion of tangible cultural assets, such as buildings related to the historic accommodation infrastructure, like khans. Khans, constructed along the terrestrial roadways to meet the needs of the caravans in order to stay and continue their way, were not simply places for travelers to rest and keeping safe their belongs, but also meeting points to exchange knowledge and ideas. More specifically, city khans were in harmony with the urban texture, usually providing accommodation and commercial services (Darendeli & Binan, 2021:150). The aim of the paper is to promote Silk Road cultural heritage assets in the city of Thessaloniki and introduce tourism development perspectives, so as for Thessaloniki to reap the benefits of its Silk Road heritage revival and capitalize on an enriched cultural tourism product. The research methodology of this conceptual study is based upon secondary data on Silk Road heritage, collected from different sources i.e. articles, reports, books, journals, magazines, internet documents, websites and other online sources. A specific category of Silk Road cultural assets, the urban khans, as identified within "SILC-Silk Road Culture" Black Sea Programme project (SILC, 2020), are used as the case study to explore the emergence of the proposed approach for cultural heritage tourism development prospects in Thessaloniki.

## **2. Thessaloniki on the Silk Road**

Thessaloniki, situated at the crossroads between East and West, upon the major land routes linking Europe with Asia, and the maritime routes linking Balkans with Eastern Mediterranean, was historically a key port and the most important transport node of the Balkan Peninsula. According to historical sources, there is a strong common history linking Thessaloniki and the Silk Routes through the centuries. Alexander the Great (356-323 BC), king of the ancient Greek kingdom of Macedon, was one of the first Silk Road travelers from the West, crossing through his military conquests Central Asia, the Persian Empire and North India, and enabling trading between the East and the West (Kostopoulou et al., 2016).

Thessaloniki, founded around 315 BC by King Cassander of Macedon, who named the city in honor of his spouse, half-sister of Alexander the Great (Vakalopoulos, 1972; 1985), growing in importance during the Roman Empire and Byzantium, has been operating as an urban center for more than two thousand years (Vlami, 2009; Livadioti, 2013; Kostopoulou, 1996). Since its foundation, Thessaloniki has been a significant commercial, administrative and cultural centre, as well as a transit hub for the caravans between East and West, attracting Western and Eastern visitors to its fairs and markets and forming a celebrated meeting ground (Rautman, 1991:143; Kokot, 2008:20). Medieval Thessaloniki, surrounded by strong fortifications and overlooked by a towering citadel, never failed to impress its visitors with its setting, markets, architectural monuments, churches and monasteries (Rautman, 1991:143).

Conquered by the Ottomans in 1430, Thessaloniki, Salonica or Selânik kept developing as a multicultural commercial port city, with a major role in networks of trade and migration (Kokot, 2008:20). Commerce was based mainly on the production and export of grain and the import and export of textiles, directed toward Greece, Epiros, Serbia, Dalmatia, and Venice (Bakirtzis, 2003:39). The population of Salonica doubled between 1478 and 1502 with the arrival of Jews from the Iberian Peninsula, that dominated the city since 1519 (Gençer, 2018; Kornetis, 2019). Throughout the 16th and 17th century Thessaloniki showed clear picture of rapid urban growth and population increase, ranked third among the largest cities of the Balkan peninsula, after Istanbul and Adrianople (Kirişçi, 1970:127). During the Napoleonic Wars (1803-1815) the city became the major trade centre on London-Malta-Vienna route (Vlami, 2009). With the onset of Greek Independence War in 1821, the international trade movement in Salonica had declined and started to recover again from 1844 onwards (Anastassiadou, 2001:92; Gençer, 2018).

Since 1870, the city gradually modernized: the seaside walls were demolished, a modern central business district was developed (banks, offices, factories, modern shops, hotels etc.), a modern quay and new port facilities were constructed, while by the end of the century, a new rail link connected the city with Europe and Constantinople (Yerolympos, 1992; Gounaris, 1993; Karadimou-Yerolympos, 1995; Hastaoglou-Martinidis, 1997). At the turn of the twentieth century Thessaloniki, with a population of 150,000 inhabitants, was a multiethnic city, both oriental and occidental, one of the most varied communities in Europe, fostering its cosmopolitan character (Vakalopoulos, 1972; Svoronos, 1996; Hastaoglou-Martinidis, 1997; Mazower, 2004). Within ten years of its liberation on October 26, 1912, Thessaloniki experienced two consecutive major events which transformed this cosmopolitan Balkan city into a modern regional metropolis: the destruction of its historic centre by the great fire of 1917 and the arrival of 117,000 refugees after 1922, following the population exchange between Turkey and Greece at the end of the Asia Minor campaign, thus turning the city to a 'refugee capital' (Papastathis, 1978; Hastaoglou-Martinidis, 1997; Papastathis & Hekimoglou, 2010; Bastea & Hastaoglou-Martinidis, 2013).

### 3. Silk Road Cultural Assets in Thessaloniki: The khans

In Thessaloniki, due to its significance for Ottoman trade, major commercial buildings were established in the city centre (bedesten, bazaars and markets (çarşı, caravanserais, khans) under Turkish rule (Kiel, 1990; Papayannis, 2008; Androudou, 2011; Kostopoulou et al., 2021b). Khans (orhanias) were private facilities that provided lodging for guests and their animals (Pougaridou, 2010). Two types of khans were distinguished in Northern Greece in the period 1774-1913: the typical merchant khans, built usually in large merchant centres, and the simple folk or khans for animals, in smaller provincial centres (Gavra, 1986). Urban khans had no need for a defense design, since cities were usually surrounded by ramparts and safety was partly provided. Khans were usually erected around an inner courtyard, the ground floor was used for stables for travelers' animals, warehouses, and commercial purposes, and the upper floors were used for accommodation purposes (Darendeli & Binan, 2021:150). In Thessaloniki, traditional urban khans functioned as rest and commerce areas until the end of the Ottoman occupation and beyond. Turks owned the majority of the khans, although there were also Greeks, Jews, and Bulgarians (Kalliora, 2019:73).

A khan was built during the reign of Murad II (r. 1421-1444; 1446-1451) on the western entrance of the city, in Vardar district. In addition, Bayezid II (r. 1481-1512) had constructed one caravanserai nearby. According to Ayverdi (2000, cited in Gençer, 2018:3), there were four khans and two caravanserais in the trade centre at the time. As said by the Turkish explorer Evliya Tselebi, Thessaloniki had roughly 16 Khans in the 17<sup>th</sup> century. The largest was Sulu Khan, a Bayezid II institution that existed until the end of Turkish sovereignty. Tselebi also mentions Kursumlu Khan, while the literary author Ka tip Celebi mentions Suluca Khan, Mustafa Pasa Khan and Malta Khan (Grigoriou, 2004). Initially located within the walls of the city, khans moved outdoors in the 18<sup>th</sup> century. The completion of the railway in 1871, as well as the city's sprawl beyond the walls to the east and west, resulted in the construction of khans in and around these areas, the majority of which were located in Vardar district, near the city's western entrance, along the main road axis of Egnatia street, as well as in the city's commercial zone, near the Port and the old Railway Station (eg. Koritsa Hani, Krusovo Hani, Pateras Hani) (Grigoriou, 2004; Kalliora, 2019:73; Gavra, 1986, 147-148). According to N. Schinas, a Greek Army commander, Thessaloniki had 50 Khans in 1886 that could accommodate 10,000 men and 600 horses (cited in Grigoriou, 2004).

At the end of the 19th century, Thessaloniki was the largest commercial center in the Balkans and the third largest city in the Ottoman Empire, after Constantinople and Izmir, a European cosmopolitan metropolis.

New building typologies started to appear, representing the new economic system, where the traditional khans were transformed into commercial galleries, similar to today's retail malls. The emerging business groups, such as brokers, banks, international trading companies, insurance agencies, lawyers, architects and engineers would occupy these buildings, mostly located in the commercial center (Colonas<sup>2005</sup>:137; Pougaridou, 2010; Gençer, 2018). From 1870 onwards, reflecting the changes in the city's social and econom

ic life, new hotels were established in Thessaloniki providing also food and entertainment. Following the construction of luxury hotels, some of which were established into existing khans, big cafes, breweries and expensive restaurants started to operate, while also theaters, cinemas, cabarets and cafe chantants, attracting a massive influx of artists from Europe, that generated the establishment of small hotels all over the city. Thessaloniki had over 100 hotels and inns in 1915, a record for the city, considering that in modern times there were about 60 (Grigoriou, 2004).

On 18<sup>th</sup> August 1917 (or August 5<sup>th</sup> according to the Julian Calendar), 5 years after the integration of Thessaloniki into the modern Greek state, a disastrous fire demolished a *vast part of the historical center*, about 9500 dwellings, rendering homeless about 70,000 inhabitants out of a population of 278.749 (Yerolympos, 1995:86; Amygdalou, 2014:20). The majority of the great khans which had housed travellers through the centuries were destroyed by the fire, Ismail Pasha Khani built in 1323, Eski Youmbrouk, the Pasha Oriental (Mazower, 2004:320). The era of khans as accommodation facilities and places of commercial transactions was thereafter a part of the city's history.

#### **4. Khans in Thessaloniki**

The term khan or hanapers to have been used in Thessaloniki at least until 1926 to identify newer or older buildings (other than banks) in which commercial transactions occurred on the ground floor or even on the upper floors. Buildings that follow the traditional organization of premises around a central yard, such as Hani Allatini and Hani Rongoti, as well as buildings whose typology departs from that of the traditional khan, such as Eminent Han built in 1896, Hani Ismail Pasha, and Kyrtsi Hani, are all referred to as "hani" (Bagioux et al., 2017). A number of these buildings that consist of unique architectural assets are presented here to illustrate the Silk Road cultural footprint in Thessaloniki, a major transport and trade node on the Silk Routes.

##### **Bensusan Khan**

Bensusan Khan, built between 1894 and 1907, is located at the so called Fragomahalas area in Ano Ladadika district, at the old commercial center of Thessaloniki, on 6, Edessis street. It was named after the owner of the land and the property, Samuel Bensusana Jewish merchant. According to historical documents, the foundations and ground floor of Bensusan Khan Date from 1810 and then the upper floor was constructed. On the ground floor were the stables, while the guestrooms of the inn were on the upper story, where merchants and travelers were sleeping. The building was expanded in 1869, following the demolition of Thessaloniki's sea walls, part of an effort to boost the city's commercial and economic development. It has withstood numerous demolitions, including the great fire in 1917. After 1920, Bensusan Khan passed into the hands of Bensusan's children, who constructed a manual elevator to the basement where the goods were lowered for storage, as well as another octagonal story with a glass roof (Aslanidou, 2019:15).

More than a century after the construction of the khan, in 1935 the heirs of Samuel Bensusan sold the whole property to Bas. Zotiadis, a Thessaloniki wholesaler, and the building changed its use several times. On the ground floor, it occasionally housed

spice and coffee shops, colonial and convenience stores and textile businesses, while the top story later had law and notary offices. The building was last used in the 1970s and 1980s, when it housed customs offices and warehouses on the upper floor and spices on the lower, thereafter left abandoned for many years (Aslanidou, 2019:15). In 2007, a group of artists rent the ground floor from Zotiadis' successor, with the goal of initially using it as a storage room for stage sets and theater materials. This action paved the way for the building's revitalization and use as a venue for frequently pioneering cultural activities (Mangana, 1995). The building, consisting of four levels, the basement, the floor, and a loft, has a total of 9 large rooms, the basement and lofts, retaining the basic architectural features. Despite restoration improvements done with respect to the building's ambience, only the ground floor is used to host cultural activities, with the remaining rooms in a rather poor condition. Bensusan Khan is now an architectural and cultural landmark in Thessaloniki's historic center, evoking memories from the city's past two centuries. (Fig. 1, 2, 3) (Aslanidou, 2019:14).



Fig. 1. Bensusan Han, façade. Source: <https://cityportal.gr/place/mpensoysan-xan-153462-1316-1072-0/>



Fig.2, 3. Bensusan Khan, interior. Source: <https://www.thessalonikiartsandculture.gr/thessaloniki/afieromata/bensousan-xan-e-na-ktirio-me-aroma-apo-to-parelthon/>

### **Kirtsii khan**

Kirtsii Khan (HaniKyrtsii), is also located in the historic commercial center of Thessaloniki on 5, Edessis street. It is assumed the first owner of the building to have been Kyrtsis, a well-known trader and businessman in the area (Bagioui et al., 2017). Although the exact year of construction is unknown, the architectural style implies that it was built in the late nineteenth century, around 1880. The building was owned by Davi-Isaac Bensoussan until 1910, when he sold it to Abdurrahman Tafik Bey (Kalliora, 2019:74).

The building, rectangular in shape and consisting of two levels, was part of a unified architectural ensemble with other buildings on the street, a block that retained the general architectural style of the end of the Turkish occupation period (Kalliora, 2019:74; Bagioui et al., 2017). The entire area deteriorated for many years because the majority of the listed buildings were converted into storage rooms and their owners were unconcerned about their preservation. However, regeneration of the surrounding area has been documented in recent years, helping to upgrade this historic district and highlighting the significance of the listed buildings. Furthermore, the commercial element of the entire neighborhood was reinforced by permitting the listed buildings to be used for a range of commercial purposes, such as entertainment or tourism lodging. Kirtsii Khan, considered

a significant architectural asset with unique morphologic features, along with eighteen other buildings in Thessaloniki's Commercial Center, were designated as an "artwork that requires special state protection" on July 19, 1983, under Law No. 1469/50. This neighborhood closely linked with the city's history, still functions as a lively, breathing commercial hub (Fig.4,5)(Bagiouk et al., 2017).



Fig.4. Kirtsi khan before the restoration.  
Source: <https://hessarchitecture.wordpress.com/2015/10/21/>



Fig.5. Kirtsi khan today. Source: <https://hessarchitecture.wordpress.com/2015/10/21/>

### KorytsaKhan

KorytsaKhan (Hani Korytsa) was built in 1902 by Hatzis-Mustafa and may still be found today on 7, Monastiriou Street. On the same street there were two other khans, the "Patera" and the "Krousovo" khans, which were demolished. The building, originally two-story and featuring a square floor layout(Fig.6), was bought in 1907 by private individuals and operated as an inn and as an E category hotel until 1967. After the earthquake of 1978, a part of the roof fell, and it has not been restored since. In 1981, the issue of declaring it a protected monument was discussed by the competent bodies, however, in 1983; a fire destroyed the upper floor, which was demolished. The building currently houses modest shops on the ground floor that survived, where the stables and storage rooms used to be. Despite the damage and interventions it has received in recent years, it is the only inn in the city that has retained its original form (Fig. 7)(Kalliora, 2019:78; Modern monuments of Thessaloniki, 158-159).

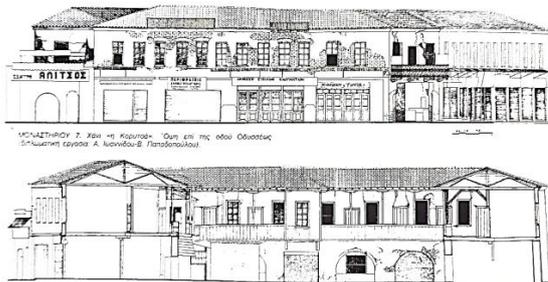


Fig.6. Korytsa khan, front view and section.  
Source: Ioannidou&Papadopoulou, 1981 cited in Kalliora, 2019:174



Fig.7. Korytsa khan, upper view.  
Source: <https://parallaximag.gr/thessaloniki/chartis-tis-polis/to-telefteo-cha-ni-tis-polis>

### Modiano Khan

Modiano khan, located in the city's commercial district included workshops, coffee shops, offices, and storage facilities, and functioned in the mid-nineteenth century serving as a

meeting place for merchants, travelers, and residents (Pougaridou, 2010). Saoul Modiano, a well-known Jewish banker, constructed the so-called "Cit Sa il" a miniature "city of trade" from 1867 to 1879, along Sabri Pasa Street (today's Venizelou), the city's new, vital economic axis opened in 1867. Modiano Khan was one of the first "new type" inns at the time, with commercial and craft spaces, products warehouses, offices, workshops. The devastating fire of 1917 almost completely destroyed the commercial gallery, with only one facade surviving. In 1980, the gallery was formally designated as a protected work of art, and was restored even larger than the original, occupying a whole building block and including two inside pathways. Over the years, the Saul Gallery has housed a bank, warehouses, offices, shops, restaurants and entertainment, still largely operational today (Fig. 8, 9) (Fragkoudi, 2016).



Fig. 8. Cit Sa il, overview. Source: <https://citymagthess.gr/life/xwros/article/to-prot-o-mall-stin-istoria-tis-thessalonikis/>



Fig.9. Cit Sa il, entrance. Source: <https://visitthessaloniki.travel/el/exerevntas-tin-poli/thematikes-diadromes/evraiki-diadromi/>

## 5. Conclusions

Thessaloniki has traditionally been a vital transportation crossroads and trading hub connecting East with West. The city is littered with historically notable buildings as landmarks, some of which are still operational. The architecture of the buildings mirrors the city's multicultural heritage and represents the diversity of cultural influences that the city has received. Architectural heritage is a valuable expression of the city's history, therefore it is of critical importance to preserve the historical character of the buildings for cultural, economic and social reasons, as well as for tourism development prospects.

The buildings of khans in Thessaloniki, still existing or having existed in the past, are significant tangible and intangible cultural assets of architectural value, closely related to the historic character of the city as a transport and trade node on the Silk Routes. These traits are reflected in the architecture of khans, which were designed to accommodate a large number of travelers, also housing commercial activities. The management and preservation of Thessaloniki's khans as part of the city's Silk Road cultural legacy, revitalizes the city's Silk Road cultural assets and promotes its Silk Road cultural identity. In economic terms, the restoration and utilization of khans, while maintaining their historical character, will provide new tourist attractions in the city, resulting in further

tourism development opportunities. Existing historic khans can be incorporated in the local cultural tourism product through a variety of ways such as, cultural tours and guided visits organized by public or private organizations, innovative artistic actions, cultural events etc. Khans' intangible cultural heritage can be also promoted using new digital methods such as creating websites to highlight their Silk Road historic character, or designing multimedia apps that combine image, sound and text to produce a spectacular effect. Khans, as a valuable visible and invisible Silk Road footprint in Thessaloniki, if properly exploited, can serve as tourist attraction poles for travelers looking to experience diverse cultures, as well as important tools in (re)branding the city as a Silk Road destination, in order for Thessaloniki to benefit from the resurgence of its Silk Road legacy and capitalize on a diversified cultural tourism product.

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# Exploration of Humayun's Tomb: A sociological study of the neoliberal restoration model of an urban built heritage

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## Abstract:

India's planned urbanization programme has been phrased as 21<sup>st</sup> century's 'New Deal'. Numerous construction sites across the urban landscape of the cities bear a testimony to this. In the process of this development run, the *urban heritage* structures reminiscent of the history of the city are being increasingly being replaced with markers of its current identity.

Contrary to this process, *Humayun's Tomb* stands as an outlier. Located in the heart of the city of Delhi, Humayun's Tomb is considered to be a historical landmark. This 16<sup>th</sup> century monument was accorded the status of a World Heritage site by UNESCO in 1993. Much of the discussion around this built cultural heritage surrounds the *restoration* works which have undertaken via a public-private partnership involving Agha Khan Trust, Dorabjee Tata Trust, ASI, CPWD, MCD and most importantly the local people. This restoration work has been praised by almost all sections of society because of its seemingly holistic approach involving an effort to improve the quality of life of the local community in various ways.

The aim of this paper is to explore this model of *neoliberal urbanism* in the context of heritage conservation. Also, this paper intends to reflect on the *participatory inclusionist approach* for safeguarding the built cultural heritage.

**Keywords:** Urban heritage, Neoliberal urbanism, Humayun's Tomb, Restoration, Participatory inclusionist approach

## I. Introduction

Novelist *George Orwell* in his work, *1984*, "Those who control the present, control the past and those who control the past, control the future."

History is a process, a narrative and not just a single event. This definition extends the scope of the concept of heritage (which has been traditionally considered to be limited to the past) from the past to the present to the future. Since this extends the temporal scope of the heritage both backwards and forwards and produces a history of heritage or 'a heritage of heritage' (Harvey, 2008, p.21), this understanding of the same also describes the way in which individuals perceive heritage best put forward by the term 'cultural landscape'<sup>1</sup>.

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<sup>1</sup> Mc Dowell (2008) states that cultural landscape is 'best understood as environments which reflect interactions between populations and their surroundings' (p.37).

Harvey (2001) quotes Johnson & Thomas to substantiate the argument that there are as many definitions of the concept of heritage as there are heritage practitioners. Johnson & Thomas advocate that heritage is ‘virtually anything by which some kind of link, however tenuous or false, may be forged with the past’ (Harvey, 2001, p.319). Harvey also repeats Lowenthal’s claims that ‘heritage today all but defies definition’ (Harvey, 2001, p.319). Tunbridge and Ashworth (1996) advocate that heritage is a ‘contemporary product shaped from history’ (p.20). This definition proposes the idea that heritage is a concept which is subjective and value-laden and related to the processes of economic and cultural commodification but intrinsically reflective of a relationship with the past (Harvey, 2008, p.20). But the more traditional definition of heritage is on the terms of it being a cultural product or a resource with some social as well as political functions (McDowell, 2008, p.37 cited Lowenthal 1985; 1996). Heritage has also been portrayed as a vehicle where cultural memory<sup>2</sup> and various phenomena of history culture<sup>3</sup> reside (Harvey, 2008, p.21). Urban heritage, to be specific, is understood as:

*Refers to the built legacy of city’s history and includes protected and unprotected monuments, individual and groups of buildings of archaeological architectural, historic and cultural significance, public spaces including landscapes, parks and gardens, street laying defining identifiable neighborhoods or precincts, which together identify the visual, spatial and cultural character of the city. This is tangible urban heritage and it is closely linked with the intangible heritage, which confers it with meaning and significance (GOI, 2006, p.5).<sup>4</sup>*

Heritage buildings being an intrinsic part of it is defined as:

*Means and includes any building comprising of one or more premises or any part thereof or structure or artifact which requires conservation or preservation for historical or architectural or artistic or artisan or aesthetic or cultural or environmental or ecological purposes and includes such portion of land adjoining such building or part thereof as may be required for fencing or covering or in any manner preserving the historical or architectural or aesthetic or cultural or environmental value of such a building (GOI, 2011, p.2).<sup>5</sup>*

If heritage structures could talk, they would have quite a story to tell the people visiting them. They would narrate all that they have seen- from rubble to grand buildings, from indigenous people to invaders, from justice and equality to injustice and discrimination, from villages to city to villages to city, from love to hate, from war to peace and from construction to demolition. Unfortunately, since walls cannot speak, we rely on humans and that is how we know and make sense of what happened once upon a time. We ‘consume’ heritage, not so much as the heritage itself as in the building itself but its representation in the form of historical narrative linked to it (Groote &Haartsen, 2008,

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<sup>2</sup> Harvey defines cultural memory as one comprising of the collective understandings of the past as they are held by a people in any given social and historical context (2008, p.21)

<sup>3</sup> History culture is a term defined by Holdorf as the ways that the past is ‘presenced’ in everyday life.

<sup>4</sup> [https://www.prsindia.org/sites/default/files/bill\\_files/JNNURM\\_heritage\\_toolkit\\_0.pdf](https://www.prsindia.org/sites/default/files/bill_files/JNNURM_heritage_toolkit_0.pdf)

<sup>5</sup> [https://mmrhcs.org.in/images/documents/regulation\\_guidelines/Model\\_Heritage\\_Regulations.pdf](https://mmrhcs.org.in/images/documents/regulation_guidelines/Model_Heritage_Regulations.pdf)



Picture Credit: by Shakti Shukla (self) on a field visit to Humayun’s Tomb

p.181). the way I have developed my understanding of heritage can be followed from these lines:

*Heritage wasn't only about the past- though it was that too- it also wasn't about material things – though it was that as well – heritage was a process of engagement, an act of communication and an act of making meaning in and for the present. (Smith, 2006, p.1)*

Located in the heart of the city of Delhi, Humayun’s Tomb is considered to be a historical landmark. This 16<sup>th</sup> century monument was accorded the status of a World Heritage site by UNESCO in 1993. This is considered to be a perfect example of the way in which a built heritage should be managed, protected and restored. The restoration works, although initiated by Britishers, were continued by Agha Khan Trust in collaboration with the Sir Dorabjee Tata Trust and the government since 2004. This neoliberal model of coming together of public and private in order to restore a monument and manage the same is the new principle which is being adopted to conserve the built cultural heritage across the country. A very special feature of the restoration works in Humayun’s Tomb is the persistent engagement of the local community (people whose ancestor had contributed in the making of the monument & structures present in the complex). These are just the two aspects, of my otherwise comprehensive research work on the same theme, which will be discussed in the next sections.

## **II. Neoliberal urbanism in the context of heritage conservation**

UN State of the World Population Report, 2007 states that approximately 40.76% of the population will start to live in urban areas by 2030 in India. This process of the shift of almost half of the population of India to the urban areas, as described by the term

urbanization<sup>6</sup>, is leading to a transformation of historic urban areas. This is as a consequence of increased demand for accommodation or housing space and industries to provide for livelihood opportunities, increased consumerism & uncontrolled development.

The above-mentioned process of transformation and development of cities involves the act of proper planning so as to make it sustainable in nature. The focus on sustainable development, and not just development, at the global level calls for an action towards filling up the gap between the two. For achieving sustainable urban development, there is a requirement of strategies which accept the vulnerability of cities (in general and its structures in particular) to the negative consequences of processes of urbanization and work towards finding a solution for the same. This vulnerable structure is urban heritage and the values (intangible flows of services provided by a heritage building) held by the same<sup>7</sup>.

It is seen in this context that urban heritage is given symbolic importance in this process rather than concrete inclusion in the process of sustainable development. This inclusion has become all the more important in the present times due to the increased focus on maintaining authenticity of the built heritage. The NARA Conference on Authenticity in 1994 held in the city of Nara, Japan and built on Venice Charter<sup>8</sup> (drawn up in 1964) advocated in NARA Document on Authenticity<sup>9</sup>:

*It is important to underline a fundamental principle of UNESCO, to the effect that the cultural heritage of each is the cultural heritage of all. Responsibility for cultural heritage and the management of it belongs, in the first place, to the cultural community that has generated it, and subsequently to that which cares for it. However, in addition to these responsibilities, adherence to the international charters and conventions developed for conservation of cultural heritage also obliges consideration of principles and responsibilities flowing from them. Balancing their own requirements with those of other cultural communities is, for each community, highly desirable, provided achieving this balance does not undermine their fundamental cultural values.*

The richness, both spiritual and intellectual, provided by the diverse cultures and heritage in our world is irreplaceable and hence, there is a need for active protection of cultural and heritage diversity which also forms an essential part of human development.

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<sup>6</sup>According to Oxford Dictionary of Sociology, *urbanization* refers to city formation. Most sociological attention has focused on large-scale urbanization accompanying industrialization and emergence of modern cities.

<sup>7</sup> This is a concept given by David Throsby in the text *Cultural Capital and Sustainability Concepts in the Economics of Cultural Heritage* (2002) wherein he has described these values as historic value, symbolic value, aesthetic value, spiritual value, social value and economic value (this one further categorized into use value and non-use value)

<sup>8</sup> Venice Charter for the Conservation and Restoration of Monuments and Sites is a framework for internationally accepted standards of conservation and restoration relating to architecture and sites.

<sup>9</sup> Nara Document on Authenticity was an outcome of the deliberations during Nara Conference (it had 45 participants from 28 countries) held in 1994. It aimed to address the issues regarding authenticity of cultural heritage. This document is supposed to be taken into consideration by World Heritage Committee while evaluating the properties to be nominated for inclusion on World Heritage List.

### **III. Participatory inclusionist approach for safeguarding the built cultural heritage**

While conducting my field work in Humayun's tomb, I witnessed the presence of a small museum (more like an exhibition) available inside the complex which has boards talking about the history of the monument, history of the surrounding areas, the story of the timeline of restoration efforts which have taken place over time. It is from this exhibition that, initially, I learnt about the comprehensive restoration efforts (including not just the restoration of the built heritage but also the community surrounding the built heritage site). It includes restoring the monument, employment generation for the people living in surrounding areas, improving the infrastructure facilities pertaining to education, health, and sanitation and so on.

Moving on, when we discuss about this engagement of the local community in the restoration efforts of a monument, especially of the people whose ancestors had contributed in the initial construction of the monument and the structures present in the complex, it also leads to retaining of the factor of authenticity of the monument. John Urry in his work, *The Tourist Gaze: Leisure and Travel in Contemporary Societies (1999)*, talks about how tourists search for authenticity in a monument which is sort of equivalent to a modern version of the search for the 'sacred'. It is because of this reason that people do not support the idea of a fake reconstruction of a building. This factor of authenticity becomes very significant in this case when one talks about the restoration & conservation efforts of a built heritage like Humayun's Tomb because the earlier efforts pertaining to the same by the British administrators which had led to much damage to the monument.

Moreover, during the interviews of the local residents of the surrounding Nizamuddin basti area conducted by me post my field visit (of the monument- Humayun's Tomb), I witnessed the efforts put in by this restoration project in order to empower these people. This whole project has been under the title of Nizamuddin Urban Renewal initiative. The first & foremost effort being the training of the above-mentioned people in skills like masonry, tile making, basically manual skills which can be used by individuals with less educational qualifications. The findings of my interviews with the beneficiaries of the same in Nizamuddin basti area reassert the increase in employment opportunities brought about by these initiatives. The respondents advocated how they have been able to work in the construction industry because of the same.

This initiative has been tried to be gender inclusive where the females of the quality are taught skills like stitching, beautician courses along with basic computer skills (this last skill was imparted to both men and women alike). These skills have led to providing increased avenues of being able to work in diverse fields.

A lot of the individuals of the community have also now become volunteers in order to further the scope of learning and employment for other people in their community. For instance, the Sair-e-Nizamuddin group which is a self-help group to attain the two objectives of promotion of heritage and helping young individuals in the community wherein they volunteer to organize heritage walks for school children. Citizens being part of the heritage protection initiative has led to the individuals of this community to think of themselves as the guardians of this heritage site.

#### **IV. Conclusion**

It is my observation that in the discipline of sociology, since time immemorial, importance has been given to non-material<sup>10</sup>. What is usually not taken into account is the fact that the knowledge of historicity as well as significance of non-material in the timeline of our society has come to be known and understood because of the physical existence of material? If it were not for the presence of inscriptions of ancient period, we would not have been able to have had a grasp of the nature of society that existed during those times.

As there is very less work on the subject of built heritage, in the context of perpetuating the social, in the discipline of sociology (to be precise, seeing heritage from the sociological lens), my journey has not been easy.

I chose to study the model of the restoration process of the world heritage site of Humayun's Tomb initially because I was mesmerized by the magnificent existence of it when I saw it the first time in my childhood. During the course of my research, it has proved to be an ideal model of the restoration process of a monument that can be replicated across the country.

French luminary *Joseph Joubert*, in his work *The Notebooks of Joseph Joubert* (1983), advocated

*“Monuments are the grappling-irons that bind one generation to another.”*

And it is high time that some concrete steps are taken in the direction of preservation and restoration of heritage structures similar like the public-private partnership model along with comprehensive betterment of the surrounding communities.

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## The first Catalan report on Mongolia: the work of Friar Jordan

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### Abstract:

Even if he was to some extent dependent on former reports, friar Jordan wrote in his *Mirabilia descripta* an interesting chapter devoted to the Mongolian kingdom and culture. His observations are worthy of attention because he also visited a huge part of Asia: besides the main target of his trip, which was India, he also visited many other countries, from the Caucasian area till Java. Although economy and trade were two of his main subjects, remarks on the individuals' behavior, as well as on some aspects of the courtly customs, deserve a detailed comment. His testimony displays a different view on the Mongolian culture, for most of the former reports show a very negative judgment, entirely depending on the bellic confrontation with the expanding Mongol empire. Jordan instead gives us an account free of any prejudice and therefore presents a warm praise of the Mongolian society and culture.

Key-words: Embassy, report, alterity, prejudice, reliability.

**Sometimes the physical distance is less important than cultural differences and old prejudices based on ancient patterns modeled on other people. The first European reports on Mongolia were the *Historia Tartarorum* of Simon de Saint-Quentin<sup>11</sup> and the *Ystoria Mongalorum* of Pian del Carpine<sup>12</sup>. Nevertheless, the work of Saint-Quentin, who came back to Lyon in summer of 1248, is known to us only by means of the *excerpta* embedded by Vincent de Beauvais in his *Speculum historiale*<sup>13</sup>. Pian del Carpine came back to Rome in November 1247, but shortly after his death, on August 1st 1252, the Flemish Franciscan friar Willem van Ruysbroeck planned a second version, written between 1253 and 1255<sup>14</sup>. This enlarged text had some diffusion, so that some twenty manuscripts have been transmitted.**

In spite of their contrasting transmission, both reports originated in two papal embassies ordered by Innocentius IV and departed from Rome in March 1245: the first embassy was under the command of the Dominican friar Ascelin of Lombardy, and Saint-

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<sup>11</sup>J. Richard, *Simon de Saint-Quentin. Histoire des Tartares*, Paris 1965. On his embassy see G.G. Guzmán, "Simon of Saint-Quentin and the Dominican Mission to the Mongol Baiju: A Reappraisal", *Speculum* 46, 1971, 232-249.

<sup>12</sup>M.A.P. d'Avezac-Macaya (ed.), *Relation des mongols ou tartares par le frère Jean du Plan du Carpin*, Paris 1838.

<sup>13</sup>G.G. Guzman, "The Encyclopedist Vincent of Beauvais and His Mongol Extracts from John of Plano Carpini and Simon of Saint-Quentin", *Speculum* 49, 1974, 287-307; C.-C. Kappler & R. Kappler, "La peur vaincue: voyageurs en Tartarie au XIIIe siècle", *Travaux de littérature* 17, 2004, 249-257.

<sup>14</sup>See on this author F. Michel & Th. Wright, "Voyage en Orient du frère Guillaume de Rubruck", in M.A.P. d'Avezac-Macaya (ed.), *Recueil de Voyages et de Mémoires IV, Paris 1839*, 205-396. On the reelaboration of the text see M.C. Lungarotti, "Le due redazioni dell'Historia Mongalorum", in P. Daffinà, C. Leonardi, M.C. Lungarotti, E. Menestò & L. Petech (edd.), *Storia dei Mongoli*, Spoleto 1989, 79-92; P. Jackson & D. Morgan, *The Mission of Friar William of Rubruck. His Journey to the Court of the Great Khan Möngke 1253-1255*, Londres 1990.

Quentin was one of the members of the expedition. The Franciscan friar Giovanni da Pian del Carpine was member of the second expedition.

Besides these XIIIth century reports, the Franciscan friar Jordà, also known by his Latinised name of Iordanus Catalanus, was appointed in the year 1320 as legate of the Pope John XXII to the Chinese emperor, but the travel failed and he remained in the area of India and Indochine. In 1329 he was Bishop of Kollam, where he died the following year. His report, entitled *Mirabilia descripta*, remained unpublished for centuries, till he was found at the Vatican Archives and published in 1839 by de Coquebert with other travel reports<sup>15</sup>. A small section is devoted to the Grand Tartar, at the time Yesün Temür (1323-1328). Yesün Temür was the Mongol ruler visited by another Franciscan friar, Odorico de Pordenone. Maybe part of the report of Jordà has to do with Ragibagh, king for just a month in October/November 1328, and succeeded by Jayaatu (1328-1332). This could explain why a significant part of the section deals with the emperor's burial. Typical of Jordà is his attention for natural products, especially food.

It has been stated that the reports of both Saint-Quentin and Pian del Carpine are full of literary topics that had no relationship with the real Mongolian society and culture<sup>16</sup>. Especially Saint-Quentin was featured by an aim for depicting Mongols as cruel creatures<sup>17</sup>. This was not the case of Pian del Carpine: Sardelić emphasizes the fact that the Franciscan friar was much more neutral in his comment than the Dominican Saint-Quentin. Neutrality was not his only merit: Both Ménard ET Bennet underline that the report presented by Carpini is highly reliable in the matter of the military organization of the Mongol army<sup>18</sup>.

Our point is the difference between the negative bias of the portrait of the Mongols provided by Saint-Quentin at a large extent and partially by Pian del Carpine, on the one hand, and the positive features reported by Jordà. For so doing, given that the account of Jordà is almost unknown and very short, it will be helpful to present it. This is the English version of the Mongolian section at the *Mirabilia descripta*:

*I am telling you what I have heard from people worthy of faith, namely that he is very rich, extremely just, and generous a lot. This man has four kingdoms under him, so large as the kingdom of France and well inhabited. In his dominion every person who is not able obtain his livelihood, if he will, can have food and clothing from that lord for all the days of his life. In his dominion instead of coins a sealed papyrus with a black label circulates, with which one has gold, silver, silk, precious stones, and simply all that a man wants. In this empire there are temples of idols, and monasteries of men and women, as among us; and so they form a chorus and say their prayers, exactly as we do; and the chief priests of the idols carry red capes and red hats in the way of our cardinals. It is unbelievable such a big feast, so much pomp, so much magnificence, and so much solemnity in the sacrifices of idols.*

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<sup>15</sup>Ch.-É. de Coquebert et de Montbret (ed.), *Recueil de Voyages et de Mémoires IV*, Paris 1839, 37-64.

<sup>16</sup>M. Sardelić, "John of Plano Carpini vs. Simon of Saint-Quentin: 13<sup>th</sup> century emotions in the Eurasian steppe", *Golden Horde Review* 5, 2017, 494-508, p. 494: *This imagined Mongol consists of hundreds of reused images ranging from the Classical antiquity and biblical texts to medieval prophecies, with a power to elicit the most powerful emotions by a single reference.*

<sup>17</sup>M. Sardelić, *op. cit.*, p. 504.

<sup>18</sup>P. Ménard, "La guerre en Mongolie et en Chine vue par un missionnaire, Jean du Plan Carpin, et un voyageur, Marco Polo", *Journal Asiatique* 305, 2017, 81-91; S. Bennett, "The report of friar John of Plano Carpini: analysis of an intelligence gathering mission conducted on behalf of the Papacy in the mid thirteenth century", *History Studies: University of Limerick History Society Journal* 12, 2011, 1-14.

*There they do not burn their dead; they even do not bury them, sometimes for ten years; some of them because they do not have anything with which they should perform their sacrifices and their funeral rites as they would; but they keep them in their houses and give them food, as if he were alive. When the great lords die they are buried in the company of one horse, and in the company of one or two of their more beloved slaves when they lived.*

*In this empire there are the most extensive cities, as I have heard from those who have seen them; there is one indeed which is called Hyemo, by which a square, straight road, has one diet with a horse when passing through the middle, a straight road. I have heard that that emperor has two hundred cities under him, greater than Toulouse; and I certainly believe that they have more people. The people of that empire are wonderfully well mannered, clean, courteous, and in addition generous.*

*In this empire rhubarb and moss are found. And there is a moss in the navel of a wild animal, like a small goat, which when it is captured alive, its skin is split from its navel into a round shape, and the blood that comes out of it is collected from it, and is placed on the same skin, and dries up, and that is the better moss of the world.*

*There are no other things that I know of in this worthy report, but the most beautiful and noble, and virtuous, and select articles.*

*When the emperor dies, he is carried with the greatest treasure, by some men, to a certain place, where they lay down their bodies, and flee as fast as they can, as if the devil were pursuing them; and there are others prepared who immediately seize the body, and act in a similar manner to another place; and thus, some others, until it be to the place where he should be buried, and they do this so that no place can be found, and consequently lest any man can steal the treasure. Nor is the death of one emperor manifested until another is secretly confirmed, by his parents and princes, on his throne.*

*This emperor does more alms than any prince or lord of the world<sup>19</sup>.*

First of all, it is important to bear in mind that the author of this report never arrived to Mongolia, so that he only can give second-hand information. However, the whole of the *Mirabilia descripta* fulfils the requirements of reliability and accuracy. Not otherwise, this section begins with recognition of the author's debt towards someone who deserved his attention as a trustful informant.

In a former contribution we showed that Jordà followed also the literary pattern which consists of linking the contemporary subjects with the ancient sources, in this case Herodotus, Strabo, Aelian and Isidore<sup>20</sup>. Yet Jordà added to his account a lot of very precise observations of his own on manifold matters, and every time he gave indications on place, time, actors, circumstances, functions, and so on. Actually, this Mongolian section is free of any literary colour, since all the passage is dedicated to the purpose of providing a plenty of information to the reader. What is important is that the Franciscan friar provides his information within complete freedom, and it is sure that the topics dealt with were at a large extent chosen by him, since they overlap with his favourite subjects. There is however a *caveat* on the court ceremonies described, for this could be a subject contaminated by Chinese customs that should be not applied to the Mongolian society. For the sake of brevity, just some examples will make understandable the opposite views of Jordà in comparison with those expressed by Saint-Quentin & Carpini

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<sup>19</sup>Ch.-É. de Coquebert et de Montbret (ed.), *op. cit.*, pp. 58-59.

<sup>20</sup>J. Redondo, "Autopsia y tradición en los *Mirabilia descripta* de Jordà", *I Jornadas Internacionales Humanismo Eurasia*, Universidad de Salamanca, March 2019.

1/ Carpini text 1: *On the first day all were dressed in purple robes; on the second day in red (...) on the third day all were in purple etc.*

2/ Carpini text 2: *and by his side it is buried a beast with a colt, and a horse with a bridle and a saddle.*

3/ Carpini text 3: *moreover, they are more liars than any other men, and almost in them no truth is found. (...) Men are unclean in taking food and drink, and in their other deeds. They are very covetous and avaricious; tax-collectors are champions for asking for money, and the most tenacious detainers, and the most sparing donors.*

3/ *The people of that empire are wonderfully well mannered, clean, courteous, and in addition generous.*

4/ *In his dominion every person who is not able obtain his livelihood, if he will, can have food and clothing from that lord for all the days of his life.*

4/ Carpini text 4: *Moreover, many gifts, both greater and lesser than those of other princes, are requested by the beis; and if they are not given, they despise them; yea, they regard them as nothing.*

Carpini text 5: *and it must be known that all things are in the emperor's hand so that no one dares to say: 'This is mine or that'; but all things belong to the emperor, namely, both animals and men; and over this also the decree of the emperor has lately emanated.*

Saint-Quentin text 1: *Greed consumes them to the extent that when they see anything that pleases them, they extort it immediately or through excessive harassment, or they violently carry it off from the owner whether he like it or not.* *They lend their money in usury by taking for ten denarii one denarius per month as interest, and after this first levy, they again take one denarius from the ten which they have already struck from that tithe.*

The texts from Pian del Carpini numbered 1-5 are taken from M.A.P. d'Avezac-Macaya (ed.), op. cit., pp. 359 (text 1), 232-233 (text 2), 241 (text 3), 274 (text 4) and 275 (text 5). The text of Saint Quentin is taken from chapter XXX 75.

1/ (...) *and the chief priests of the idols carry red capes and red hats in the way of our cardinals.*

2/ *When the great lords die they are buried in the company of one horse, and in the company of one or two of their more beloved slaves when they lived.*

The complete opposition between both series of accounts confronts the XIII. And XI V Century reports, maybe because the older were written under the impressive experience of the Mongol incursions into the very heart of Europe<sup>21</sup>. According with Guzmán Saint-Quentin's views came from personal experience<sup>22</sup>. Notwithstanding, many of his remarks just reproduce old topics on foreign and distant cultures and are due to the purpose of punishing the infidels.

From our short survey we can conclude that Jordà had direct and exact information on the Mongolian culture, although he never arrived to their country. His aim for truth makes also credible the whole of his report, including the aspects on burials and botany. Yet there was confusion in several matters, as part of the information were related to the Chinese culture. Jordà reported notices on two-hundred cities as well on a sophisticated urbanistic advance. This extensive and groundbreaking city culture was only possible in the Chinese empire, so that mistakenly Jordà attributed it to the Mongolian society.

Coincidences with Pian del Carpine (and Saint-Quentin) are not noteworthy by themselves. On the contrary, the striking differences in the portrait of the Mongolian people point to a more reliable account in Jordà. The Catalan friar underlined the Mongolian trend for solidarity, generosity and empathy, and this seems to be closer to truth than the apocalyptic disqualifications of his predecessors.

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<sup>21</sup>An example of this prejudgment against Mongolians can be found at the *Chronica maiora* of Matthew of Paris –not to be dealt with here because he never had any direct or indirect acquaintance with the Mongolian people– where their nation is portrayed in the following terms: *That the joys of mortal men be not enduring, nor worldly happiness long lasting without lamentations, in this same year [scil. 1240] a detestable nation of Satan, to wit, the countless army of the Tartars, broke loose from its mountain-environed home, and piercing the solid rocks [scil. of the Caucasus], poured forth like devils from the Tartarus, so that they are rightly called Tartari or Tartarians. Swarming like locusts over the face of the earth, they have brought terrible devastation to the eastern parts [scil. of Europe], laying it waste with fire and carnage. After having passed through the land of the Saracens, they have razed cities, cut down forests, killed townspeople and peasants (...). They are without human laws, know no comforts, are more ferocious than lions or bears, (...) [and] are rather monsters than men, thirsting for and drinking blood, [and] tearing and devouring the flesh of dogs and men.*

<sup>22</sup>G. Guzmán, "Silk Roads", in J. Block Friedman & K. Mossler Figg (edd.), *Routledge Revivals: Trade, Travel and Exploration in the Middle Ages (2000)*, London & New York 2017, 559-562, p. 562.

## Marco Polo:

### Venetian ambassador for cultural diversity along the Silk Roads

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#### Abstract:

Marco Polo's world-wide famous travelogue, the *Devisement dou monde* is a gold mine of information regarding the mysteries and marvels of the countries of the Silk Roads as well as their cultural diversity. Marco Polo can be rightfully considered one of the first European intellectuals enhancing cultural diversity along the Silk Roads, albeit with all the restrictions imposed by XIII century's mindset. In this contribution we wish to present what Marco Polo tells us about «Chamul», briefly review the existing literature on it, and address some questions on how to interpret the travelogue's information on the wanton habits of the inhabitants of «Chamul».

To start with, we quote the Polian passage according to Ramusio's XVI century's version in Italian:<sup>23</sup>

*[1] Chamul è una provincia posta fra la gran provincia di Tanguth soggetta al Gran Can, et sono in quella molte città et castella, delle quali la maestra città è detta similmente Chamul; et la provincia è in mezzo de duoi deserti, cioè del gran deserto che di sopra s'è detto et di un altro picciolo forse di tre giornate. [2] Tutte quelle genti adorano gl'idoli et hanno linguaggio da per sé; vivono de frutti della terra, perché ne hanno grande abbondanza, et di quelli vendono a' viandanti. [3] Gli huomini di questa provincia sono sollazzosi, et non attendono ad altro che a sonare instrumenti, cantare, ballare, et a scrivere et leggere secondo la loro consuetudine, et darsi piacere et diletto. [4] Et se alcun forestiero va ad alloggiar alle loro case molto si rallegrano, et comandano strettamente alle loro mogli, figliuole, sorelle et altre parenti che debbano integramente adimpre tutto quello che li piace; et loro, partendosi di casa, se ne vanno alle ville et de lí mandano tutte le cose necessarie al lor hoste, nondimeno con il pagamento di quelli, né mai ritornano a casa fin che 'l forestiero vi sta. [5] Giaceno con le lor moglie, figliuole et altre, pigliandosi ogni piacere come se fussero proprie sue mogli: et questi popoli reputano questa cosa esserli di grande honore et ornamento, et molto grata alli loro idoli, facendo così buon ricetto agli viandanti bisognosi di recreatione, et che per questo*

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<sup>23</sup> Since February 2015, Giovanni Battista Ramusio's (1485-1557) masterpiece *Dei viaggi di messer Marco Polo* (On the Travels of Sir Marco Polo) is available online on Edizioni Ca' Foscari's website (<https://edizionicafoscari.unive.it/en/edizioni4/libri/978-88-6969-00-06/>). It is the first digital critical edition of Marco Polo's *Devisement du monde* (The Description of the World), prepared by the Venetian humanist Ramusio for the second volume of his work *Navigazioni et viaggi* (Navigations and travels), published posthumously in 1559. This edition is the result of a research project funded by Ca' Foscari University of Venice. For details, see <http://virgo.unive.it/ecf-workflow/books/Ramusio/main/intro.html>, and Ragagnin & Simion (2018) and (2020). Among recent studies, we also wish to mention *Fрати mendicanti in itinere*.

siano moltiplicati tutti li loro beni, figliuoli et facultà, et guardati da tutti i pericoli, et che tutte le cose gli succedino con grandissima felicità. [6] Le donne veramente sono molto belle et molto sollazose, et obedientissime a quanto li mariti comandano. [7] Ma avvenne al tempo che Manghú Gran Can regnava in questa provincia, havendo inteso i costumi et consuetudini così vergognose, comandò strettamente agli huomini di Chamul che per lo innanzi dovessero lasciare questa così dishonesta opinione, non permettendo che alcun di quella provincia alloggiasse forestieri, ma che li provvedessero di case comuni dove potessero stare. [8] Costoro, dolenti et mesti, per tre anni incirca osservarono i comandamenti del re; ma finalmente, vedendo che le terre sue non rendevano i soliti frutti, et nelle cose loro gli succedevano molte adversità, ordinorono ambascadori al Gran Can, pregandolo che quello che dalli loro antichi padri et avi a loro era stà lasciato con tanta sollemnità fosse contento che potessero osservare, perciò che, dapoi che mancavano di far questi piaceri et elemosine verso i forestieri, le lor case andavano di mal in peggio et in rovina. [9] Il Gran Can, intesa questa dimanda, disse: «Poi che tanto desiderate il vituperio et ignominia vostra, siavi concesso: andate et vivete secondo i vostri costumi, et fate che le donne vostre siano limosinarie verso i viandanti». [10] Et con questa risposta tornarono a casa, con grandissima allegrezza de tutto il popolo, et così fino al presente osservano la prima consuetudine.

(R I 37: [http://virgo.unive.it/ecf-workflow/books/Ramusio/commenti/R\\_I\\_37-main.html](http://virgo.unive.it/ecf-workflow/books/Ramusio/commenti/R_I_37-main.html))

“The men are addicted to pleasure, and attend to little else than playing upon instruments, singing, dancing, reading, writing according to the practice of the country, and the pursuit, in short, of every kind of amusement. When strangers arrive and desire to have lodging and accommodation at their houses, it affords them the highest gratification. They give positive orders to their wives, daughters, sisters, and other female relations to indulge their guests in every wish, whilst they themselves leave their homes, and retiring into the city, send from thence whatever necessaries may be wanted; but for which, it is to be understood, they expect payment: nor do they return to their houses so long as the strangers remain in them. This abandonment of the females of their family to accidental guests, who assume the same privileges and meet with the same indulgences as if they were their own wives, is regarded by these people as doing them honour and adding to their reputation; considering the hospitable reception of strangers, who (after the perils and fatigues of a long journey) stand in need of relaxation, as an action agreeable to their deities, calculated to draw down the blessing of increase upon their families, to augment their substance, and to procure them safety from all dangers, as well as a successful issue to all their undertakings. The women are in truth very handsome, very sensual, and fully disposed to conform in this respect to the injunction of their husbands. It happened at the time when *Mangukaan* held his court in this province, that the above scandalous custom coming to his knowledge, he issued an edict strictly commanding the people of *Kamul* to relinquish a practice so disgraceful to them, and forbidding individuals to furnish lodging to strangers, who should be obliged to accommodate themselves at a house of public resort or *caravanserai*. In grief and sadness the inhabitants obeyed for about three years the command of their master; but finding at length that the earth ceased to yield the accustomed fruits, and that many unfortunate events occurred in their families, they resolved to dispatch a deputation to the Grand *khan*, in their names to beseech him that he should be pleased to suffer them to resume the observance of a custom that had been solemnly handed down to them by their fathers, from their ancestors in the remotest times; and especially as since they had failed

in the exercise of these offices of hospitality and gratification to strangers, the interests of their families had gone progressively to ruin. The Grand *khan* having listened to this application, replied: “Since you appear so anxious to persist in your own shame and ignominy, let it be granted as you desire. Go, live according to your base customs and manners, and let your wives continue to receive the beggarly wages of their prostitution.” With this answer the deputies returned home to the great delight of all the people, who to the present day observe their ancient practice.” (Marsden 1818: 171-173)

Last but not least, the Khalkha Mongolian translation reads:

Камүл (Chamul) нутаг ба түүгээр дайрах харийнхантай эхнэр, охиноо хамт хонуулдаг зан заншлын тухай хэмээх гучин долоодугаар бүлэг. [1] Камүл нь Их хааны харьяаны уудам цэлгэр Тангуд нутгийн цаана оршино. Тэнд олон хот, цайзтай бөгөөд нийслэл хотыг нь мөн Камүл хэмээмүй. Энэ нутаг орон хоёр цөлийн дунд оршино. Нэг нь дээр дурдсан их цөл, нөгөөх нь гурав орчим өдөрчийн газар үргэлжлэх багахан цөл юм. [2] Тэндхийн бүх хүн онгон шүтээнтэн агаад өөрийн хэлээр ярина. Үр жимсээр элбэг хангалуун тул түүгээрээ хооллон аж төрөх ба аянчин, гийчинд худалдах аж. [3] Энэ нутгийнхан зугаа цэнгэлд дуртай улс бөгөөд тогтсон заншлын дагуу хөгжим тоглох, дуулах, бүжиглэх, унших, бичих зэргээр өөрсдийгөө хөгжөөхөөс өөр зүйл хийдэггүй. [4] Хэрэв гаднын зочин гийчин ирвэл гэрийн эзэн ихэд баярлан эхнэр, хүүхэн, эгч дүү нар болон бусад төрөл садны эмэгтэйчүүдэд зочны аливаа хүслийг заавал биелүүлэхийг тушаадаг байна. Ингээд гэрийн эзэн өөр газарт хүрээд зочны өгсөн мөнгөөр шаардлагатай бүх зүйлийг нь явуулдаг гэнэ. Тэгээд зочныг яван явтал гэртээ үл ирнэ. [5] Харийн гийчин тэдний эхнэр, хүүхэн болон бусад эмэгтэйчүүдтэй гэргийтэйгээ байгаа мэт энгэр зөрүүлж хүссэн бүхнээ үйлдэнэ. Үүнийгээ нутгийнхан ихэд нэр хүндтэй зүйл, бахархал хэмээн үзнэ. Аянчдыг зугаацуулахаар тусгайлан буурчийн гэр барьж, олон зочин ирүүлсэн онгон шүтээндээ сүслэн мөргөх ажээ. Түүний ачаар тэдний хөрөнгө зөөр, хүүхэд шуухад, эд баялаг арвижиж, аюул ослоос ангид, аз жаргалтай амьдардаг байна. [6] Эмэгтэйчүүд нь машид үзэсгэлэнтэй, зугаа цэнгэлд дуртай агаад эр нөхрийнхөө тушаасныг үг дуугүй биелүүлэх ажээ. [7] Их хаан Мөнх ширээнд заларч байхдаа тэрхүү ёс уламжлалыг ихэд ичгүүртэй хэмээж Камүлийн эрчүүдийн ёс бус үйлийг зогсоохыг зарлигджээ. Хаан харийн гийчнийг гэртээ байлгахыг хориглож, зөвхөн буурчийн газар оруулахыг зөвшөөрөв. [8] Тэд хааны зарлигийг биелүүлж, уйтгар гунигтайгаар гурван жилийг өнгөрөөжээ. Тэдний газар шороо урьдын адил үржил шимтэй байхаа больж, золгүй хэрэг явдлууд тохиолдох болсон тул эцэст нь Их хаанд элч явуулжээ. Өвөг дээдсээс нь уламжилж ирсэн заншлыг дахин сэргээхийг хүсэж, мөн харийнханд үйлчлэхээ больсноор тэдний аж амьдрал доройтож буй тухай айлтгажээ. [9] Их хаан энэ өчлийг сонсоод ийн өгүүлрүүн, “Та нар энэ ичгүүргүй, шившигтэй зүйл хүсмүй. Өөрийн дураар болцгоогтун. Өөрийн хэв ёсоор амьдар, эмэгтэйчүүдээрээ аянчдаас гуйлга гуйлгуул!” хэмээн зарлиг буулгажээ. [10] Ийм хариу сонсоод ард олноороо ихэд баясав. Тэд өнөөг хүртэл тэр заншлаараа аж төрсөөр амуй.

(Bat-Uchral, Ragagnin, Simion 2019: 60-61).

In the 13th century, «Chamul»<sup>24</sup>- (Kumul, modern Uyghur<sup>25</sup> قۇمۇل, and Chinese Hami 哈密),<sup>26</sup> an oasis in present-day Chinese Xinjiang on the Yiwu road, the main passage to Western China - was inhabited by Turkic nomadic populations; see, a.o., Cardona (1975: 578), Pelliot (1959: 153-156; §111) and Yule & Cordier (1929/I: 203-212). Some elements of Marco Polo's description are confirmed today as for instance Qumul's fertile soil, suitable for cultivation and pastoralism, making it a prosperous area, known for products such as rice and melons. Buddhism remained the most practised religion for a long time.

«Chamul» is described by the Venetian traveller as a place dedicated to leisure and joyful life, so much so that the inhabitants, in order to make the passing travellers feel comfortable, let their own women indulge their guests in every – including sexual – wish, and steadily oppose to Mongol attempts to eradicate this custom. This polyandrous practice has been variously explained by scholars; see, a.o. Burgio & Simion (2020) and Kim (2012).

As pointed out by Barbieri (2015), in the beliefs of archaic societies, the stranger is a man who, coming from a different i.e. another world, has special and privileged relations with the sphere of the sacred. Accordingly, due to his distant and mysterious origins the foreigner is perceived as the bearer of a seductive and, at the same time, dangerous diversity. Traditional thoughts see the foreigner as an exception, an *active* and powerful individual bestowed with a specific magical and religious force. This extraordinary i.e. “non-standard” human being must be then treated with special precautions, not only to neutralise his negative influence, but also in order to exploit his beneficial effects. Therefore, rituals are often performed to encourage rapprochement between the indigenous people and the “stranger”, allowing the latter to be incorporated into the indigenous community. Among such practices, which range from the exchange of gifts to convivial sharing, there may also be an integration device of a sexual nature that consists of temporarily handing over the tribe or community's women to the host. This custom, attested for various populations, should be interpreted as a rite of aggregation of the foreigner to the group to which the women belong to. It must be mentioned, however, that the temporary concession of wives, daughters, sisters and other relatives to the visitor could in some cases have the purpose of promoting the generation of particularly *strong* children with superior qualities, given that, as we have said, the foreigner contains within himself the *mana*;<sup>27</sup> further see Van Gennep (1981: 29 and 180).<sup>28</sup>

Finally, it should be mentioned that a similar, but by no means identical, custom is also described by Marco Polo for the province of Caidú in R II 38 6 and R II 38 7; see Burgio & Simion (2020) for a detailed analysis.

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24 Further paleographic forms of this toponym, attested in other Polian versions, are: «Camul» (F), «Camul» (L), «Camul» (P), «C(h)anuil» (V), «Chamul» (VA), «C(h)amul» (VB) and «Camul» (Z). (F) is generally the paleographic form that best reflects the original.

25 Modern Uyghur together with Uzbek forms the south-eastern branch of the Turkic languages family. For a linguistic profile of the modern Uyghur language, see Ragagnin (2016).

26 On languages and language contact in Qumul, see Dwyer (1998).

27 On the concept *mana*, see, a.o. Meylan (2017).

28 Adapted from Barbieri (2015: <http://virgo.unive.it/ecf-workflow/books/Ramusio/lemmi/Chamul.html>). This hypothesis is further discussed and contested in Burgio & Simion (2020).

After reading this passage, we could ask ourselves: “But what actually did Marco Polo see and witness in Qumul or – assuming that this description is based on hearsay – “What was Marco Polo told about Qumul?” “How much of what is reported in this passage should be interpreted as it is, and how much should be sieved and, possibly, reinterpreted, due to possible analogy with similar - but not identical - practices witnessed by the Venetian traveller and others in other parts of Asia?”

Could this passage represent a very deformed picture shot with sophisticated XIII century’s Catholic lenses? Could this passage simply refer to the freedom and independence that women enjoyed in Turkic and Mongolian societies? As we know also from other sources, such freedom, possibly reflecting traces of matriarchal features, was rather shocking for European conservative eyes. And, finally, “Could some of these extravagant features be, *mutatis mutandis* – considering the passing of several centuries, change of religion(s) as well as intermingling of several spiritual, cultural and linguistic traits, somehow be related to the “aberrant” features of the Khoton people<sup>29</sup> living in Western Mongolia? [to be continued...]

### Abbreviations

F — XIV c. Franco-Italian version, handed down by the manuscript fr. 1116 of the Bibliothèque nationale de France [Eusebi (ed.) 2010] and by a fragment, signed f, in a private collection [Concina 2007; Ménard (ed.) 2012; Eusebi & Burgio (ed.) 2018].

K — “catalan” version, handed down by three manuscripts, XIV sec. [Reginato, Irene 2015-2016].

L — XIII c. Latin summary handed down by 6 manuscripts [Burgio (forthcoming)].

LT — XIV c. Latin version resulting from the contamination of TA and P, handed down only by the manuscript lat. 3195 held in the Bibliothèque nationale de France in Paris [Santoliquido 2018–19].

P — Francesco Pipino OP’ early XIV c. Latin translation of VA; it is handed down by around 60 versions [Prášek (ed.) 1902; Simion 2015].

TA — early XIII c. Tuscanian version, handed down by 5 manuscripts [Bertolucci Pizzorusso (ed.) 1975.]

V - Venetian version handed down only by the manuscript Hamilton 424 held in the Staatsbibliothek Berlin [Simion 2019].

VA — Medieval northern vernacular Italian version, handed down by five manuscripts [Barbieri, Andreose (ed.) 1999].

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<sup>29</sup> On the Khoton, see Tatár (1979) and Zhamtsarano (1967).

VB — XV c. Venetian humanistic rehash handed down by two codices and one fragment [Gennari 2009–2010].

Z — Latin version handed down by the Zelada ms. 49.20 (second half of XV c.) preserved in the Archivo y Biblioteca Capitulares of Toledo [Barbieri (ed.) 1998]

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## Pictures



Marco Polo's dwelling in Venice, now the Malibran theatre.



Marco Polo's statue in Ulaanbaatar

## **Session II**

### **Political Relations on the Silk Roads and Impacts of the Pandemic**

## **China and Africa, a relationship that rivals the Africa - European Union relationship? – How China instrumentalized its ODA foreign aid to attract African elites**

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### **Abstract**

In recent decades, Africa's strategic importance has increased, and with it the motivation of actors such as the European Union and China to acquire an area of influence and project their national and economic interests, through development aid mechanisms, taking in accounts which of these are best suited to their political system. These mechanisms are part of development models with contrasting principles – the Washington Consensus and the Beijing Consensus, and have different mechanisms, with the EU preferring budget support, and China loans and grants, and OOF and ODA. In addition, it will be analyzed if the established relationships rival each other and how China uses foreign aid as a tool to strengthen its relations with African countries and compete vis-à-vis the European Union for influence on the African continent and instrumentalizes the BRI to compete vis-à-vis US and shape the international order according to its principles and national interests.

**Key words:** political system; ODA; OOF; Belt and Road Initiative; competition; China; European Union; African countries; Beijing Consensus; Washington Consensus; International Order; nostrings-attached; Five Principles of Peaceful Coexistence.

### **Introduction**

This paper aims to assess the forms of Official Development Assistance (ODA) provided to African countries by the European Union (EU) and China – through the Belt and Road Initiative – and which of these are best suited to their political system. In addition, it is also relevant to analyze how the established relationships rival each other and how China uses foreign aid as a tool to strengthen its relations with African countries and compete vis-à-vis the European Union for influence on the African continent. Hence, it is relevant to make a comparison between the Beijing Consensus used by China as an alternative model for development in the ‘Third World’ and the Washington Consensus. Furthermore, the paper will focus on the Belt and Road Initiative and the implications this initiative has for the International Order and the African continent since the objectives of the initiative are two: i) the establishment of a vast network of infrastructure – roads, railways, ports, and maritime routes – incorporating countries in Asia, Africa, the Middle East and Europe, in a partnership with a logic of win-win cooperation and, ii) lay the foundations for becoming a power 2 capable of competing with the US and changing the status quo in the international system. Increasing its influence in Africa through its no-strings-attached policy and the Five Principles of Peaceful Coexistence that instrumentalizes to attract African elites, is an important step to achieve its main goal – a new international order where its rules are changed and shaped according to Chinese interests.

## **European Union and Foreign Aid to Africa**

Africa has been, since European integration, an important part of external identity of Europe, as stated in the Schuman declaration of 1950 in which one of the essential tasks to achieve was the development of the African continent (Hengari, 2012: 1). The importance of Africa is multilayered and has evolved through time, from security to economics domains (Hengari, 2012: 3). Despite a complex history of colonial domination and wars of independence, both Europe and Africa consider their relationship and partnership to be a necessity, which is evidenced by the Yaoundé Convention of 1963, the Lomé Convention that initiated cooperation between EU and ACP (African, Caribbean, and Pacific countries) of 1975, and the Cotonou Agreement of 2000 (Crawford, 2005; Hengari, 2012: 3, 4). The Cotonou Agreement affirms the respect for human rights, democratic principles, rule of law, and good governance as essential elements; meaning, as stated in article 96, that non-compliance can lead to the suspension of European aid (Crawford, 2005; Stahl, 2011: 152). These values and principles are integral parts of the EU's development policy and the expression of a value-based European identity, with a self-image of a value-promoter through the promotion of its norms and principles, also referred to as 'soft governance' (democracy, multilateralism, and human rights), which can be promoted through political conditionality and can take two forms: incentives or sanction (Stahl, 2011: 151, 152). Furthermore, these principles are also firmly embedded in the broader global development agenda, with two pillars: i) the Millennium Development Goals (MDGs); ii) commitment to increasing aid effectiveness consistent with the principles of the Paris Declaration from 2005 and the 2008 Accra Agenda for Action (Langan, 2014: 4). Consequently, and in line with the core of EU's development policy, the Joint Africa-EU Strategy of 2017, states that the priority for cooperation EU-Africa remains peace and security with the strategic objective to ensure a peaceful, safe, secure environment, contributing to human security and reducing fragility, foster political stability and effective governance, and to enable sustainable and inclusive growth (European Parliament, 2017). In addition, in the European Consensus on Development of 2017, poverty eradication was reaffirmed as EU's primary development objective, at the same time that integrates the economic, environmental, and social dimensions of 3 sustainable development and underlines the links between development and other European policies, including peace and humanitarian aid (European Commission, 2017b; Hengari, 2012: 16). The EU development assistance system is a multilayered governance system, where the community-level institutions and member states, which independently manage bilateral aid programs, are the key components. The EU dedicates around 10% of its budget to external action – the funding is provided in the form of grants, contracts, and budget support (European Commission, 2017a; Hengari, 2012). Budget support involves policy dialogue, financial transfers to the national treasury account of the partner country, performance assessment and capacity-building, based on partnership and mutual accountability (Langan, 2014). However, EU budget support is not a blank cheque – commitment to fundamental values of human rights, democracy, and rule of law is essential for the establishment of any partnership and cooperation between the EU and partner countries (Langan, 2014: 5). Furthermore, EU budget support can have detrimental effects to African countries, since it can be used as leverage and can increase donor involvement in all stages of the policy process and place pressure on recipients from within (Langan, 2014). Additionally, other mechanisms of EU development policy aid in Africa are the EU Neighborhood policy -

whose priorities are to: i) promote enhanced political cooperation; ii) support the implementation of current agreement; iii) enhance partnership towards social and economic prosperity; iv) people-to-people contacts; v) enhance regional cooperation; vi) mobility and migration management; vii) security and stability; the EU External Investment Plan (EIP) – that combines blending and guarantees and is designed to attract more investment, in particular from businesses and private investors, into countries neighboring the EU and in Africa; and Trust Funds, such as the Békou EU Trust Fund, the EU Regional Trust Fund in Response to the Syrian crises, EU Emergency Trust Fund for Africa (EUTF) (European Commission, 2020).

### **China-Africa relations**

Chinese foreign policy has undergone changes over the period of government of different leaders, however the concern that underlined them was always the pursuit of national interests and the search for legitimacy for the existence of a single party – the Chinese Communist Party (CCP) – which influenced foreign policy through two objectives, that Chinese leaders considered fundamental for the maintenance of the current internal system: i) the growth of economic development and consequently the living conditions of the Chinese population, and ii) the Taiwan Issue (Foot, 2006; Mendes, 2010). In order to achieve its foreign policy objectives, China presents itself as a post-colonial actor closer to the needs of developing countries, with an alternative development model, with a set of principles that respect the sovereignty of its partner countries – the Five Principles of Peaceful Coexistence (mutual respect for sovereignty and territorial integrity, mutual non-aggression, non-interference in each other's internal affairs, equality and mutual benefit, and peaceful coexistence), the idea of win-win cooperation, and the no-strings-attached policy, that does not demand respect for human rights and good governance in order to receive aid (Carbone, 2011; Li, 2011; Mendes, 2010; Ministry of Foreign Affairs of the People's Republic of China, 2014). Hence, the impact that these principles have, which are radically different from those proposed by the Washington Consensus (with the core idea that development could be achieved through political liberalization or economic reforms) is known as the Beijing Consensus, an approach that advocates for full independence, equality, and respect for sovereignty – in line with the Westphalia Principles (Keping, 2009; Mendes, 2011). As a result, China attracts African elites through its non-interference in the internal affairs of other states and win-win cooperation, which materializes itself through the Belt and Road Initiative (BRI) (Eisenman and Kurlantzick, 2006). When Xi Jinping first launched the BRI in 2013, he referred to it as the One Belt, One Road Initiative - a “Belt” of road, rail, port, and pipeline projects that would create an infrastructure corridor from China to Central Asia and Europe and a “Maritime Silk Road” that would link China to South and Southeast Asia, the Middle East, and Africa through a series of deep-water ports along the littoral areas of the Indian Ocean (Malik et al, 2021 :21, 22). In addition to building infrastructure, the BRI has four other components: policy coordination, trade and investment facilitation, financial integration, and cross-cultural exchanges (Malik et al, 2021). Through the BRI, China is making clear its ambitions to act as a global player that intends to adopt a much more proactive stance on the international scene, which is a source of pride and fuels nationalism – fundamental for the legitimization of the CCP (Mendes, 2010). Furthermore, BRI also has security and diplomatic dimensions, as it consolidates China’s international stature and justifies an increased military presence abroad and the establishment of new military bases, in addition to military cooperation with host countries (Crawford, 2005).

Africa is an excellent example, as in order to secure the maritime space between the Gulf and China (South China Sea, Indian Ocean), especially the main supply route from the Persian Gulf (and Africa) via the Strait of Malacca, controlled by the US Navy, Beijing constructed, purchased, or leased or leased on the long-term port and air facilities for its navy in most countries along the route, with the exception of India (Enerdata, 2020). Furthermore, Sub-Saharan Africa (SSA) has an important place in this strategy, together with the Chinese base in Djibouti, one of the key anchors of China's military in the Indian Ocean; and its investment in civilian ports—at least 46 in sub-Saharan 5 Africa – which show the reach of its navy and strengthen its power projection capability (Enerdata, 2020). Moreover, its exercises showcase China's close partnership with African allies and Russia, as in 2019 China conducted a trilateral exercise with Russia and South Africa to demonstrate its ability to project power, only the second time a PLAN fleet crossed the equator into the Indian Ocean (Enerdata, 2020). Regarding the diplomatic dimension it allows China to increase its circle of friends, and acquire political support in international organizations, such as the United Nations (UN) and to avoid international recognition of Taiwan as a sovereign state. To secure its long-term influence on the African continent, China set up in 2000 the Forum on China-Africa Cooperation (FOCAC), which has become a real instrument for implementation of the Sino-African roadmap regarding development, investment, and South-South dialogue (Enerdata, 2020; Stahl, 2011)? Moreover, the financing in 200 million dollars of the construction of the AU Commission headquarters in Addis Abba (Ethiopia), shows the symbolic efforts of Beijing to lead the African agenda, while it is strengthening diplomatic relations and wooing African elites (Hengari, 2012: 8). Thus, China has launched a multifaceted effort to mobilize its diplomatic, cultural, and financial resources in Africa, which it does through mechanisms of soft power that is its ability to influence through persuasion and not coercion using humanitarian aid, economic investment, culture, and diplomacy (Mendes, 2010; 2011). In turn, much of China's infrastructure aid to Africa comes in the form of advanced credit or loans, and most of the construction projects carried out are handled by the China Development Bank (CDB), China Exim Bank and Sinosure (China Export & Credit Insurance Corporation – provides short-term, medium-term, and long-term buyer's credit and seller's credit insurance products) (Enerdata, 2020; Hengari, 2012: 15). The banks practice tied lending, making the loans conditional to the use of Chinese contractors to build the infrastructures (Enerdata, 2020).

Furthermore, and according to Malik et al. (2021: 1), China is doing semi-concessional and nonconcessional debt rather than aid since the introduction of the BRI, maintaining a 31-to-1 ratio of Figure 1 - Official development finance commitments from China, 2000-2017 (Malik, et.al, 2021: 16). 6 loans to grants and a 9-to-1 of OOF1 to ODA2, as Figure 1 demonstrates as the figure demonstrates from 2000 to 2017 there was a significant preference for OOF compared to ODA. In addition, the increasing levels of credit risk have created pressure for stronger repayment safeguards, being collateralization the main one – during the first five years of BRI implementation, 70% of CDB's overseas lending portfolio was collateralized, but substantially smaller percentages of the overseas lending portfolios overseen by China Exim bank (29%) and the country's state-owned commercial banks (44%) were collateralized (Malik et al., 2021:41). Similarly, another repayment safeguard is sovereign guarantee, that is a guarantee from a government institution (typically the Ministry of Finance) that a repayment obligation will be satisfied if the primary borrower defaults, although there is no immediate

impact on the liquidity of the government institution its assets are put at risk, as it could jeopardize a country's international credit ratings and its macroeconomic stability if it the country does not meet the obligations of repayment (Malik et al., 2021: 45, 46).

### **EU and China in Africa – competition or cooperation?**

In 2008, the European Commission proposed four broad sectors for pragmatic cooperation in Africa to enhance aid effectiveness and ownership of developing countries: i) peace and security; ii) infrastructures and regional integration; iii) management of the environment and natural resources; iv) agriculture and food security (Carbone, 2011). Considering the sectors identified the sector that would allow an effective pragmatic cooperation would be peace and security. The external identities of both actors are profoundly connected to its principles – the EU presents itself as value-promoter through the promotion of its norms and principles such as democracy, good governance, multilateralism, and human rights; and China presents itself as a developing country with a new development model, that in contrast with that of the EU, has no-strings-attached policy and does not have conditionalities (only the One China policy), which in turn respects the 1The OECD defines other official flows (OOF) as official sector transactions that do not meet official development assistance (ODA) criteria. OOF include grants to developing countries for representational or essentially commercial purposes; official bilateral transactions intended to promote development but having a grant element of less than 25%; and, official bilateral transactions, whatever their grant element, that are primarily export-facilitating in purpose. This category includes, by definition: export credits extended directly to an aid recipient by an official agency or institution (official direct export credits); the net acquisition by governments and central monetary institutions of securities issued by multilateral development banks at market terms; subsidies (grants) to the private sector to soften its credits to developing countries; and funds in support of private investment (OECD, 2021b). 2 The OECD defines Official development assistance (ODA) activities as those provided on highly concessional terms (with a minimum grant element of 25 percent) and with development intent; it is government aid designed to promote the economic development and welfare of developing countries. Loans and credits for military purposes are excluded. Aid may be provided bilaterally, from donor to recipient, or channeled through a multilateral development agency such as the United Nations or the World Bank. Aid includes grants, "soft" loans, and the provision of technical assistance (OECD, 2021a). 7 sovereignty of its partner countries (Stahl, 2011: 154). Pursuing cooperation in other sectors would mean that one of the actors would have to align itself with the terms of the other. Moreover, both Brussels and Beijing see African countries as a way to gain support for their positions in International Organizations such as the United Nations. Hence, the limitation of the sectors where the actors would be predisposed to engage in cooperation. However, cooperation in the peace and security sector is possible, as it is exemplified by the fight against piracy in the Gulf of Aden, where EU's operation Atalanta of EU NAVFOR and China's anti-piracy operation seek to protect economic interests, since piracy is a transnational security threat, and neither actor can deal with it alone (Stahl, 2011: 166). At the same time, various African countries have been pivoting towards emerging powers, such as China, in order to reduce the EU and Western influence on the continent, and on the other hand, feel that one of the most positive traits of China's presence in Africa – investment opportunities and aid with no-strings-attached – could be compromised by trilateral cooperation (Carbone, 2011: 215; Hengari, 2012: 14).

## **BRI, International Order and the African continent**

The International Order, whose project dates to principles created with the Peace of Westphalia, is in crisis. China laid the foundations for becoming a power capable of competing with the United States and change the status quo in the international system, through BRI which created interdependence relations with multiple countries, including Western countries, preventing them from having an assertive counter strategy (Stokes, 2018). Additionally, China has gained the capacity to shape the rules of the current order to its interests, through the creation of institutional and economic initiatives such as the Asian Infrastructure Investment Bank (AIIB) which rivals directly with the World Bank, and by occupying the void left in some international organizations and international agreements by the Trump administration (Graaff e Apeldoorn, 2018; Stokes, 2018; Mearsheimer, 2019). Furthermore, and as stated above, China instrumentalizes the BRI to consolidate its international stature and justify an increase in its military presence abroad and the establishment of new military bases, as it does in Africa by acquiring ports in the sub-Saharan African region, which pose strategic risks as it enables Beijing to potentially restrict access to its rivals, exploit ports during conflict, and collect intelligence (Crawford, 2005; Devermont et al., 2019). Hence, BRI highlights the rise of China's power in the international system, which in the long run could lead to a change in the status quo with a confrontation vis-à-vis the US and its intention to become a more relevant player in the regional and global economy and to reconfigure its governance structure in the international economic order (Cai, 2018).

## **Conclusion**

Over the years the importance given by the European Union and China to Africa has increased, and with it its strategic position. Hence, having an advantage in relations with Africa implies having an area of influence not only rich in resources but also with a fundamental political capacity to support positions in international organizations. In order to gain influence in Africa, both actors engage in a development aid policy, which materializes through different mechanisms. Moreover, Africa is fundamental to the perception of the EU as a value-promoter entity, and consequently for its identity – that is intrinsically connected with the self-image of a global power that promotes good governance, human rights, multilateralism, and the rule of law. It is precisely because of its self-image that the EU engages in pragmatic cooperation with China in the sector of peace and security, which generally has transnational security threats that require a joint approach. On the other hand, China presents itself as an actor closer to the needs of developing countries, with an alternative development model with an approach that advocates for full independence, equality, and respect for sovereignty of its partner countries, through the nostrings-attached policy and the Five Principles of Peaceful Coexistence, contrasting with the Washington Consensus. It is for the same reasons that both actors engage in pragmatic cooperation, since cooperation in other sectors would imply that one of the actors would have to align itself with the terms of the other, which would, in turn, jeopardize its identity and national interests. Moreover, African elites feel that one of the most positive traits of China's presence in Africa could be compromised by trilateral cooperation (investment opportunities and aid with nostrings-attached) and it would decrease its capacity to reduce the EU and Western influence in Africa. Furthermore, for China the instrumentalization of the BRI in Africa leads to the consolidation of China's international stature and justifies an increased

military presence abroad and the establishment of new military bases, in addition to military cooperation with host countries. China has been acquiring ports throughout the partner countries to show the reach of its navy and strengthen its power projection capability, and Africa is not different. The acquisition of ports by Beijing in Africa poses strategic risks as it enables it to potentially restrict access to its rivals, exploit ports during conflict, and collect intelligence. China is making clear its ambitions to act as a global player that intends to adopt a much more proactive stance on the international stage, a source of pride that fuels nationalism, henceforth the importance of establishing relations of interdependence with as many countries as possible, to ensure its capacity to engage in a confrontation vis-à-vis the US and shape the international order according to its principles and national interests.

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## RETURN OF TRADITIONAL THREATS AND STATE RIVALRY AND IMPACT ON RESOURCES AND INCLUSIVE GROWTH

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### Abstract

Institutionalized framework of governance is pillared on collective will and voices of the people shapes the future of the sustainability of resources, climate and development index. The return of big power rivalry and the rise of autocratic tendencies and developments in the wider parts of the world pose a long-term impact and risks on the future of the resilience of climate policies and the control of scarce resources. The Silk Road displays a huge potential as the epicentre of the next phase of global socio-economic revitalisation but it also remains one of the next potential flashpoints in the scramble for dominance and control of resources for economic and power projection, supported by the urgent need in meeting the physiological and political demands of the local settings. This is made worse by the double impact of climate change and the scramble for resource supplies, now made easier by the role of technology and the fallout of the climate impact. The future agility and resilience of the nations in the Silk Road and the sanctity of its impartiality will depend on the strength of international institutions and the outlook of multi-lateral cooperation in critical issues. The rising role and reach of national interest and power projection amidst the rise of nationalistic policies in increasing control of growth tools dominated by resources and technology will chart a path of complex and increasingly blurred path of conflicts over cooperation. This area of growth remains the avenue and symbol of global solidarity for the progress of science and humanity but this epitome of earlier success risks succumbing to the forces of power politics and the dire straits of clinging on for survival, political dominance and changing socio-economic and generational landscapes and divides. Forward-looking leadership in the global institutions remain the key in providing a balanced and equitable share of resonance among the global community and in adhering to the compliance of international shared practices and order.

Keywords: institutional resilience, participatory economic drive, high intensity conflicts, regional confidence building measures

The end of the Cold War and the dawn of globalization and a liberal global and economic order that ensued brought both opportunities and downturns of conflicts over cooperation. The triumph of liberal democracy over communism and autocracy has opened up new spheres of threats in the post Cold War era with non-traditional setting in nature. While these threats are perceived to be low intensity in nature, seeing the immediate impact and extent of fall-out to national survival and interest, they possess enough depth of devastations in the long run in a slow and gradual process of annihilation to the critical tools of global growth and humanity.

Politics of emotion, contextualization of themes and causes, galvanization of technology and communication as well as the exploitation of the generational divide for amplification of one's intent for certain causes and belief system at the societal level and the enhancement of resolve to safeguard and strengthen a country's long-term interest that is pillared predominantly on defence and military might and preparedness, economic resilience, consistent projection of soft power and influence.

The turn of the new century and the seismic shift in the direction of global affairs have opened a new array of dimensions and possibilities, with rejuvenation of once archaic belief systems and adherence and the demise of novel and growing spectacle and spectrum of thoughts and norms. Popular sentiments and influence are shaped through ever changing and a fluid avenue of opinion setting and groupings of like-minded ideas, individuals and movements. Increasingly, these are pillared by the influence and reach of social media, the Generational Edge and the subsequent conformation and adherence to these newly minted opinions or judgments formed by popular consensus. The rise of these new concepts with the likes of the 'Woke' and the 'Cancel' culture have caused unprecedented impact and reverberations the world over, with the spiraling effects stretching across different levels of society and the generations. Newfound trends and norms have been shaped to a large extent by the power and influence of the youth, media and common causes that have been deemed to be of benefit either politically, economically or socially constructed discourses.

The clash and divide between the two major forces and norms between the push for a more open, inclusive and mutually beneficial global collaboration, interdependence and liberal institutions for a greater and encompassing strengthening of human security, rights and quality of life in opposition to the growing discontent for open and liberal policies both at the national and global level where nationalism and state centric tendencies and protection of economic values will continue to shape the order of the decade and beyond. This runs in concurrence with the other dimension of the resurgence of big power rivalry and state centric confluence and influence on international affairs where the divide between the East and the West, with the advent of US-China rivalry and regional conflicts over land and resources will co-exist with the existential and largely exponential non-traditional security threats.

While the risks of high intensity conflicts will only increase with the breaking down of international norms and sanctity of the institutions and increasing gratification of national purpose and pride with the unyielding quest to protect territorial integrity and sovereignty, the doctrine of peace through pursuit of own's own national interest and the focus on the prosperity and safety of one's own citizens and the people that originated from, and amplified by President Donald J. Trump promotes the notion that peaceful coexistence and the well-being of the

people at large will be better served and protected through the priority on ensuring forward-looking and comprehensive national resilience, sustainability and progress on the prosperity of the people. The third dimension that is starkly on display is the chronic rich and poor divide, where class struggles and the pursuit of fairer and more accountable system and equity across the board with the growing realisation and comprehension on the need to curb excesses and the seemingly different class and treatment for the powerful and rich and for the ordinary people. It goes beyond the usual capitalism and socialism argument and divide, where the discontent, discord and societal divide have been further fueled by the eventual by product of class struggles between the powerful and the ordinary.

Climate change and the impending impact is a case in point where nations are less compelled to act and to sacrifice national growth and economic progress in order to align with the mitigation policies in climate initiatives and carbon reduction plans. The fight against terrorism and other pressing non-traditional threats other than climate impact especially in the war against diseases, poverty, inequality, proliferation of drugs and human smuggling and other issues that are humanistic in nature gained traction in the initial period. Human development and happiness index and the measuring of the true yardstick of human progress in ensuring basic and elemental services are met, with the right socio-economic conditions under a fair and sustainable governance system in meeting the needs and demands of the people were to be the new parameters of progress and rejuvenation for nations and the people. Human security is given the higher priority firstly to ensure political survival at home and secondly to prevent a societal breakdown and the subsequent impending factor in hampering the survival and interests of nations. This however is dwarfed by the new composition on national survival and the race in securing the critical tools of state security. In various instances, state interests supersede the interests of human progress and development, with funding and investment being diverted in either empowering the position and survival of ruling elites in an autocratic governance system or, simultaneously being directed towards defence budgets.

The inevitable Rise of the Rest, led by China and eventually India and others signals the transition to a new dawn on global order which will be dictated by the return of great power competition and rivalry. In this new sphere of conflicts and cooperation, issues and concerns that are once pivotal are engulfed by the scramble and race to shore up defences and in strengthening national and regional resilience in facing the onslaught of big power dominance and the quest to mark regional and global leadership in various fronts. Important trade routes that are the backbone of global trade and progress and being the symbol of the convergence of humanistic spirit and interests are fast turning into the biggest avenues of flashpoints and conflicts, driven by the unwavering push for securing national interests and survival. For a nation to become developed, highly respected and recognized at the global stage economic progress and sustainability remain the top priority of leaders in gaining the needed trajectory to enable the amplifying and chain effects in supporting the other critical tools of growth and modernization. In expanding economic clout and dominance, the race for capital accumulation through trade and control of resources remain the ultimate drive for nations in maintaining control for long term national survival. With assurances of enough resources and capital, the defense sector and the critical tools of national development including education, research and knowledge transfer, technological innovation and the harnessing of creation and human capital remain secured and well-supplied. Seeing that carbon resources are finite and the high entry

and maintenance cost of renewable energy, the scramble for the world's last resources has already produced flashes of conflicts and tensions which is made worse by the power projection of big powers in reasserting influence and seeking new allies and markets for the expansion of economic and political clout. South China Sea, the Arctic Antarctica and the Silk Road remain the world's most important arena and symbol of historical pride and legacy of convergence of culture and coming together of mankind, which are increasingly mired by the forces of power politics and the hard truths of a realist structure of international politics. National security and survival trump all other considerations in the long run and while diplomacy and dialogue-building efforts in creating an interdependent and idealistic framework of global cooperation remain stagnant and even regressing. The Silk Road is relatively peaceful, secured and aspiration in its future prospects in empowering societies and driving economic and cultural enrichment.

This historical and enriching avenue of the manifestation of the exchange of culture, languages, spice, silver and economic prosperity brings long established sense of globalization and inter-connectedness that were put into practice centuries and millennia ago. Sense of nationalism and state pride and affiliation did not exist those days, rather being dictated by the allegiance and conformity to ruling elites, regional powers and civilizations at large. Flashes of conflicts and actual devastations and carnages caused by wars over control and resource and expansion of rule and powers are limited by the limitations of technology and firepower, along with the undeveloped exploration tools and support that could cut short voyages and increase capacities. With the advent of technology and mastery of science and resource transfer, the capacity and depth of trade and exchange undergone transformation in substance and impact. As much as cultural and economic ties deepen the bond and trust amongst different powers and civilizations, the rise of national identity and state affiliations have seen the openings for further exacerbations of state rivalry

The return of great power competition dominated by U.S-China rivalry in recent times expanded the incentivisation of the proponents for inward-looking interests and protective policies. In measuring the future of a state's survival and progress, policymaking is driven towards securing state security in its highest priority. The urgent needs to shore up defenses create networks of allies and securing the world's last remaining resources for energy independence give rise to an emboldened foreign policy and participation at the global stage where rooms for a better multi-regional framework of cooperation for a common global good further diminished. The Silk Road is the epitome of the future-driven and aspiration vision and dream of global inter-connectedness in bridging nations and linking cultures and the people. Economic progress and cultural enrichment and exchanges in trading goods and knowledge were the noblest of efforts and intention in creating avenues and incentives for bridging the gap between the East and the West. Even in intra Eastern culture and the Asian perspective, the Silk Road provides the link and the magnetism of regional progress and in pooling knowledge, resources and support for regional progress.

In the wake of the rise of China and the impending conflict and tensions with the West as well as within the East Asian region, the whole dogma has been changed. No longer is the Silk Road seen by many especially in the West as a symbol of vital regional and global sharing and exchange of human solidarity and economic empowerment to the people and nations. Lines

have been blurred and even being drawn anew in the new perspective of interpreting peace and conflict measurements. Efforts and policies that were once economic and regional in nature and intention transformed into an arena of political interplay designed to usurp the best advantages and interests in securing supplies and gaining the advantage in economic trade and the procurement of resources and capital. States that lie along the Silk Road are as diverse as any other nations and regions with different demographic, governance and economic concentrations, each with its own distinguished assets and potential.

Structural and systemic resilience and institutional agility remain fragile in states where human progress and development are not in tandem with the focus on projecting power and securing dominance and survival. Especially in states along the Road, the drastic and protracted demographic changes and transformation for the past two decades and going forward into the near future have already created long term systemic challenges and pressures to the goals of holistic and inclusive growth and progress both for the population and the state as a whole. Rising new demands and expectations of the masses led by the growing youth segments have given a new worry for governments that will need to both cater to this new call in ensuring political and ruling survival, and also to fully exploit and utilise the strength, energy and creativity that this segment provides. Generational gap and the new trends of wokeism and the cancel culture, with the prevalence of the new sense of entitlements, awareness of rights and the fight for liberal justice, freedom and economic and political rights have led to new frictions and conflicts

The cause for inclusive growth will need the full participation of the people led by the soon to be dominating youth segment and a future-driven and sustainable resource cultivation and the development of internal resilience. While the return of traditional threats will pose a long-term impact and risks to the future of human development and societal progress, the structural changes brought forth by the new shift in focus and investment on bolstering will only enrich certain quarters that are in line to bolster their short-term outlook at the expense of future internal capacity building and institutional resilience.

The shoring up of economic participation by the different levels of society in gaining more equal and holistic distribution of wealth and economic stakes is not rising fast enough to match the tandem rise of economic inequalities and the lopsided economic affiliation by the masses especially, the vulnerable groups.

The nations in the Silk Road share common aspirations of joint progress and prosperity in uplifting their people's hope for a better life and an improved prospect of a developed, peaceful, sustainable and progressive state of affairs that encompass all aspects of a high happiness and development index. The path ahead is not necessarily bound by the tragedy of great power competition but is molded by the strength and conviction of a common aspiration and interest in bolstering cooperation, interdependence and common building of confidence, trust and understanding in protecting the core interests and resources for humanity. More confidence building measures and Track II and III diplomacy are the way forward in reducing risks and potential of conflicts. High intensity conflicts will remain distant if actors and states involved understand the high impact and fall-out of mutual devastations if realist and protective policies are undertaken without the full realization of the high costs involved in the long term.

As uncertain and volatile as the future of global trend and affairs as it seems to be, technological advancement and the race for resources and economic survival will remain the main driver of constant changes in the way nations rise and fall, societies interact, norms built, policies made, collaborations forged, wars waged, and the future reimagined. National resilience, sustainability, and futuristic foresight in preparing for changes in the future with encompassing readiness, fortitude and perseverance will ensure the survival of a nation, set of ideas, influence and the progress of humanity.

# HUMANISTIC AND FUTURE-DRIVEN DEVELOPMENT IN POST PANDEMIC PROGRESS

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## Abstract

Critical junctures of human development especially in the aspects of health and social wellbeing are being propelled to the forefront of national and global arena in the face of the pandemic. The divides of countries in relative wealth and influence amidst the backdrop of the return of traditional threats have impacted the journey of post pandemic development. Vaccine hoarding and the inequitable distributions of life saving pharmaceutical intervention approaches and resources reflected the growing divide on the ground and across the continents on the structural and systemic outlook of health and social wellbeing neglect at the expense of the vulnerable groups with little to no socio-political influence. The key pillars of Human Development and Happiness Indexes and the goals of the UNSDGs are increasingly distant to a larger extent of the global community, further hampered by the challenges of unconventional threats and the return of traditional threats of state-led dominance and conflicts. In the quest for domestic and global recognition and expansion of influence and interests and amidst the rise of autocratic tendencies for governance and control, neglect and underinvestment in these health and human spheres of growth remain the fundamental hampering factor only to be mitigated by the need for institutional reform and revamp of structural and internal direction and policies to the ones that are human-based, future-driven and adherence to universal human rights and development policies. It requires a people-led initiative and drive for rejuvenation and an internationally supported system of accountability and responsibility in responding to crises and humanitarian needs and conflicts.

**Keywords:** politics of emotions, generational divide, global citizenship, socio-economics of resonance

The COVID-19 pandemic has brought forth a seismic shift in the nature of past conventional workings in different fronts. Decades and even centuries old norms and dogmas are sidelined and revamped by the unprecedented changes and impact that were unmatched at least since the World Wars and the previous Spanish Flu pandemic. What makes the previous pandemic and the global high intensity conflicts inflicting the world pale in comparison is the scale, depth and fall-out of the current crisis in which the speed and of devastation and chain effects that caught the world by surprises are made further amplified by the inevitable inter-connectedness and inter-dependence of different nations and peoples cutting across conventional divides.

National resilience, cohesion and sustainability remain the core pillar of a country's survival and existence. In an age of digital and technological transformation with the onslaught of the effects of globalisation, the cohesion and infusion of shared understanding and coming together of the global community have never been stronger for centuries past. Identities and affiliation to nations and creed seem to be engulfed by the empowering sense of global

citizenship and shared connection. This, however, is being largely drawn out by the return of growing nationalism tendencies, state centric and big power rivalry and the advent of traditional security threats in a sphere of rapidly changing global affairs.

The end of the Cold War signals the beginning of the unipolarity of the American dominance and the rise of non-traditional security threats, the likes of which have been encompassing and overwhelming in their effects on individuals not seen for centuries past. The reach, intensity and scope have been elevated by the pace of globalisation and inter-connectedness that took off at the same period, fueled further by the revolution in IT and digital rejuvenation at the turn of the new millennium.

These changes at the foundational and institutional level bring about a new dawn of unprecedented awakening, belief system and norms in the sphere of socio-cultural and political dimensions, reverberating through nations across the divide and societies at all levels. Generation Z and Generation Greta lead the way in spearheading the influence and spread of thoughts, convictions and stands in issues and topics that transcend generations and ages. The advent of new terms, norms, dimensions and belief systems attributed and affiliated to these groups have been enormous and monumental in its impact on almost the full spectrum of global discourse. The divide between this generation and the ones preceding it has never been starker, sown by differences in thinking, perceptions, expectations, rapidly changing immediate environment and the unseen level of integration and connectedness that are further facilitated the divide.

For as much as the growing drive for common causes and shared values to be fought for, transcending national identities and boundaries in the dimension of renewed global collaboration and inter-dependence, the renewed and rejuvenated nationalistic drive, pillared by growing sense of national interest and pride have added a different avenue to the changing global affairs. While non-traditional security threats have continued to be at the forefront of global conflicts since the demise of the traditional state centric conflict that is prevalent during the Cold War, the past decade in particular has seen the return of big power rivalry and the renewed relevance and influence of states as the ultimate decider and force in international relations.

Growing drive for protection and strengthening of national interests, rights and benefits has been in manifestation in various regions, from Brexit to the election of President Donald J. Trump and the rising nationalistic tendencies and populism in Europe and other regions have met in tandem the opposite movement to safeguard the sanctity of individual liberty, shared causes, multilateral collaboration and the importance of international organization and institutions in protecting norms and values. It is easy to put a general label on both sides as being the left or the right and various quarters, either drawn by politics or the necessities of conceptual or sided frameworks, have also been quick to impose the pre-conceived notion or assumptions on a particular group of being comparatively nobler or untouchable than the other.

From Chile to Hong Kong, the call for greater amelioration in essentially all major components of the people's well-being at full spectrum has never been on a starker display this year where although the main cause of the dynamism of the protest movement is varied across countries and continents, socio-economic and political perspective continues to paint the

picture of continuous show of mass consolidation of support of the vulnerable groups in standing up for their ground against what is perceived as the deep rooted ignorance by the elites and the catastrophic failure of the broken capitalist system that has only benefited the top segment of the society that has the tools and capacities to maintain the imbalanced order. This conundrum of disparity and the ensuing call for greater justice and equality of the people's well-being and economic share have not been confined to developing nations and those on the brink of greater economic downturn resulting from abuse, mismanagement and failed policies alone but the scale and severity of the plight have been resonated well in developed states from the U.S. to France with the building resentment of exasperation but with a growing sense of optimism to make a change from the ground level. The suffering and challenges endured over a sustained length led to common and shared purposes that drive the quest for a better future for all that eventually form the groundswell of the push for the voices to be heard and for structural changes to be in place in reflecting the systemic plight and challenges and the need for reform of the tiered relationship between those in power and those at the receiving end.

This common purpose that also comes with renewed passion and zeal of turning the wheel of sweeping positive changes has seen the movement to express the rights of better living and in highlighting necessary pressing issues of the people taking the form of consolidating the will of the vulnerable and affected groups with the aim of pressuring the authorities to conform to their demands and needs which are often long ingrained and in another level, to push for a complete change of power with the hope of bringing a new dawn for their nation. Whether it is the fight for greater political freedom and determination, the scrimmage against rising cost of living or the call for an end in discrimination and abuses of power and human rights, the various protest movements that have reverberated across the globe have always signalled a now widely agreed and understood term that the people, especially the youth, have always yearned with greater fervour and ardour, the creation of a future that belongs to all and the generation after with a better quality of life, freedom from abuses and injustices and the right to determine their future and their choices. As with equal weightage to the role of the youth, the long held belief and experience of the futility in bringing about changes or in highlighting causes through the conventional platforms as a result of a defective system shape the eventual outcome of elevating the methods to levels that are deemed to be more productive and visible, albeit with full comprehension that these will come at a cost as can be seen with the destructive trail the protest movements entailed, knowingly in full concordance that the fight for the future and the greater good are well worth the cost.

The growing divide of the realities on the ground and the demands and needs of the people against the policies and direction of the authorities in charting the nations forward and in ensuring the political and ruling survival has further exacerbated the various socio-economic challenges being faced and becoming a constant drawback in further societal and social mobility progress. What is politically right cannot be morally wrong and what is morally right cannot be politically wrong. With practices and policies that are just, equitable, holistic and based on the elements of upholding good governance and social equilibrium and justice for all, the will, rights and welfare of the people will be further protected and upheld that will eventually pave the way towards creating a new dawn of greater conscience in the spirit of humanity in mankind to rise above racial, religious, cultural, gender and social status barrier, discrimination and differences. The direction the future holds for the world and its inhabitants

has been and will always be shaped by the collective will and strength of the people with the vision for the greater good, with alliances forged, friendships built, values shared, causes connected and the future envisioned.

The belief in the wisdom and the judgment of the people in differentiating the right from wrong and the true moral obligations as human beings perpetuate the drive in empowering the society with knowledge, wisdom, motivation and sense of belonging towards inculcating positive values that bring people together and eradicate the seeds of greed, hatred and ignorance towards the rightful path of respect, tolerance, acceptance and compassion. The right tools in the right environment being delivered and implemented upon by the government and the role of strong political will and initiative in setting the right long term priorities for the betterment of the society in encompassing the various segments and groups irrespective of affiliations will fortify the path in broadening the understanding and practice of the culture of peace and acceptance in contributing towards a new awareness and spirit of working together in uplifting the spirit of humanism, a call that will transcend barriers and reinjection the common cause of values and compassion in humanity at the turn of the new dawn in the era of great and limitless opportunities for mankind.

The pace and reach of global connections and intense globalisation that were magnified especially in the post Cold War era have seen equal impact of both the good and the bad. While liberal economic order with open and free trade being the call of the day for enhancing global progress and prosperity of nations, wealth disparity and economic gap among different groups not only present a growing threat to institutional growth and resilience, these structural deficiencies are being brought to the forefront by the impact of the pandemic.

The global supply chain is the first to catapulted into the arena of realisation on the lopsided systemic loophole which has been running its course for years and decades where it takes a real global crisis in this pandemic for the impact to be felt and reality sets in. Control over resources and vital supply links of critical tools of basic needs is overwhelmingly exclusive in nature and in due dependence on the allegiance to capital and money. Those who effectively control the access to capital and with the staying power and influence in dictating the actions and policies of nations and actors are in the command chain in the drive and priority for essential tools for national survival. The old divide of the North and the South and the West and the East are mainly dictated by the divide of wealth, power and knowledge capacity for effective projection and conversion of these assets to the policies and actions undertaken both at the internal and global level.

The dichotomies of the past in analysing and measuring the distribution of relative power in various indicators including economic prowess, capital flow and control of resources, political and cultural strength and conviction, as well as military and hard power projection were largely following a similar pattern of a linear form of affiliation and control, with almost identical set of limited disruptive parameters that could derail the process and impact. With the onset of greater opening up of awareness and reality, pillared on the advent of liberal rights and openness of systems and structures, the once easy to control tools of dominance and authority

have been transformed into a barrage of constant pull and play with intersecting forces to adhere to and to fulfill. Nature of governance and systems of the past are defined largely by few main junctures and parameters that are relatively easier to gauge measure and define. With the changing domain and landscape of socio-economic, political and demographic order and structure, policymaking and the authority of executing selections and decisions are fast diluted and intertwined with the ever-changing demands, needs and trends of the different players at stake. The result is a convoluted and complex systemic structure of various interests and players scrambling for the dwindling power tools and factors of authority that are available to assert control and dominance.

While this remains visible and stark in the internal mechanism of states, the same can be said for the international and regional structure. Jostling and scramble for advantages and interests in securing the interests and survival of states and other main actors in the international political arena remain protracted with the need for an expanded review on other critical factors and influences at play. Conventional growth models and triggering factors of the past are usually predictable and normative in nature, with particular focus based on expected trajectory and outcomes. With the explosion of global integration and interconnectedness and with the rise of new trends and influencing factors, the path of growth and development planning is being pulled into different directions and considerations. No longer is the charting of national survival and projection of interests and strength be defined and characterized by clear and stable indicators and parameters.

Changing circumstances dictated by the interchange of systemic and triggering factors led by the role of new demographic groups, the generational divide and the different perspectives and needs of the conflicting interests of the different demographic groups create further imbalances and dilemma for policymakers in charting a balanced direction in appeasing and appealing to the demands of population. While strong need is to be cultivated for the need of political support and the avoidance of social unrest and conflicts, focus areas and investments continue to be diverted into the projection of power and maintenance of national interests.

The rising impact of non-traditional threats and return of traditional high intensity conflicts create setbacks to the sustainability of upward healthcare revamp and democratization of access to affordable and universal healthcare. The systemic degradation of local and regional economies, socio-development capacities, internal governance and institutional resilience and interventional resources as a result of climate induced chain effects. The speed and depth of knowledge and human capital migration, unrestrained flight and mobility of talents, labour, migrants, refugees and others brought forth by structural changes and both sets of threats further exacerbate expansionary healthcare policies and narrow the equity and participatory prospects of inclusive healthcare goals.

Current and past adaptive and accommodative structural readiness have failed under the weight of increasing risk factors and other injection of capital and tools that are not executed in tandem with scope and capacity of healthcare demands and needs under changing context and circumstances. New demands and changing economic landscape with different perspectives and needs from the generational divide and return of traditional threats where emphasis and policymaking on healthcare are diverted to needs of national interests and

survival. The zero sum game of different and conflicting needs and interests of the different demographic groups, divided by perspectives, health status, demands and needs as well as costs of healthcare and life sustainability will compel policymakers to make difficult choices of balancing the priorities on other critical tools of national growth and in ensuring the largest segment of population getting the most attention and investment on welfare in ensuring political survival and in preventing social unrest and conflict.

The return of traditional threats and risks of high intensity conflicts with the rise of non-traditional threat impact worsen the prospect of global health priority and development. Changing demographic pattern with rising ageing population and changing socio-economic domain with different and conflicting interests for the race towards fulfilling other priorities of national survival exacerbate the deepening gap and inequality of internal and global health development and intended goals. Uncontrolled human migration, both legally and under forced circumstances, creates new imbalances in regional and national health planning strategies and severely impacted mitigation and preventive efforts and strategies. Structural and systemic weaknesses with lack of resilience and long-term sustainable outlook on investments in health lead to further degradation in effective healthcare, particularly impacting post-disease management and treatment.

Climate impact and capitalist approach in structure of health services and medicine which create effects ranging from new diseases and prolonging the battles against conventional endemics and NCDs complicate joint regional and international efforts in leveling the playing field and providing holistic and equitable healthcare especially to vulnerable groups. International collaborative framework is bruised and battered by rise of nationalistic tendencies and shoring up of internal resilience and security in securing rights, dominance and influence for power projection and execution, leading to weakening of regional and global effort for disease control and prevention that will be more threatening and dangerous in countries with severe underinvestment in preventive healthcare and disease management, coupled with vulnerable populations being made more susceptible to diseases. Covid-19 pandemic laid bare the international gap and weakness in resilience and readiness but also provides a better cooperative and multi-lateral framework of addressing shortfalls and creating a balanced and coordinated strategy in the post pandemic recovery period.

The way forward for a humanistic and inclusive growth and progress in the next decade and coming millennium will be one that is cooperative and idealist in nature, with the right affiliation and participation of all segments of the global society and the actors involved in the creation of a balanced and open international order that respects the rights, happiness and development of the people and civilizations.

# Contributions of High-Quality Development of Belt and Road Cooperation to Global Governance: Thinking Towards the Post-Pandemic Era

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## Abstract

China has proposed to promote the high-quality development of Belt and Road cooperation based on the phased progress of such cooperation in recent years and current problems, in order to further substantiate the guiding principles and practice for deepened, steady and sustained Belt and Road cooperation. High-quality development of Belt and Road cooperation in the post-pandemic era will be based on the principles of extensive consultation, joint contribution, and shared benefits, guided by the “new development philosophy” and centered on the development of the “health Silk Road,” the “digital Silk Road,” and the “Silk Road of green development.” That is, the Chinese Approach to advancing cooperation in global governance will be presented as important contributions to effectively solving the dilemma of global governance, eliminating the global governance deficit, and boosting the reform and development of the global governance system.

**Keywords:** High-quality development of Belt and Road cooperation, global governance, post-pandemic era

## I. Proposal for and Progress of High-Quality Development of Belt and Road Cooperation

The Belt and Road Initiative (BRI) is not only a regional economic and trade cooperation program pioneered by China, but also a new path of globalization in response to reverse globalization and development-oriented and the Chinese Approach to eliminating the increasingly prominent global government deficit. Since its inception in 2013, BRI has achieved strategic alignment with the development plans of relevant countries and regions, and become an important driving force behind global development based on policy coordination, infrastructure connectivity, unimpeded trade, financial integration, and strengthened people-

to-people ties. Over the past eight years, Belt and Road cooperation has been turned from an idea into action, a vision into reality, an initiative and economic cooperation program into a well-received global public good, and thus been prepared for high-quality development.

In August 2018, General Secretary Xi Jinping put forward the fundamental requirement for pursuing the high-quality development of Belt and Road cooperation for the first time. In April 2019, Xi delivered the opening remarks entitled "Promoting High-Quality Development of Belt and Road Cooperation" at the Leaders' Roundtable of the Second Belt and Road Forum for International Cooperation: "We hope to work with all parties to further substantiate the guiding principles for high-quality development of Belt and Road cooperation."<sup>30</sup>

"High-quality cooperation" is clearly stated in the joint communiqué of the roundtable: "Looking into the future, we envisage high-quality Belt and Road cooperation in enhancing connectivity by promoting development policy synergy, infrastructure development, unimpeded trade, financial cooperation and people-to-people bond, thereby enhancing practical cooperation for the well-being of our peoples."<sup>31</sup>

In the post-pandemic era with global efforts to combat COVID-19, high-quality development of Belt and Road cooperation will enrich the international cooperation in this regard, and provide safeguards for BRI countries to positively solve the dilemma of global governance and eliminate the global governance deficit, so as to boost the neo-globalization on a more fair-and-square and vigorous basis.

## **II. Building of the “Health Silk Road, Digital Silk Road and Silk Road of Green Development”: Important Part of High-Quality Development of Belt and Road Cooperation**

### **(I) To promote the building of the “health Silk Road,”<sup>32</sup> so as to effectively solve the**

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<sup>30</sup>xinhuanet.com, opening remarks by Xi Jinping at the Leaders' Roundtable of the Second Belt and Road Forum for International Cooperation (full text) [EB/OL]. [http://www.xinhuanet.com/politics/leaders/2019-04/27/c\\_1124424310.htm](http://www.xinhuanet.com/politics/leaders/2019-04/27/c_1124424310.htm). [2021-06-22].

<sup>31</sup>xinhuanet.com, Joint Communiqué of the Leaders' Roundtable of the Second Belt and Road Forum for International Cooperation (full text) [EB/OL]. [http://www.xinhuanet.com/world/2019-04/27/c\\_1124425237.htm](http://www.xinhuanet.com/world/2019-04/27/c_1124425237.htm). [2021-07-22].

<sup>32</sup>In June 2016, President Xi Jinping first put forward the idea at the Legislative Chamber of the Uzbek Supreme Assembly: "We should step up efforts in deepening medical and health cooperation, and enhancing mutually beneficial cooperation in the alert of infectious diseases, disease control and prevention, medical

**structural deficit in global cooperation against the COVID-19 pandemic, create more collaborative endeavors in COVID-19 vaccination across the world, facilitate the equitable allocation of COVID-19 vaccine, and build a community of common health for mankind.**

In the face of the life-threatening pandemic, to vigorously promote COVID-19 vaccines cooperation across the globe within the BRI framework is the key and priority to the development of the “health Silk Road” in the post-pandemic era, and conforms to the spirit of the high-quality development of Belt and Road cooperation as a driving force behind the global public health governance.

As of September 3, 2021, China had provided vaccine support for 105 countries and 4 international organizations, and exported vaccines to upwards of 60 countries. China had ranked first around the world with the provision of 990 million doses in total.<sup>33</sup> China has actively promoted the equitable distribution of vaccines with practical actions towards vaccine fairness and accessibility in aid for developing countries such as Pakistan, Bangladesh, Algeria, Côte d’Ivoire and Venezuela.

While advancing the international cooperation in and equitable distribution of COVID-19 vaccines, China has joined hands with BRI partner countries to build the “health Silk Road.” It has started with the development and construction of global quasi-public goods - infrastructure primarily, boosted the cooperation in and innovation of telemedicine technology, improved the legal systems and supervisory mechanisms for addressing global public health issues, established a health and safety emergency platform at a global scale, built a network for public health information sharing and emergency management, and promoted the exchange and study of anti-pandemic experience among medical and scientific personnel, so as to push for the global cooperation in public health governance.

**(II) To promote the building of the “digital Silk Road,”<sup>34</sup> so as to give full play to the**

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assistance, traditional medicines and other areas, so as to jointly build a health Silk Road.”

<sup>33</sup>gmw.cn, China International Development Cooperation Agency: China provides 990 million doses of vaccines for the world [EB/OL]. [https://m.gmw.cn/2021-09/03/content\\_1302550381.htm](https://m.gmw.cn/2021-09/03/content_1302550381.htm). [2021-09-04].

<sup>34</sup>In May 2017, President Xi Jinping proposed at the First Belt and Road Forum for International Cooperation: “We should pursue innovation-driven development and intensify cooperation in frontier areas such as digital economy, artificial intelligence, nanotechnology and quantum computing, and advance the development of big data, cloud computing and smart cities so as to turn them into a digital silk road of the 21st century.”

**spillover effect of the “new infrastructure construction,” create a “cloud platform” based on networked and digital cooperation, and build a community with a shared future in cyberspace.**

The "digital Silk Road" is an effective practice and successful example of cooperation in digital economy within the framework of the BRI. It is an effective international cooperation mechanism built around the Internet technology and on the comparative advantages of China and other countries involved in the BRI in infrastructure construction, payment system and logistics system and the principle of extensive negotiation, joint construction and sharing of benefits.

The "digital Silk Road" will serve as a new engine for advancing global digital governance and narrowing the digital divide so as to expand effective investment and fight economic downturns. For the construction of the “digital Silk Road” in the post-pandemic era, an investment-driven and innovation-driven rather than factor-driven path should be followed, the development of cross-border e-commerce and other industries propelled, new types of operation and new models in international trade cultivated, the technological potential from “new infrastructure construction”<sup>35</sup> based on 5G and artificial intelligence unleashed, regional cross-border e-commerce cooperation and trade facilitation pushed forward on the basis of digital infrastructure construction, cooperation strengthened in digital talent cultivation, a "digital community" built, and new ideas about digitalization brought forth in the favor of regional and global governance.<sup>36</sup>

The construction of the "digital Silk Road" in the post-pandemic era, based on the fruit of network sharing and information exchange, aims to create a “cloud platform” featuring networked and digital cooperation, and build a community with a shared future in cyberspace.

**(III) To promote the building of the “Silk Road of green development,”<sup>37</sup> so as to put**

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<sup>35</sup>The concept of "new infrastructure construction" was first brought up at the Central Economic Work Conference in December 2018. It was pointed out: "[China must] create infrastructure for artificial intelligence, industrial Internet, and the Internet of Things." Generally, "new infrastructure" covers the seven areas of 5G base stations, UHV power grids, charging facilities for new energy vehicles, intercity high-speed railways and intercity rail transit, big data centers, artificial intelligence, and industrial Internet.

<sup>36</sup>Wu Hao, Evaluation and Practical Exploration of the "New Economic Engine" Theory [J]. Jianghuai Tribune, 2020, (4):116.

<sup>37</sup>In June 2016, President Xi Jinping first put forward the idea at the Legislative Chamber of the Uzbek

**into action the 2030 Agenda for Sustainable Development, help countries involved in the BRI shift towards “green transformation” and “green recovery,” and boost the building of a community of life for man and nature.**

The "Silk Road of green development" focuses on "green governance" and highlights the value of "sustainability" in infrastructure construction, energy, finance and other sectors. Its construction not only mirrors the philosophy of innovative, coordinated, green, open and inclusive development, but also fits the five areas of critical importance in the 2030 Agenda for Sustainable Development. To promote the building of the "Silk Road of green development" towards the goal of “reaching peak carbon emissions and carbon neutrality” in the post-pandemic era is an effective way of solving the deficit of global governance and promoting global cooperation in climate and environmental governance, and an important part of helping BRI partner countries shift towards “green transformation” and propelling the “green recovery” of world economy.

In terms of "green transformation" and "green recovery," to promote the building of the “Silk Road of green development” means that with “resource saving” and “eco-friendly” processes as the yard sticks, green production should be pulled while resource costs are cut down, an eco-innovation system established, industries upgraded, and the benefits from economic development expanded. Amidst the raging outbreaks, green economy-related industries, thanks to the Belt and Road cooperation, have stood out with an upward trend, and the “Silk Road of green development” will show its spillover effect in helping the world economy recover in the post-pandemic era.

### **III. A Conception of Policies on High-Quality Development of Belt and Road Cooperation in the Post-Pandemic Era: Global Governance as a Perspective**

**(I) To make the physical interconnectivity of infrastructure and institutional connectivity of policies reinforce each other, promote the high-quality development of China Railway Express, and create a global supply chain for high-quality development of Belt and Road cooperation.**

On the whole, infrastructure construction requires a long period of time and involves

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Supreme Assembly: “We should work to deepen cooperation in environmental protection, practice the notion of green development, and strengthen environmental protection to jointly build a green Silk Road.”

diverse stakeholders. Project investment, construction and advancement may face the geopolitical risks and those from economic and trade cooperation. To advance institutional building in the place of the rigid "top-down" model can help guarantee the binding force of governance and enhance its effects.<sup>38</sup>Therefore, to strengthen the long-term nature and stability of interconnectivity along the Belt and Road and ensure the interests of all parties involved to the largest extent, it is necessary to push countries and stakeholders involved in the BRI to develop rules and standards through consultations in accordance with the principle of extensive negotiation, joint construction and sharing of benefits, to jointly construct infrastructure, to share the benefits from interconnectivity, to facilitate institutional connectivity of policies, and to provide institutional guarantees for high-quality development of interconnectivity in the post-pandemic era.

China Railway Express, an important contributor to consolidating and advancing the interconnectivity along the Belt and Road, has been put in operation for 10 years and seen 5 years of branding. It has played a constructive role in satisfying the needs of the international trade and transportation market and ensuring the stable and sound development of the global supply chain. The outbreak and deglobalization are two big stumbling blocks in transportation across the world such as aviation, roads, and ports. China Railway Express, however, has delivered growth against the general trend with its merits in safety, effectiveness, and prices. It plays an important role in stabilizing freight transportation along the "Belt and Road" and has become a great support to the international supply chain during the special period.

The supply chain will become a new growth point for the high-quality development of Belt and Road cooperation in the post-pandemic era. The joint efforts of China and Belt and Road partner countries or regions to combat COVID-19 and resume work should be fortified dependent on the high-quality development of China Railway Express, and the supply chain extended into Latin America, Africa and South Asia, so as to promote the overall stability of the global supply chain and jointly remove all obstacles for international trade.

**(II) To promote the high-quality development of the third-party market cooperation under the BRI in fields of health, infrastructure construction and green development, so as to bring forth new ideas for propelling the transformation of the global governance**

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<sup>38</sup>Jon Birger Skjærseth, Olav Schram Stokke, Jorgen Wettestad. "Soft Law, Hard Law, and Effective Implementation of International Environmental Norms". *Global Environmental Politics*, Vol. 3, 2006: 14-15.

### **system and multilateral cooperation in global governance in the post-pandemic era.**

In recent years, China has initiated and vigorously boosted the third-party market cooperation under the BRI, which is of great significance to elevating its industry to a high-end level, promoting the industrialization and economic development of developing countries, and helping developed countries to open up new space for mutual benefit and win-win results. For that, China plays an exemplary role in international cooperation for cross-border integration and innovation-oriented development.<sup>39</sup> By the end of 2020, China had signed 16 documents on third-party market cooperation with 14 countries such as France, Italy, Japan, Singapore, the United Kingdom and Australia, clarifying the main principles and key areas thereof. Now an effective mechanism for the third-party market cooperation has taken shape.

From both the theoretical and practical perspectives, third-party market cooperation should not be limited to the economic and trade fields. This creative cooperation model can play a bigger role in promoting the reform and transformation of the global governance system and multilateral cooperation in global governance.

To achieve high-quality development of Belt and Road cooperation based on the traditional partnership network, the “new development philosophy” should be followed, the constraint the dilemma of global governance puts on Belt and Road cooperation removed, the level of cooperation further elevated, the areas of cooperation broadened, the reform and transformation of the global governance system advanced, and multilateral cooperation in global governance promoted. In terms of the level of cooperation, the two parties should push their cooperation to the high end of the industrial chain, strengthen their cooperation throughout the industrial chain, and extend their cooperation to fields of environment, medicine, aviation, aerospace, high-speed rail and so on in the future. In terms of the area of cooperation, priority should be given to the health sector with medical care at the core, the infrastructure construction sector with “new infrastructure” at the core, and the sector of green development with climate and environmental protection at the core, so as to stimulate the sound, coordinated and sustainable development of BRI partner countries.

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<sup>39</sup>Wu Hao, The Third-party Market Cooperation: The New Energy of the "Belt and Road" Initiative [J]. Renming Luntan-Xueshu Qianyan, 2019,(2):86.

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## **Session III**

### **Silk Roads' Art and Language**

## ***Maqām*: Art music along the Silk Roads**

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### **Abstract:**

The Arabic term *maqām* (pronounced *mugham* in Azerbaijan and Armenia, *maqom* in Central Asia, *muqam* in nowadays Xinjiang) designates Art music traditions that resonate in a spatial and cultural-historical arc ranging from Andalusia to western China, united by common features such as history, theories, forms, genres, names of modes or rhythmic cycles.

In order to understand the sense of such a geo-cultural vastness, we should remember how Islam had a rapid spread that, since the 7<sup>th</sup> century CE century, took it to expand on a very vast area that, through time, adopted similar administrative, political, bureaucratic, religious and cultural principles. In music, through the centuries, the centres were Damascus, Baghdad, Cordoba, Granada, Constantinople, Bukhara, Samarkand, Herat, Kashgar, Cairo, where was active the circle of a given master or of a given court, forming a network of musical centres over a very large area.

Following the term itself *maqām* (with all its pronunciations) takes us out of the narrow geopolitical map of Central Asia marked by the five ex-Soviet republics, and leads us, instead, into a larger and more ancient area, which includes western China, north-eastern India, Pakistan, Afghanistan, Iran, Azerbaijan and Turkey. Over the millennia, the area was always connected by that network of caravan routes called by Ferdinand Von Richthofen, in 1877, 'Silk Roads' (*Seidenstraßen*), along which circulated goods, troops and armies, *but also* music instruments, songs, poems, dances, treatises, myths, ideas.

Adopting a musicological approach, the *maqām* of the Islamic world is one of the many modal systems that have sprung up on the planet, as the Greek Hellenistic, the Byzantine, the Western medieval Gregorian, the Renaissance modal system that developed from Gregorian, the Ottoman, Chinese, Indian, Javanese and so on. All of these systems are based on the common criterion of Modality, which is absolutely different from the more recent Tonality, born in a European context at the beginning of the 18th century and now prevailing on the planet.

### **About the term *maqām* and its many meanings**

As the Orientalist reader knows, the Arabic term *maqām* literally means 'place', a term with several possible interpretations: according to a literal interpretation which, however, emphasises the human factor, *maqām* may allude to a physical 'place', similar to a stage or a platform, capable of gathering and placing the performers just above the listeners, usually traditionally seated on carpets, cushions or mats. It should be noted that the presence of a platform implies in itself the presence and the action of performers who are allowed to go up there and play, sing, dance as experts. According to a more musicological interpretation, the meaning of 'place' implies that of 'position', either on the instrument or on a modal scale, and is quite evident in musical modes starting with a Persian numeral such as *yegāh* (literally 'position one'), *dogāh* (literally 'position two'), *segāh* ('position three'), *čahārgāh* ('position

four') as well as *panḡgāh* ('position five'), etc.

I propose you a metaphor. this 'place' (*maqām*) can be compared to the place in which one resides; if I were to enter your house, dear reader, I would enter the *maqām* of reader XYZ, dominated by your personality, your tastes, your furnishings, by the amount of light that comes from the windows etc. etc.; all these factors contribute to forming an atmosphere, an overall taste typical only of this place (*maqām*) in which you, the reader, live, and within which I, moving around, would make 'journeys' (*sayir*). Just as your dwelling place, a given musical mode has its taste, its atmosphere, its 'flavour' (Arabic *dawq*), its 'colour' (Hindi *rāsa*), which depend on the internal arrangement of the elements composing it, which, in a musical mode, are the individual notes. And it changes considerably how these notes are structured, whether in an ascending or descending direction, and what their centre of gravity is.

Going into more musicological detail, *maqām* music is:

- 'microtonal', i.e. it is based on intervals lower or higher than those called 'tone' and 'semitone', which were tempered in the West in the first half of the 18th century. On the other hand, it is composed of 'smaller' or 'larger' intervals, derived from the elaborations of the Greek-Hellenistic world and numerous local traditions. This characteristic gives a great wealth of colours and shades and, at the same time, leads to numerous musical scales or, better, scalar models.
- 'monophonic', which means that it relies on a single melodic line (from the Greek *μνο* + *φωνή*, literally 'single' and 'voice') and there are no simultaneous superimpositions of several sounds of different pitches, the so-called 'chords', nor their relative concatenation in time: therefore the Western concept of 'harmony', which derives from it, does not exist, just as there do not seem to be widespread practices of polyphonic combination, instrumental or vocal.
- 'heterophonic' (from the Greek compound *έτερο* + *φωνή*, literally 'different' and 'voice'), the execution of the single melodic lines is therefore entrusted to several different instruments playing in unison: thanks to the timbre diversity of the instruments, to the different registers engaged (with lower or higher instruments played simultaneously) and to the (non-simultaneous) ornamentation procedures of the players, heterophony is achieved.
- Finally, concerning the rhythmic aspect, *maqām* music is based on rather complex rhythmic cycles called, in Arabic, *īqā'* (pl. *īqā'āt*) and governed by the same principle as the metric system (*'arūz*) used in poetry, based on the quantity of syllables, whereby one long syllable equals two short ones.

### Notes for an historical approach to *maqām*

Before to continue, it is important to note that in the West an historical approach to music takes place thanks to the study of *written* sources using different forms of music writing. Through time such many forms of music writing have then converged in the shared writing on staff.

Conversely, in the East music was *not written* down, but mostly transmitted orally/aurally. Yet, in this Middle Eastern and Central Asian panorama, marked by oral transmission, we find an important exception represented by the Ottoman world, in which existed various autonomous forms of notation that developed over time: from the original Byzantine notation, to the Arabic-Persian alphabetical notation (*abḡad*), to the transcriptions in Western notation made by the young Bobowski (1610?-1675?) in the 17th century, to notation systems invented by some *Mevlevī* dervishes, to the alphanumeric system of Prince Demetrius Cantemir (1673-1723), to the corpus of music transcribed by *Mevlevī* Kevserī in the 18th century, using his own system, and finally to the so-called *Hamparsum Notasi* used by the Armenian monk Baba Hampartzum Limonciyan (1768-1839), which was in widespread use until the end of the 19th century, when Western notation on staff became established.

Apart from the Ottoman exception, in the late 1800s and throughout the whole 1900s, Western-style music Conservatories were founded in many centres of the Islamic world and various (sometimes questionable) operations were carried out to transcribe the vast oral repertoire into Western notation, thus transmitting it to us in written form.

An history of Art music in the Islamic world can be outlined from those treatises on music that flourished between the 8<sup>th</sup> and 9<sup>th</sup> centuries CE, which, in addition to addressing and naming notes (itches), musical modes and rhythmic cycles, go beyond the basic data and weave a web of relations between the human being, a given musical mode and its ethos (ἦθος), that is, the ‘character’ typical of that specific mode. These three factors are then related to the given planet, zodiac sign, temperament, season and time of day that correspond to it. We find traces of this overall attitude since al-Kindī (9<sup>th</sup> century CE), but at least from the 13<sup>th</sup> century onwards this network of relations was expressed in treatises called *adwār*, literally ‘circles, circles, cycles, spheres’, born on the basis of the *Kitāb al-adwār* written by Šafī al-Dīn al-Urmawī (1230-1294).

From a strictly literary point of view, an *adwār* was composed of a first introductory part, called *muqaddima*, followed by two sections, respectively dedicated to the *maqām* and to the rhythmic cycles. The *muqaddima* opened with an invocation of religious tone followed by one or more legends recounting the origins and supernatural powers of music, often demonstrated by the figure of great legendary musicians (Pythagoras, David, Šafī al-Dīn, ‘Abd al-Qādir Marāgī, or others) who highlighted the miraculous ability of music to attract, tame, or excite animals. They then went on to relate the science of music to other ‘sciences of cycles’, such as astrology or medicine.

In addition to these treatises on music, we also find a great deal of information on music in literary works, often composed by poets and men of letters who, as was customary at the time, were also musicians; to this must be added numerous iconographic testimonies depicting instruments and scenes of music.

### **On two Central Asian *maqom***

I will propose two traditions arisen along the Silk Roads net of trade routes: the Uzbek-Tajik called *ŠašMaqom* (‘six modes’) and the Uyghur *On IkkiMuqam*.

The first seems to have originated between Bukhara and Samarkand, in nowadays Uzbekistan. Over time, through countless additions, it has been transmitted orally/aurally from the second half of the 16<sup>th</sup> century to the present day, comprising some two hundred and fifty-six vocal and instrumental pieces divided into six main musical modes which are: *Buzruk*, *Rost*, *Navo*, *Dugoh*, *Segoh*, *Iroq*. In addition to the six main modes, there are a number of secondary modes, in which the modulation moves from the main vocal parts (*nasr*).

A *ŠašMaqom* suite is named after the initial musical mode follows this general scheme:

1. A succession of exclusively instrumental pieces entitled *muškilot*, (‘difficulties’), on different rhythmic cycles;
2. A long vocal and instrumental part called *nasr* (‘victory’) which can be divided into two or three sections: the first main section is articulated in subsections (*šu'ba*) called *sarakhbōr* and *nasr*, composed in the rhythmic cycles *talqīn* and *ufar*. Overall, this first section comprises the most elaborate and difficult pieces and represents the 'high' style of the suite and the heart of the specific *maqom*;
3. The second and possible further sections (*šu'ba*) comprise ‘lighter’ songs, called *savt* and *mugulča*;

4. These main sections of the suite are concluded by dance tunes, either instrumental only or instrumental and vocal, often in ternary time with an animated, joyful tone.

In the vocal, sung section, the poetic compositions, drawn from various high-style classical authors, undergo a compositional process that follows a canonical development: the initial melodic section (*daromat*) is sung softly in the low register, often in the lowest register possible for the singer. This section is followed by a second section called *miyonparda* (or *miyonkhono*) composed a Fourth or Fifth above the initial register of the *daromat*. At the end of this, a third section called *dunasr* begins, which takes the initial melody, the *daromat*, to the upper octave: it is here that the peak, the apex, is reached, called, in Persian terms, *awj*, a term that, it should be noted, in astronomy indicates the zenith. From the *awj* the melody descends to conclude in the low register with which it began.

The *ŠašMaqom* that developed between Bukhara and Samarkand, however, is not the only corpus of tunes developed in Transoxiana: in the neighbouring courts of Khwarezm, Khiva over all, developed a variant, fixed in the mid-nineteenth century, called *AltiyarimMaqom* ('Six and a half *maqom*'). The Khiva tradition also features specific rhythmic forms and cycles, such as the *pišrov*, as well as pieces whose names also appear in the Bukhara *Shashmaqom* but which are different from Bukhara.

Further East, art music tradition developed mainly at the court of Kokand, in what is now the Fergana Valley (Uzbekistan), consists of only four autonomous suites, which is why it is called: *ČahorMaqom* ('Four *Maqoms*') which are *Bayot*, *Čahorgoh*, *Dugoh-Husayni*, *Gulyor-Šahnoz*.

During 20<sup>th</sup> century arisen classes of traditional music, taught according to the Western-Russian method known as *akademik*.

Generally speaking, musicians who studied in the traditional classes of Conservatories now make their living mainly by playing in *āsh* (*osh*), a convivial meeting held before a wedding, often at dawn, between men only, in which classical, austere music is played, but above all musicians performs and make their living in *toy(s)*, convivial festive meetings, overall the weddings.

A typical *maqom* Art music ensemble is formed today mainly by long-necked lutes *dutar*, *tanbur*, and *Kašgar-irubab* lute, better known as *rawap* among the Uyghurs, the fiddles *ghijak* or *sato*, the transverse flute *nay*, the double clarinet *qoshnay*, the zither *čang*, the frame drum *doyra*.

Continuing our journey to the East along the Silk Roads, we meet Uyghurs *muqam*, a term that contains the vast range of meanings seen above; in particular, with *OnikkiMuqam* (literally, 'twelve modes') Uyghurs mean the arrangement of different pieces, vocal or instrumental but always closely related to the dance, in large suites that present an internal modal coherence, because they are grouped according to a single mode (*muqam*, precisely) of reference.

As elsewhere, we have a mythical founder, as in the cases of Marāghī for the Ottoman tradition, of Ziryāb for the Arab-Andalusian *nūba* or of Amir Khusraw for the Hindustani tradition: in this case, the founder of the *onikkimuqam* would be the fascinating Amannisa Khān Nāfisi (1526-1560), queen of the khanate of Yarkand. According to the 1854 Uyghur treatise *Tawārīkh-i-Mūsīqīyūn* ('The Stories of the Musicians'), King Abdurashid Khan met her when she was thirteen and asked her to sing for him and she sang a *ghazal* praising the king's benevolence and...he fell in love with her. When she became queen, she composed but moreover collected, as an ethnomusicologist on the field, many musical works.

Beyond the myth, the Uyghur *OnikkiMuqam* varies today from region to region: according to scholars, the classical centres of propagation have given rise to four autonomous *muqams*: that of Kashgar/Yarkand, the *muqam* of Turfan, the *muqam* of Qumul and the very special *muqam* of Dolans.

Everywhere, regardless of region, the texts sung belong to the genre that critics describe as

amorous/mystical, deeply influenced by Sufism (*tasawwuf*). They come both from the classical poets of Central Asia of the 15th-17th centuries such as Jāmī, Navā'i, Fūzulī, and from the Uyghurs Luppī and Saqqāki. A case in point is the singing of the mystical lyrics of Ahmad Yasawi (d. 1166) as well as the poems of his followers, over all Bābārahim Māshrāb (1640-1711), which are of particular importance in Sufi circles.

A single *muqam* is a suite of melodic sequences placed in order. The very names of the twelve main modes (*muqamat*) derive from Arabic and Persian and are: *rak*, *čäbbiyat*, *mušaviräk*, *čarigah*, *pānčgah*, *özhal*, *äjäm*, *ošağ*, *bayat*, *nava*, *segah*, *iraq*.

Everywhere, the *muqam* is performed by a small ensemble of musicians and singers, led by the solo voice (*muqamči*) accompanied by plucked lutes, various types of bowed fiddles and by the frame drum (*dap*) but can also be performed in instrumental form by small timpani and oboes in ensembles called *naghra-sunay*, typical of the Chinese world.

On the whole, the instruments of the Uyghur *muqam* are particular and very 'Oriental', elaborations of instruments widespread in the Middle Eastern and Central Asian area: these include the long-necked lutes *dutār*, *tämbur*, *rawap* or *rewap*, the frame drum *dap* and the small timpani *naghra*, sometimes paired with the oboe *sunay*; the flute *nai*, transverse and made of wood as in the Central Asian area; the *qalun* plucked zither, currently the oldest example of the *qānūn* plucked zither; the *chang* beaten zither; the fiddle *satār*, *ghijek* and *khuštar*.

From a sociological point of view, *muqam* is not reserved exclusively for professional musicians; historically it was performed at court, as Art music, but also in popular contexts: men, women, beggars as well as respected religious figures can all practice the *muqam*, which is conceived as a real spiritual and physical 'necessity'. Listening to the *muqam*, and moreover to its texts, induces states of reflection, meditation and spirituality, as it happens in Uzbek-Tajik *maqom*, but this takes a particular relevance induring Xinjiangs' major religious festivities.

After this musical journey, I take leave from the kind reader wishing him/her a good continuation along the Silk Roads Soundscape.

# The Comparative Study of Rhythm in Indian, Indonesian, Thai, Chinese and Korean Music

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한국어 요약

## 한국음악장단과 인도, 인도네시아, 타이, 중국음악의 리듬(리듬) 비교

전인평(중앙대 명예교수/ 아시아음악학회 회장)

이 글은 한국음악장단을 아시아 여러 나라의 장단 이론을 비교해본 것이다. 이를 위하여 한국의 영산회상장단, 인도네시아의 인도의 딸라(tala), 인도네시아의 공간(gongan), 태국의 타오(thao), 베트남의 님(nhip) 리듬을 살펴보았다.

영산회상장단은 □동대금보□(1818)에 의하면 雙鞭鼓鞭네장구점이 20박-10박-6박으로 변화하면서 속도가 변화한다.

인도네시아의 공간은 제1단계(한장단16박), 제2단계(32박), 제3단계(64박)의 삼단계가 있다. 3단계가 가장 느리고 2단계는 중간 속도이고 1단계가 가장 빠르다. 16-32-64박마다 공이 울려서 장단 위주기를 표시하고 빠른 1단계에 간음을 넣어 느린 속도의 이라 마를 만든다. 베트남음악에서는 장단을 축(nhip)이라고 하는데, 8박한장단(nhip 8)·16박한장단(nhip 16) 그리고 32박한장단(nhip 32) 세 가지가 있다. 속도를 살펴보면, nhip 8은 allegro이고 nhip 16은 moderato 그리고 nhip 32는 andante에 속한다. 태국의 타오(thao form) 형식 역시 확장과 축소에 의한 3단계 변화를 보인다. 빠른 찬시오(chandio)와 중간 속도의 송찬(songchan) 그리고 느린 삼찬(samchan)이 있는데, 16박-32박-64박으로 변화하며 만중삭을 이룬다.

한국음악 장단과 아시아 네 나라의 장단을 비교해보면 다음과 같은 공통점이 있다.

첫째, 장단의 박수가 2배로 확대되어 새로운 장단을 만들고 속도가 느려진다.

둘째, 새로 만든 느려진 장단은 원곡의 앞에 연주하고, 다시 변주하면 그 곡의 앞에 연주한다.

셋째, 따라서 박수(meter)가 많을수록 느리고 박수가 적을수록 빠른 경향을 보인다.

다음 사항은 한국음악 장단에서 볼 수 있는 다른 점이다.

첫째, 아시아 여섯 나라 의장단은 박수가 1:2로 규칙적으로 변화한 데 비하여 한국음악은 규칙성이 흐트러진다.

둘째, 아시아 여섯 나라의 장단은 영산회상은 박수가 적은 음악이 원곡이고 박수가 늘어난 장단이 변주곡인 데 비하여 한국의 영산회상 은상 영산이 원곡이고 다른 음악이 변주곡이다.

이처럼 한국음악 장단은 다른 나라 의장단과 비교해보면, 공통점이 있고 다른 점을 보이고 있는데, 이러한 양상은 앞으로 연구해 볼 과제이다.

### Abstract:

This article aims to draw a comparison of Korean *jandan* to that of some Asian countries and looking into the way in which tempo creates different variants. One common characteristic among the various forms of Asian music covered in this paper is that they change the tempo of their rhythms by

extension and reduction of beats. This study focuses on tempi and related rhythm patterns of the Asian countries. The study looked at *Tala* of India, *Irama* of Indonesia, *Nhip* of Vietnam, the *Thao* of Thailand, *Jiangnan sizhu's Jiezou* (節奏) of China, *Jangdan* of Korea for comparison. India's ancient literature on theaters, *Natya Sastra*, records a form of ancient Indian music called *tala*. *Tala*'s speed from slow, medium to fast repeats every 24-12-6 beats. *Irama* of Indonesia has three levels of tempi starting from the third level called first level going up to the second and first level. The tempo grows faster from the third to the first level. The note where the *gongis* played is marked every 64-32-16 beats and the identical pattern changes by their expanding and cut back of beats. Rhythm in Vietnamese music is called *nhip*. *Nhip* 32 is equivalent to Adagio and *nhip* 16 is moderato, *nhip* 8 is allegro. Thailand's *Thao* also show three different speed levels by expansion and contraction of density. *Samchan* is the slower *thao*, *songchan* is medium speed, and *chandio* has a fast tempo. The rhythmic pattern of speed change as slow-medium-fast is 32-16-8 beats or 64-32-16 beats each. *Jiangnan sizhu* (江南絲竹) that originates from southern China has *jiezou* (節奏). Slow tempo is called *man ban* (慢板) which is a slow music progressing at 4/4. Medium tempo is a 2/4 called *jung ban* (中板). Faster music is called *won ban* (原板) which plays at 1/4. The rhythm of Korean music also shows speed variations by augmentation and diminution of its density. *Sejong sillok Bong-rae-ui* (鳳傑儀), records one cycle of tempo patterns of slow-medium-fast at every 64-32-16 notes. It takes on the pattern of *sanjom* music that progresses in the order of *jinyangjo* (24 beats) - *jungmori* (12 beats) - *jajinmori* (4 beats). As shown in my analysis of *jangdan* of some Asian music, the longer *jangdan* is, the slower is its tempo, and the shorter it is, the faster is its tempo. I was able to confirm common ground that *jangdan* creates slower ones by expanding in on fast ones. This comparative study can give better insight into the processes that Asian countries have long been developed their music throughout mutual influences.

### **[key words]**

Rhythm, *Tala*, *Irama*, *Nhip*, *Thao*, *Jiezou*, *jangdan*, Indian music, Indonesian music, Vietnamese music, Thai music, Chinese music, Korean music, beats, tempo, augmentation, diminution.

### **Introduction**

*Jangdan* (rhythmic cycle, literally means 'long' and 'short') is an essential element to form traditional Korean music. Based on my study on *Jangdan* of *Bongraeui*, the 15th century's music under the reign of the King Sejong, I found out that there was a close relationship between its length and tempo. In the first piece of music, one *jangdan* consists of 64 beats with a relatively slow tempo; in the second one it has 32 beats with a medium tempo; in the third one it comprises 16 beats with a relatively fast tempo. (Chun 1991). From this finding, when a length of *jangdan* is long, its tempo gets slow, or vice versa. During my field research in Asian regions, I identified with the same principles that were adapted to the music of India and China, not just in Korean music. This supports the fact that such equivalent musical term like *jangdan* also existed in Asian music: *Tala* of India, *Irama* of Indonesia, *Nhip* of Vietnam, *Thao* of Thailand, *Jiezou* of China. This article aims to draw a comparison of Korean *jangdan* to that of some Asian countries and looking into the way in which tempo creates different variants. One common characteristic among the various forms of Asian music covered in this paper is that they change the tempo of their rhythms by augmentation and diminution of beats.

## **Tala in Indian music**

*Natya Sastra* - a second-century Indian treatise on music - shows how music was used in performance art in ancient India. In the *Natya Sastra*, there are five principal *talas*: *cancatputa*, *capaputa*, *pancapani*, *sampakvestaka* and *udghattah*.<sup>1</sup> In Indian *tala*, three kinds of syllables are used, referring to notes of long duration, short duration and *pluta* (very long duration).<sup>2</sup> Accordingly, the long syllable is interpreted as signifying two beats, the short one as signifying one beat, and *pluta* as signifying three beats.<sup>3</sup>

The structures of the five principal *tala* detailed in the *Natya Sastra* will now be detailed, one by one:

- 1) *Cancatputa* consists of two long syllables, one short syllable, and one *pluta*, i.e 2:2:1:4.<sup>4</sup>
- 2) *Capaputa*, a kind of *tryasra*, consists of one long syllable, two short syllables, and one long syllable i.e 2:1:1:2.<sup>5</sup>
- 3) *Pancapani* consists of one *pluta*, one short syllable, two long syllables, one short syllable and one *pluta* i.e 3:1:2:2:1:3.<sup>6</sup>

This *tala* is also called *satpitaputraka* and consists of the following succession of strokes: *ssang(sannipata)*, *Go(tala)*, *pyeon(samya)*, *Go(tala)*, *pyeon(samya)* and then *Go(tala)*.<sup>7</sup>

- 4) *Sampakvestaka* is a *tryasra tala*, consisting of five long syllables, of which, the first one and the last one are *pluta*. i. e. it has a 3:2:2:2:3 formation. The *pata* of this *tala* is as follows: *ssang(sannipata)*, *Go(samya)*, *pyeon(tala)*, *Go(samya)* and *pyeon(tala)*.<sup>8</sup>

- 5) *Udghattah* consists of three long syllables played as follows: mute(silent, *niskrama*), *Go(samya)* and *Go(samya)*.<sup>9</sup>

The following diagrams detail these five principal *tala* using Korean mensural notation. Again, a long syllable is indicated by two squares, a short syllable by a single square and a *pluta* by three squares.<sup>10</sup>

### <Example 1> The five *tala* of the *Natya Sastra*

a) *cancatputa*

sam		sa		ta	sa		
-----	--	----	--	----	----	--	--

b) *capaputa* - this *tala* has two different versions:

1) ta		sa	ta	sa	
2)sa		ta	sa	ta	

c) *pancapani*

sam			ta	sa		ta		sa	ta		
-----	--	--	----	----	--	----	--	----	----	--	--

d) *sampakvestaka*

sam			sa		ta		sa		ta		
-----	--	--	----	--	----	--	----	--	----	--	--

e) *udghattah*

ni		sa		sa	
----	--	----	--	----	--

Each of the five tala can be executed in three different ways: *ekakala vidhi*, *dvikala vidhi* or *catuskala vidhi*. Each of these interpretations involves playing the basic pattern using a different number of *matra* (pulses) and *kala* (a metrical unit of twice the durational value as a *matra*). Thus, *ekakala vidhi* consists of two *matra*, *dvikala vidhi* consists of four *matra* and *catuskala vidhi* consists of eight *matra*.<sup>11</sup>

The paper examines musical forms found in Indian music and compares them to rhythms of traditional Korean music by looking at musical patterns in *Dongdegeumbo*, a Korean musical treatise in the 19th century. The *dodurijangdan* (rhythm) in *Yeongsan hoesang*, a Korean court music repertoire in *Dongdegeumbo*, adopts the same 2:1:1:2 *capaputa* rhythm found in *Natya Sastra*<sup>12</sup>.

The six beats, 10 beats and 20 beats rhythms in *Dongdegeumbo* expanded versions six beats structure (divided into 2:1:1:2 proportions) of *dodurijangdan*. All three rhythms follow the same long-short-short-long pattern.

<Example 2> Three patterns of *Capaputa tala* in *Natya Shastra*, and three rhythmic patterns of *Yongsanhwesanjangdan* in *Dongdegeumbo*.

1) The patterns of *capaputa*

a) *ekakala vidhi* (6 beats)

sa		ta	sa	ta	
----	--	----	----	----	--

b) *dvikala vidhi* (12 beats)

ni		sa		ta		sa		ni		sam	
----	--	----	--	----	--	----	--	----	--	-----	--

c) *catuakala vidhi* (24 beats)

a		ni		vi		sa		a		ta	
---	--	----	--	----	--	----	--	---	--	----	--

vi		sa		a		ni		vi		sam	
----	--	----	--	---	--	----	--	----	--	-----	--

2) Three patterns of rhythms in *Yeongsan hoesang*. Below is an excerpt from *Dongdaegeumbo* on *Yeongsan hoesang* rhythms<sup>13</sup>.

2:1:1:2 beats in chapter two of *Sakyongsan* and chapter five of *Karakduri*.

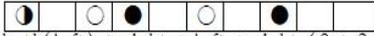
a) *yeombuldodri* (6 beats)



both : right:left:right (2 : 1 : 1 : 2)

雙 鞭 鼓 鞭 (2 : 1 : 1 : 2)

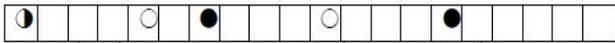
b) 3:2:2:3 beats in chapter two of *Sakyongsan* and chapter five of *Karakduri*.



both(left) : right : left : right (3 : 2 : 2 : 3)

雙 (鼓)鞭 鼓 鞭 (3 : 2 : 2 : 3)

c) 6:4:4:6 beats of *Janggu* rhythm in chapter one from *Manyongsan*, *Jungyongsan*, *Sakyongsan*.



both(left) : right : left : right (6 : 4 : 4 : 6)

雙 (鼓) 鞭 鼓 鞭 (6 : 4 : 4 : 6)

All three *janggu* rhythms above follow a long-short-short-long pattern by taking out a *janggu* rhythm and expanding it into 2:1:1:2, 3:2:2:3, 6:4:4:6 structures. The predecessor to *janggu* can be found in *Natya Shastra*, which introduces a slow-medium-fast rhythm called *man-jung-sak*. This second century treatise is the oldest literature on *man-jung-sak* in Asia.

<figure 1>*Tabla*; the percussion instrument of north India.



### III. *Gongan* in Indonesian music

*Gongan* is a periodically repeated unit, and the *gong* is used to indicate the end of each period. *Gongan* is a concept equivalent to Korea's *Jangdan*, India's *Tala* and Japan's *Hyosi*.

The basis of *Gongan* consists of two notes. The first note is up-beat and the second note is downbeat. The upbeat and downbeat always come in pairs. The upbeat is called *ding* and the downbeat is called *dong*, with *dong* being more important as it is a downbeat. Consequently, the music is always in duple meter, and the meter is always a multiple of 2. *Gong* indicates the unit length of the *gongan*.

*Gongan* consists of periods in duple meters. The duple meter unit branches into 4 beats, 8 beats, and 16 beats, and so on.

Each unit of *gongan* is indicated by *gong*. The units marked by *gong* are linked together, and the *gong* is played at each link. The sound of the gong indicates both the end of a period and the beginning of a new period.

The *gongan* expands when each beat is split in two. In other words, the up-beat is split into up-down, and the downbeat is split into down-up. Even when the beats are split in two, the accent of beats in up-down are maintained.

The following score shows how the *ketuk*, *kenong*, and *gong* are played. The notations in 't',

‘kn’, and ‘g ’indicate *ketuk*, *kenong*, and *gong*, respectively (Chun and Hahn 1989).

< Example 3> Gong in the Gamelan melody

(The last ‘kn’ also indicates where the gong is played. In Gamelan melody, the gong is played on the last note of the rhythm.)

Kn

2 1 2 6 2 1 6 5  
t p t

Kn

6 5 2 1 3 2 1 6  
t p t

Kn

2 3 2 1 6 5 2 1  
t p t

Kn

3 2 1 6 2 1 6 5  
t p t G

This score shows that the *gong* is played at the end of the 32-beat music to indicate the end of a part.

Next, we will look at the Three-speed progression of the *Gamelan* melody.

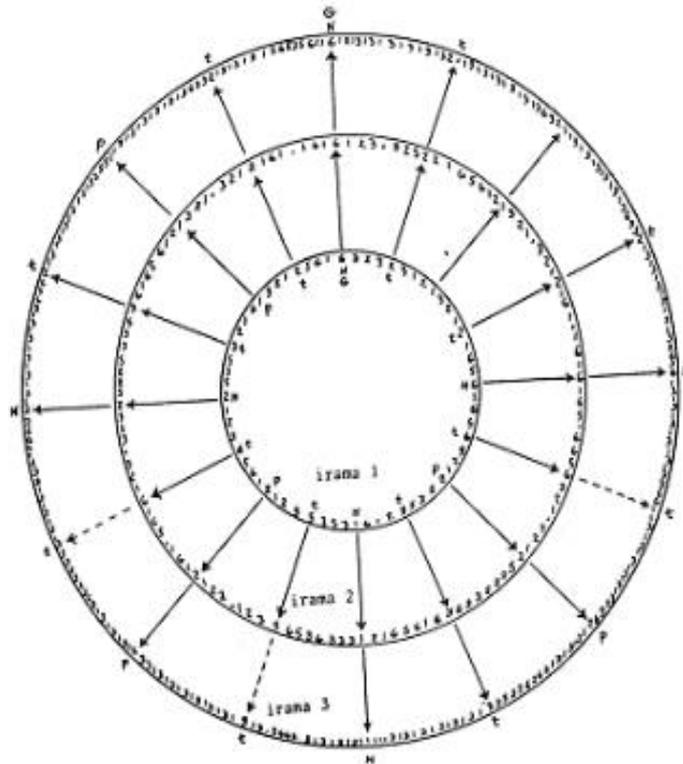
The following is the *balungan* of *Ladrang Pangkur* in Yogyakarta style. The three-speed progression for this music is as follows.

< figure 2> shows the Three-speed progression of the Indonesian Gamelan irama. The 4-beat of the first speed expands to 8-beat in the second speed, which then expands to 16-beat in the third speed. In the first speed, the music is 48-beat, 96-beat in second speed, and then increased to 192-beat in third speed.

G refers to *Gong*, which is hit once at the end of each *gongan*. N refers to *Kenong*, which is an instrument smaller than *Gong*. *Kenong* strokes divide one phrase into four parts, which means that it is hit at the end of each such part. P refers to *Kempul* that divides one phrase into eight parts. t refers to *ketuk* that is used to divide one phrase into sixteen parts.

< figure 2> Three speed progressions of Indonesian *Irama*

Starting from the center of the chart, each circle represents the fastest, medium and the slowest *Irama*. If beats are added to the fastest *Irama*, it becomes the medium *Irama*, and adding more beats would make it the slowest *Irama* (Judith Becjer 1980).



Indonesian *Gong* is made of bronze. It not only signals the different speed of *Irama* but also demarcates the end of each phrase. There are three speed progressions of *Irama* and the progressions are made by augmentation and diminution of beats.

<Figure 2> Persons playing Indonesian *gamelan*



<Figure 3> *Gong Ageng* with different pitches



<Figure 4> In *gamelan*, *Gong* demarcates each rhythmic cycle. One *gong* sounds every 64, 32, 16 beats, each for the slowest, medium and the fastest *Irama*.



### ***Nhip* in Vietnamese music**

Vietnam also has a musical meter akin to Korea's *jangdan*. Koreans tend to associate the marking of *jangdans* with a strike of *janggu*, but in the 15<sup>th</sup> century King Sejong the Great's era, *jangdan* was marked with *bakpan*. The Chinese used the term *jeolju* for *jangdan*, which was also marked with *bakpan*. The Japanese also used the *bakpan*, which was called *hyoshi*. Vietnam's *bakpan* is a foot clapper called song loan. The song loan has already been introduced at length in the "Vietnam's Instruments' section.

*Nhip* is the Vietnamese term for *jangdan*, which is marked by a beat called *phách*. Vietnam's *jangdan* is categorized into five subgroups based on the length of the beats; 32 beats *jangdan*, 16 beats *jangdan*, 8 beats *jangdan*, 4 beats *jangdan* and 2 beats *jangdan*. On a 32 beat *jangdan*, the player hits the song loan, which is the *bakpan*, every 32 beats.

The following is the visual depiction of Vietnamese *jangdan*. In the picture, - represents downbeat and + represents upbeat. - and + combined form one beat. Vietnamese music starts on a downbeat, just as Indonesian music does. marks the song loan, which comes at the very end of a *jangdan*. This is identical to how the player strikes the *bakpan* at the end of a *gu* in the *Dangak* in *Shiyonghak-akbo*.

<Example 4> Five subgroups of Vietnamese *Nhip*.

#### ① *nhip* 32

- + - + - + - + - + - + - + - + - +  
 - + - + - + - + - + - + - + - + - +  
 - + - + - + - + - + - + - + - + - +  
 - + - + - + - + - + - + - + - + - +  
 □

#### ② *nhip* 16

- + - + - + - + - + - + - + - + - +  
 - + - + - + - + - + - + - + - + - +  
 □

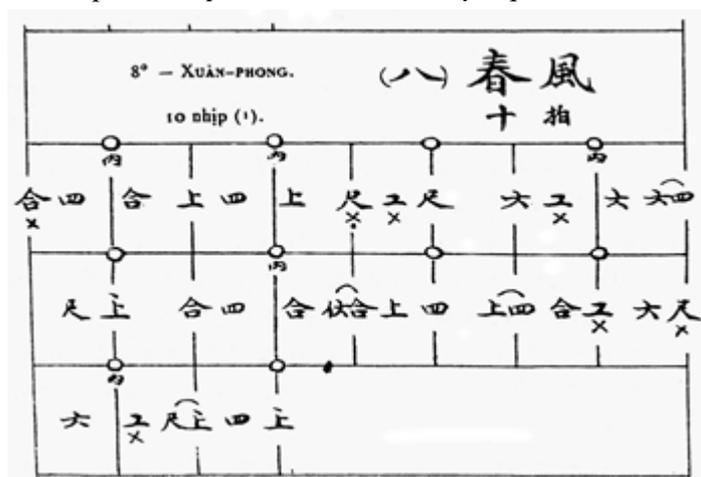
#### ③ *nhip* 8

- + - + - + - + - + - + - + - + - +

Professor Nguyen Van Doi of Hochimin Conservatory of Music stated that *nhip* 32 and *nhip* 16 are equivalent to adagio, *nhip* 8 and *nhip* 4 are moderato, and *nhip* 2 and *nhip* 1 are presto<sup>14</sup>.

On the other hand, the *nhip* has other significance as well. *Nhip* indicates beat, which also signifies *jangdan*, as Japanese *gagaku*'s *hyoshi* does. So *nhip* 10 is 10 *jangdan*, *nhip* 32 is 32 *jangdan* and *nhip* 64 is 64 *jangdan*. In the Japanese 『Jinjiyoroku』, beat 12 is 12 *jangdan* and beat 14 is 14 *jangdan*. In Japanese *gagaku*, a *taiko* marks the *jangdan*. This means that Korea's *bakpan*. and the Japanese *taiko* serve the same purpose. Next, we will look at Vietnamese *yueqin* scores.

< Example 5> *Nhip*10 on a Vietnamese *yueqin* score



Let's now turn to three different rhythmic patterns, the *jangdan*. The three rhythms are *Kho phách mot* (單拍), *Kho phách doi* (雙拍), and *Kho phách ba* (三拍). The rhythms are made according to how many times the *song loan* (拍) is clapped. In *Kho phách mot*, the instrument is hit once in a rhythm, which is same as *Il-pan-il-an* (一板一眼) in Chinese music. *Kho phách doi* is produced when the body of the instrument is hit twice in a rhythm, which is *Il-pan-i-ran* (一板二眼) in Chinese music. The *song laon* is hit about three times in *Kho phách ba*, and the Chinese equivalent is *Il-pan-sam-an* (一板三眼).

These three rhythmic patterns are same as the Chinese *Pansik* (板式), but the tempo is different. *Il-pan-sam-an* is slow while *Il-pan-i-ran* is medium tempo and *Il-pan-mu-an* (一板無眼) is fast. On the other hand, rhythmic patterns in Vietnamese music have little to do with tempo. 'Little' here refers to some music having a correlation while some music having none. This could be a variation of the Chinese music theory that happened as Chinese music was transferred to Vietnam.

The score <12-4> shows the three rhythmic patterns of the Vietnamese music. This Vietnamese literature was published in 1928. Study of the document allows us to take a glimpse into the music in the 20th century. And the reference titled *Nameum* (南音) shows how Chinese *Nameum* (南音) was transferred to Vietnam.

There are three speed progressions of *nhip* are made by augmentation and diminution of beats.

< Example 6 > Vietnamese Patch co bon kho

Phách có bốn khỗ :

1 - Khỗ phách một (单 拍) 

|   |   |   |   |
|---|---|---|---|
| 1 | 2 | 3 | 4 |
|   |   |   | ● |

  
nghĩa là một khỗ chỉ có một tiếng phách mà thôi. Như khỗ phách của điệu Lưu-thủy, điệu Kim-tiền điệu cò-bản vãn vãn. . .

2 - Khỗ phách đôi (雙 拍) 

|   |   |   |   |
|---|---|---|---|
| 1 | 2 | 3 | 4 |
|   | ● |   | ● |

  
nghĩa là một khỗ có hai tiếng phách : một tiếng phách con và một tiếng phách cái.

Như khỗ phách điệu Thái bát-bông, điệu ca Hành-vãn, vãn vãn. . .

3 - Khỗ phách ba (三 拍). 

|   |   |   |   |
|---|---|---|---|
| 1 | 2 | 3 | 4 |
| ○ | ● | ● | ● |

  
nghĩa là một khỗ có ba tiếng phách ; hai tiếng phách con và một tiếng phách cái. Như khỗ phách điệu Tứ-vy và các điệu nam, vãn vãn. . .

< Example 7 > Vietnamese of *Điệu ca lưu-thủy*

6. **Điệu ca lưu-thủy** (1)

(hát trung bình - Phách một)

|                                  |   |   |   |   |   |   |   |
|----------------------------------|---|---|---|---|---|---|---|
| 1                                | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| Y                                | Y | Y | 合 | 伏 | 合 | 四 | 上 |
|                                  |   |   | ● |   |   |   | ● |
| dời gặp dời canh tranh           |   |   |   |   |   |   |   |
| Y                                | 天 | 上 | 合 | 伏 | 合 | 四 | 上 |
|                                  |   |   | ● |   |   |   | ● |
| khuyên ai mà tuổi tác xuân xanh  |   |   |   |   |   |   |   |
| Y                                | 天 | 天 | 上 | 天 | 合 | 四 | 上 |
|                                  |   |   | ● |   |   |   | ● |
| Gua n'au vào sân không cửa trính |   |   |   |   |   |   |   |
| Y                                | 天 | 上 | 四 | 上 | 四 | 合 | 上 |
|                                  |   |   | ● |   |   |   | ● |
| cấm mà học cho đặng tấn tới      |   |   |   |   |   |   |   |
| Y                                | 工 | 天 | 上 | 工 | 上 | 工 | 天 |
|                                  |   |   | ● |   |   |   | ● |
| tới con đường tới đường vãn minh |   |   |   |   |   |   |   |
| Y                                | 存 | 天 | 上 | 工 | 尺 | 工 | 六 |
|                                  |   |   | ● |   |   |   | ● |
| sì nông thương cò bách công      |   |   |   |   |   |   |   |

<figure 5> Vietnamese *song loan* used as foot clapper



### **Thao in Thai music**

Thailand's rhythmic pattern, *the jangdan*, is called *Thao*. *Thao* shows three speed progressions, which are made by extension and cutback of beats. *Thao* is produced by instruments *thon* and *rammana*. The basic patterns include *samchan* (slow speed), *songchan* (medium speed), and *chan dio* (fast speed) all produced by extension and cutback of beats.

In music 't' stands for ting, 'th' stands for thang, 'j' stands for *jong*, and 'ja' refers to 'ja'. The first part is *nathap prokai*, and the second part is *nathap songmai*.

< Example 8> Three different rhythm of Thailand's *Thao*<sup>15</sup>

#### **a. Sam chan, 16 beats.**

ching chab  
|- - tum ting|tum ting jo ja|- - jo ja|- - jo - ja  
ching chab  
|- - - yut |- - jo ja |- - jo ja|- - jo ja  
ching chab  
|- ting - ting|- tum ting tum|- - tum ting|tum ting jo ja  
ching chab  
|- ting - tum |- ting - ting|- tum - ting|- ting - tum

#### **b. Song chan, 8 beats,**

ching chab ching chab  
|- - tum ting|tum ting jo ja|- - jo ja|- - jo ja  
ching chab ching chab  
|- ting - tum|- ting - ting|- tum - ting|- ting - tum

#### **c. Chan dio, 4beats.**

ching chab ching chab  
| - - ting tum| - ting - - |  
|ting tum - ting| - tum ting tum|

Thai musical instrument Ching is made of brass and is used to keep the tempo and regulate melody under the song form of *thao*. Each cycle of *thao* is called gong. There are three different phases of the rhythm in *Thao*- slow rhythm (*sam chan*), doubles that rhythm with a basic melodic statement

(*song chan*), a melody at a very fast tempo (*chan dio*). Tao forms the typical pattern of *nathap songmai* (32 beats-16 beats-8 beats) or *nathap prokai* (64 beats -32 beats-16 beats).

There are three speed progressions of *thao* are made by augmentation and diminution of beats.

### Jiezou in the music of China

*Jiezou* (節奏) in the music of Southern China (江南絲竹) that is deeply related to the the slow-medium-fast rhythm (*man-jung-sak*). The slowest rhythm is called *manpan* (慢板 4/4 slow or *sanban*三板), where slow tempo is kept throughout the music. Faster rhythm is called *jungpan* (中板 2/4 middle or *er ban*二板) and the fastest is called *weonpan* (原板 1/4 fast, or *touban* 頭板).

*Wean pan* is the original music piece while there is variation. *Man zhong kuai* form of *Hwanglis* is divided into *touban* 頭板, *er ban*二板, and *sanban*三板, the latter of which constitutes the original, unornamented theme of the music. *Touban*, played in a slow 4/4 meter, involves the most additional ornamentation, whilst *er ban*, played in a medium tempo 2/4 metre involves rather less ornamentation. Lastly, *san ban*, the basic tune, employs a fast 1/4 metre.

< Example 9> *Tou ban, er ban and san ban* of *Hwanlis*

|                     |               |                                       |
|---------------------|---------------|---------------------------------------|
| <i>touban</i> (頭板)  | $\frac{4}{4}$ | 2.            3 2 3 2 1   7 7 1 2 3 2 |
| <i>er ban</i> (二板)  | $\frac{2}{4}$ | 2 3 2 1   7 2 7                       |
| <i>san ban</i> (三板) | $\frac{1}{4}$ | 2 1   7                               |

|    |                               |
|----|-------------------------------|
| 1. | 3 2 2 7   1 2 1 -   7 - 1 2 1 |
| 1. | 2   1 2 1   7 1               |
|    | 1 2   1   7 1                 |

|   |                                 |
|---|---------------------------------|
| 5 | 5 5 1 5 7   1 - 2 3 2   1 2 1 3 |
|   | 5 1 5 7   1. 2   1 2 1          |
|   | 5 7   1 2   1                   |

If one analyses the musical material represented above, it is clear that three movements use the same notes as one another at the beginning of every successive bar. Counting the notes on the first line, *san ban* has just two notes, *er ban* has four notes, and *tou ban* has six notes. In this music, then, the slower the music is, the more notes are added to the skeleton melody. *Liu qing liang*<sup>16</sup>, one of the most famous tunes of the *jiang nan si zhu* 江南絲竹 repertory, similarly employs the *man zhong kuai* form 慢中快形式.)<sup>17</sup>

< Example 10> *Man ban*, *zhong ban* and *yuan ban* of *liu qing liang*

a. *Kuai ban*

$$\frac{1}{4} \begin{array}{|l} \underline{6\ 1} \ \underline{2\ 1} \ | \ 2 \ 0 \ 3 \ | \ \underline{5\ 6} \ \underline{4\ 3} \ | \ \underline{2\ 5} \ \underline{3\ 1} \ | \ 2 \ \underline{0\ 3} \ | \\ \underline{6\ 2} \ \underline{1\ 6} \ | \ \underline{5\ 0} \ \underline{6} \ | \ \underline{5\ 1} \ \underline{6\ 5} \ | \ \underline{6\ 4} \ \underline{0\ 5} \ | \ \underline{6\ 5} \ \underline{4\ 3} \ | \\ 2 \ \underline{4\ 6} \ | \ 5 \ \underline{4\ 5} \ | \ \underline{6\ 5} \ \underline{4\ 3} \ | \ \underline{2\ 5} \ \underline{3\ 1} \ | \ 2 \ \dots\dots \end{array}$$

b. *Zhong ban*

$$\frac{2}{4} \begin{array}{|l} \underline{6\ 6\dot{1}} \ \underline{2\ 3\ 1} \ | \ 2 \ 0 \ 3 \ | \ \underline{5\ 6\dot{1}} \ \underline{6\ 5\ 3} \ | \ \underline{2\ 3\ 5} \ \underline{3\ 2\ 1} \ | \ 2 \ \underline{2\ 3\ 2\ 1} \ | \\ \underline{6\ 1\ 2\ 3} \ \underline{2\ 1\ 6} \ | \ \underline{5\ 0\ 6} \ | \ \underline{5\ 1} \ \underline{6\dot{1}\ 6\ 5} \ | \ \underline{6\ 5\ 4} \ \underline{0\ 5} \ | \ \underline{6\dot{1}\ 6\ 5} \ \underline{4\ 3} \ | \\ 2 \ \underline{4\ 5\ 4\ 5} \ | \ 5 \ \underline{4\ 5\ 4\ 5} \ | \ \underline{6\dot{1}\ 6\ 5} \ \underline{4\ 3} \ | \ \underline{2\ 3\ 5\ 6} \ \underline{3\ 2\ 1} \ | \ 2 \ \dots\dots \end{array}$$

c. *Man ban*

$$\frac{4}{4} \begin{array}{|l} \underline{6\cdot 1} \ \underline{6\ 6\dot{1}} \ \underline{2\ 2\ 3} \ \underline{2\ 3\ 6\dot{1}} \ | \ 2 \ 0 \ 3 \ \underline{2\ 3\ 1} \ \underline{2\ 1\ 2\ 3} \ | \ \underline{5\ 4\ 5} \ \underline{6\ 7\ 6\ 5} \ \underline{4\ 5} \ \underline{4\ 3} \ | \\ \underline{2\ 3} \ \underline{5\ 6} \ \underline{3\ 5\ 3\ 2} \ \underline{1\ 3} \ | \ 2 \cdot 1 \ \underline{2\ 3\ 5} \ \underline{3\ 2\ 1} \ | \ \underline{6\ 1\ 2} \ \underline{3\ 5\ 3\ 2\ 1} \ \underline{6\ 1\ 2\ 3} \ | \\ 5 \ \underline{0\ 6} \ \underline{5\ 6} \ \underline{5\ 6} \ | \ \underline{5\ 3\ 5\ 6} \ \underline{1} \ \underline{6\ 5\ 1} \ \underline{6\dot{1}\ 5} \ | \ \underline{6\dot{1}\ 6\ 5} \ \underline{4\ 5} \ \underline{4\ 5} \ \underline{4\ 5\ 4\ 5} \ | \\ \underline{6\ 1} \ \underline{6\ 5} \ \underline{4\ 6\dot{1}} \ \underline{6\ 5\ 4\ 3} \ | \ 2 \cdot 0 \ \underline{4\ 5} \ \underline{4\ 5\ 6} \ | \ \underline{5\ 6} \ \underline{5\ 6\ 5\ 6} \ \underline{4\ 5} \ \underline{4\ 5\ 4\ 5} \ | \\ \underline{6\ 1} \ \underline{6\ 5} \ \underline{4\ 6\dot{1}} \ \underline{6\ 5\ 4\ 3} \ | \ \underline{2\ 3} \ \underline{5\ 6} \ \underline{3\ 5\ 3\ 2} \ \underline{1\ 2\ 6\dot{1}} \ | \ 2 \ \dots\dots \end{array}$$

a) *Kuai ban* in 5 line notation

b) *Zhong ban* in 5 line notation

c) *Man ban* in 5 line notation



In *jiang nan si zhu* 江南絲竹, there are three important techniques used to bring about a change in rhythm, namely, *jie zou dui bi* 節奏對比 (meaning, literally, to change rhythm), *yin yu du bi* 音域對比 (literally, to change register), and *ji pa dui bi* 技法對比 (literally, to change instrument-playing technique). The previous extract exemplifies the technique of *jie zou dui bi*.

There are three speed progressions of *jiezou* are made by augmentation and diminution of beats.

<Figure 6> Chinese clapper



### **Jangdan in Korean music**

In Korean music, *janggu*, the gong and *bakpan* constitute the *jangdan* (rhythmical pattern). Generally, *janggu's hap-jangdan* (played using both *yeolchae* on the right hand and *gungchae* on the left hand) is used to mark each section of the *jangdan*, while *nongak* (Korean folk music) uses the gong and *bakpan* sounds are used in *dangak* and *hyangak*.

The score of a type of dance music named *bonglaeui* composed by King Sejong the Great appears in the *Sejong sillok* (Sejong chronicles). According to the score, a single *jangdan* of the slowest dance music, or *yeominlak* consists of 64 beats, while the *jangdan* of the moderate speed music, *chihwapyeong* consists of 32 beats and that of the fastest music, *chipunghyang*, 16 beats.

When playing *janggu*, the cycle of the *jangdan* is marked by the use of *hap-jangdan*, where both sides of the *janggu* is played, and in *nongak*, the gong marks the cycle of the *jangdan*. In most cases,

when both *janggu* and the gong is played in *nongak*, *janggu's hap-jangdan* is met with the hitting of the gong.

Here is a score that displays the three-phase model of the extension and cutback of *jangdan* in Korean music. This is a score for *janggu*.

< Example 11 > The Three-phase Model of the augmentation and diminution of *Jangdan* in Korean sanjo music (*Jinyanjo*, *jungmori* and *jajinmori*)

The image shows a musical score for the Janggu instrument, illustrating the three-phase model of augmentation and diminution. The score is divided into three sections: Jinyangjo (진양조), Jungmori (중모리), and Jajinmori (자진모리). Each section is written on a single staff with a treble clef and a 3/8 time signature. The notes are labeled with Korean characters: a (쌍), b (편), c (고), d (편), e (고), f (편), g (고), and h (편). The first section, Jinyangjo, is marked with a 3x24 time signature. The second section, Jungmori, is marked with a 12/4 time signature. The third section, Jajinmori, is marked with a 12/8 time signature. Dashed lines connect the notes between the sections, showing the progression of the melody. The notes are grouped into three phases: Phase 1 (a, b, c), Phase 2 (d, e, f), and Phase 3 (g, h). The notes are written in a rhythmic pattern that changes from 24 beats in the first phase to 12 beats in the second phase, and finally to 4 beats in the third phase.

As I mentioned, the Korean gong is made of brass and round shaped and serves to mark the speed and cycle of the *jangdan*. The speed changes in three phases through augmentation and diminution. The three phases are 64 beats-32 beats-16 beats in *bonglaeeui*, the 15c dance music seen in *Sejong sillok* (Sejong chronicles), and 20 beats-10 beats-5 beats in *yongsanhoesang* (the most representative chamber ensemble of Korea). *Sanjo* (a form of instrumental folk music) shows a structure of 24 beats-12 beats-4 beats. Typically, in the traditional music of other countries, the number of beats halves as the music<sup>18</sup> proceeds to the next phase, but Korean music does not fit the typical rhythmical pattern. This attests to the level of freedom allowed in Korean music.

## Conclusion

This study focuses on tempi and related rhythm patterns of the Asian countries. The study looked at *Tala* of India, *Irama* of Indonesia, *Nhip* of Vietnam, the *Thao* of Thailand, *Jiangnan sizhu's Jiezou* (節奏) of China, *Jangdan* of Korea for comparison.

India's ancient literature on theaters, *Natyasastra*, records a form of ancient Indian music called *tala*. *Tala's* speed from slow, medium to fast repeats every 24-12-6 beats.

*Gongan* of Indonesia has three levels of tempi starting from the third level called first level going up to the second and first level. The tempo grows faster from the third to the first level. The note where the *gong* is played is marked every 64-32-16 beats and the identical pattern changes by their expanding and cut back of beats.

Rhythm in Vietnamese music is called *nhip*. *Nhip 32* is equivalent to Adagio and *nhip 16* is moderato, *nhip 8* is allegro. Thailand's *Thao* also show three different speed levels by expansion and contraction of density. *Samchan* is the slower *thao*, *songchan* is medium speed, and *chandio* has a fast tempo. The rhythmic pattern of speed change as slow-medium-fast is 32-16-8 beats or 64-32-16 beats each.

*Jiangnan sizhu* (江南絲竹) that originates from southern China has *pansik* (板式). Slow tempo is called *man ban* (慢板) which is a slow music progressing at 4/4. Medium tempo is a 2/4 called *jung*

*ban*(中板). Faster music is called *won ban*(原板) which plays at 1/4.

The rhythm of Korean music also shows speed variations by expansion and contraction of its density. *Sejong sillok Bong-rae-ui* (鳳傑儀), records one cycle of tempo patterns of slow-medium-fast at every 64-32-16 notes. It takes on the pattern of *sanjo* music that progresses in the order of *jinyangjo* (24 beats) - *junmori* (12 beats) - *jajinmori* (4 beats).

As shown in my analysis of *jangdan* of some Asian music, the longer *jangdan* is, the slower is its tempo, and the shorter it is, the faster is its tempo. I was able to confirm common ground that *jangdan* creates slower ones by expanding in on fast ones. This comparative study can give better insight into the processes that Asian countries have long been developed their music throughout mutual influences. This would provide us with the basic ideas that music evolves through interchanging with neighboring countries, thus it is necessary for us to keep trying mutual improvement throughout international exchange.

<Table 1> Triple speed musical form and beats

|   | Slow | Medium | Fast |
|---|------|--------|------|
| Indian <i>tala</i>                        | 24   | 12     | 6    |
| Indonesian <i>gongan</i>                  | 64   | 32     | 16   |
| Thai <i>thao</i>                          | 48   | 24     | 12   |
| Vietnamese <i>nhip</i>                    | 16   | 8      | 4    |
| Chinese <i>jiezou</i>                     | 16   | 8      | 4    |
| Korean<br><i>Sejong Sillok Bongraeuei</i> | 64   | 32     | 16   |
| Korean <i>sanjo</i>                       | 24   | 12     | 4    |

<Figure 7>

*Jangdan* of *Sanjo* (literally means 'scattered melodies', solo instrumental music accompanied by a *janggu*) is different from that of Asian music. In the slow piece it consists of 24 beats; in the medium one it has 12 beats; and in the fast one it has 4 beats. By comparison with other Asian music, the fast piece broke the rules of the *jangdan* that should be 6 beats rather than 4 beats. Such irregularity can be derived from the unique aesthetics of Korean people.

Korea's white porcelain (*Baek-jah*) was intentionally made an imperfect sphere. After working

on the spinning wheel, the potter would put additional force to one side of the piece to create an imbalance. It is an example that shows the Korean style that appreciates and prefers slight imperfections over strict perfectionism.



#### <Appendix>

The byproduct of this study is finding that *Thao* of Thailand may find its origin from China.

The Chinese word 套 is pronounced *tao* and means 'a set'. At a Chinese restaurant, ordering a course meal instead of a la carte is called *tao chai* (套菜). A compilation of different pieces joined into one song is called *tao qu* (套曲) in Chinese. Chinese music calls slow tempo *san ban* (三板, third level), medium tempo *yi ban* (二板, second level), and *yuen ban* (原板, first level). In Thai music, slow is *sam chan* for third level, medium is *song chan* meaning second level, and fast is *chan dio* for first level.

Chinese and Thai music have commonalities including the fact that they both use numbers to distinguish different tempi, that the order both start from slow to fast in the sequence of 3-2-1, that the beginning number is 3 and that smaller numbers indicate a faster speed.

This gives reason to believe *tao* in Thai music and the Chinese word *tao* (套) are related and is influenced by Chinese music.

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Bharatamuni, *The Natya Sastra*, p. 417. (31) pp. 10-25). Chun InPyong "Ancient Indian music in *Natya Sastra*," *Bidankil Umakwa Hanguk Umak*. (Silk road music and Korean music). (Seoul: ChungAng University Press, 1996), pp. 108-109.12) In the English translation of the *Natya Sastra*, the lengths of syllables are explained as being short, long and *pluta*. Sharma uses the terms *laghu*, *guru* and *pluta*, respectively. Akella Mallilarjuna Sharma, *Permulative Genius in Tala(-Prastara) in Indian Music* (Hyderabad India: Telegu University, 1992), p. 5.

<sup>2</sup> Akella Mallilarjuna Sharma, *Permulative Genius in Tala(-Prastara) in Indian Music*, Hyderabad India: Telegu University, 1992, p. 5.

<sup>3</sup> In Sanskrit Prosody, metre is measured in terms of *matra*(i. e., the time taken in uttering a short vowel). A *laghu* is a syllable containing one *matra*. *Guru* contains two *matras*, and *pluta* three. Mukund Lath, *A Study of Dattilam -A Treatise on the Sacred Music of Ancient India-* (New Delhi: IMPEX INDIA, 1978), p. 322.

<sup>4</sup> The *cancaputa tala* has two long syllables followed by one short syllable and then the final *Pluta* syllable. Bharatamuni, *The Natya Sastra*, p. 417. (31, 10-14)

<sup>5</sup> The *capaputa tala* which is *tryasra* consists of one long syllable, followed by two short syllables and then a long syllable. Bharatamuni, *The Natya Sastra*, p. 417. (31, 10-14)

<sup>6</sup> It is called *pancapani* when effected by *satpitaputraka*. Its *patakala* is as follows: *pluta*, short, long, long, short and then *pluta*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 19-22)

<sup>7</sup> It is also called *pacapani* and consists of six *patas* and six syllables. Its six *patas* are as follows: *sannipata*, *tala*, *samya*, *tala*, *samya*, *tala*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 19-25).

<sup>8</sup> There is another type of *taladi* in *Tryasra*. It is termed *sampakvestaka* and has five long syllables, including one at the beginning and one at the end which are *pluta*. The *patas* are as follows: *sannipata*, *samya*, *tala*, *samya*, and *tala*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 23-25).

<sup>9</sup> If the *tryasra* consists of three heavy (long) syllables, its *kalas* are as follows: *niskrama*, *samya* and *samya*. It is termed *udghattah*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 23-25)

<sup>10</sup>) According to this theory, the *tala* are expanded according to the *tryasra* and *caturasratala* and in this way they are like other ancient *talas*. In this *tala* every part of the *tala* is indicated by a clap. The system of *matra* and syllables in ancient *tala* is as follows:

SymbolMatraSyllables

|                  |     |    |
|------------------|-----|----|
| <i>Anudruta</i>  | 1/4 | 1  |
| <i>Druta</i>     | 1/2 | 2  |
| <i>Daivirama</i> | 3/4 | 3  |
| <i>Laghu</i>     | 1   | 4  |
| <i>Lavirama</i>  | 3/2 | 6  |
| <i>Guru</i>      | 2   | 8  |
| <i>Pluta</i>     | 4   | 16 |

A. K. Sen, 1994. *Indian Concept of Rhythm*. Delhi: Kanishka Publishers, pp. 93-94.

<sup>11</sup> G. H. Tarlekar, *Studies in the Natya Sastra* (Delhi: Motilal Banarsidass Publishers Private Limited, 1975), p. 164. *Eka* of *ekakala vidhi* means '1', *dvi* of *dvikala vidhi* means '2', and *catus* of *catuskala vidhi* means '4'. *Vidhi* denotes form, method, motto, way, rule etc. T. W. Rhys Davids-William Stede, *Pali-English Dictionary* (Delhi: Motilal Banarsidass Publishers Private Limited, 1993), p. 623.

<sup>12</sup> There are two types of *tala*: *caturasra* and *tryasra*. Both of them have same source of origin. Bharatamuni, *The Natya Sastra*, p. 416. (31, 7, 8)

<sup>13</sup> Editor unknown, *Dongdaegeumbo*(東大琴譜, A.D. 1813), Hangukuemakhak Jaryeochongseo(Series of Korean Musicological materials) (Seoul: National Center For Korean performing arts, 1987) Vol. 22, pp. 115-42.

<sup>14</sup>Chun in pyong, *Asian music odyssey*(Seoul: Council for Asian musicology, 2015) p. 334.

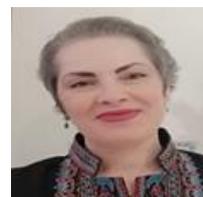
<sup>15</sup> This was informed by prof. Raggiat Panyayos, Chiang Mai Natasin. ((Raggiat Panyayos, Chiang Mai Dramatic arts college(NATASIN), Thailand)

<sup>16</sup>Yuan jun 沅君, *Zhong guo gu dian xi gu yan jiu* 中國古典戲曲研究 (Taipei: 學藝出版社, 1945) p. 357.

<sup>17</sup> Goo hou yong, *min zu qi yue gai lun*, pp. 301-302.

## A Look at the Abstract Noun in the Romanian Language

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### **Abstract:**

*The question of the concrete / abstract distinction has been of concern to linguists since ancient times. At first glance, the difference between the two is that concretes are material and thus accessible to the senses, while abstracts are not. It can therefore be said that Nouns (N) such as cat, carpet, glass are Concrete Nouns (CN) and lexemes such as thought, idea, sadness fall into the category of Abstract Nouns (AN). But the problem turns out to be much more complex, considering that there are words like redness or whiteness, not to mention dragon, or Santa Claus. Where to place them? In which category? Based on what criteria? These are just a few questions to which a relevant answer should be provided. Difficulties arise so often that one comes to wonder if a concrete / abstract nominal opposition really exists. This is why AN deserve attention focused on the effort to better understand their linguistic behaviour and how they express human thought.*

*The present paper does not constitute an attempt to solve this problem for the Romanian language, as this endeavour would be impossible to achieve in one article. However, we would like to discuss a few aspects related to the Romanian AN category, in connection to the difficulties mentioned previously.*

Key words: concrete, abstract, classification, Romanian abstract noun, Romanian concrete noun

In his “Varieties of Scientific Experience: Emotive Aims in Scientific Hypothesis”, Luis S. FEUER (cited by KHOKHLOVA, 2014) states that abstraction is an inherent ability of human cognition. Other researchers distinguish two levels or stages: the initial stage of abstraction, based on feelings, senses and images, therefore requiring no language basis, and a further stage of abstraction, the logical (abstract) thinking, which appears in the form of ideas, thoughts and reflections and has to rely on natural language for expressing notions (KHOKHLOVA, 2014). The question of the concrete / abstract distinction has been of concern to linguists for a very long time, as even if it seems that the difference between the two is that concrete nouns are material (*table, cat, carpet, etc.*) while abstract nouns are not (*idea, sadness, redness, etc.*), there are nouns really difficult to place in one of these two categories (*dragon, Santa Claus etc.*), because of the difficulties that arise in the classification process.

It was stated that one of the reasons why abstracts are difficult to define is the fact that they do not have a prototypical referent valued as meaning. Thus, it is considered that abstracts such as *love, justice, etc.* correspond to entities that have no physical dimension (as opposed to concrete ones). Therefore, some authors propose the principle of tangibility (as a condition of accessibility of meaning), a principle that should be extended to all categories of words. In the case of abstract nouns, the elements that contribute to the acquisition of tangibility (and,

implicitly, accessibility) are the sound or written forms associated with a meaning, in other words as linguistic signs. For instance, the notion of *love* could not be presented without using words, the name itself giving tangibility to the concept. (BIDU-VRĂNCEANU, 2005).

The present paper attempts to clarify a few aspects related to the abstract/concrete status of the lexeme *Santa Claus* in Romanian, taken into consideration in a very specific context: *Aș putea construi un Moș Crăciun mecanic, la fel cu cel real. (I could build a mechanical Santa Claus, just like the real one)*, as well as the difficulties of assigning one of the two categories to this noun.

We will start by discussing the two main criteria one can use to determine whether a noun can be considered concrete or abstract.

In the classical tradition, abstraction is one of the three ways of knowing "by division" (ARNAULD and NICOLE *La logique ou l'art de penser*, Paris, Flammarion, 1970, cited in FLAUX N., and VAN DE VELDE D. (2000). The first presupposes the division of a thing into its constituent, pre-constituted parts. The other two are, in fact, relevant for the abstraction phenomenon. The first step is to separate from a thing one of its properties as if it were really isolable, and to consider it separately from the whole. In this way, the abstract property receives a N, which is said to be "abstract" out of use, e.g. *goodness, wisdom, sadness, fatigue* are abstract names in themselves.

And, finally, we can achieve the abstraction by stripping a thing of all the peculiarities that make it individual, thus achieving the passage from the individual to the general, a passage marked by a generic determination. For example, the noun "man" is not an abstract noun, but in "Man is a thinking reed" (Blaise Pascal), it may denote an abstraction. This last case presents several nuances. DAMOURETTE and PINCHON (1930-1949, *Des mots à la pensée. Essai de grammaire de la langue française*, Paris, D'Artray) also pointed out that generic uses of a word are abstract in a way, detached from space and time, whereas its specific uses, because they actualize occurrences delimited from the space-time point of view, appear to be concrete. Let us compare:

(1) *A woman should be elegant.*

*A teacher must respect his/her students.*

to

*A woman entered the room*

*A professor came to talk to him.*

We must also add the fact that, when we speak of abstract or concrete nouns, it is not the nouns themselves that are abstract or concrete, but their referents. This is to say that it is indeed towards the abstract or concrete use of the word that we must direct our attention. We cannot put the referent of the noun "car" on the same category as "Paul's car." It is becoming increasingly clear that to speak of an abstract or concrete referent of a noun is in fact to speak

of the type of instances or occurrences to which it applies. If we consider a general noun phrase, such as "the bear" in

(2) *The bear is an animal.*

we see that a common noun known to have a concrete referent can be considered abstract because the referent denoted in this use is not factual, real. In the same way, a noun considered abstract, in specific use can appear in a noun phrase that is in some way concrete in relation to the generic noun phrase. We can compare:

(3) *His anger was written all over his face.*

which presents a certain "degree of concreteness" compared to:

(4) *Anger begins with folly and ends with repentance.*

The most generally noted defining oppositions, when it comes to the notion of concrete name / abstract name, are those of *material / immaterial* and *accessible to the senses / inaccessible to the senses*.

### ***The material / immaterial opposition:***

We can say from the outset that concrete corresponds to a referent perceived as material, whereas abstract corresponds to a referent seen as being immaterial. This amounts to saying that *cat, carpet, glass, dog, house*, etc. are concrete nouns, while *thought, idea, sadness*, etc. are abstract nouns. "Material" immediately and necessarily presupposes the notion of volume, space and the time dimension. Any concrete, material object, therefore, has a material and a form which may be the same at two different times, and thus capable of remaining the same over time. It follows from here that any concrete entity presents many perceptible properties: (color, density, weight, etc.) and interactional (we can see them, touch them, taste them, etc.) The definition in terms of material, that is to say in terms of "matter", offers a new criterion to define the status of the concrete: that of ontological independence. Nouns such as *dog, carpet, glass, rock* are also concrete because they have material occurrences as a referent and because their referents have a certain autonomous, categorical existence (catégorématique) (KLEIBER, 1996).

Things change when it comes to mass nouns for which the notion of form is less suitable than for the countable nouns. It exists, obviously, but it is not inherent in the type of noun (mass nouns are not countable), it comes from the conjunction of an external conditioning, of another material referent, possessing a form (e.g. *cup of sugar*). This lack of proper form has a direct

influence on the temporal dimension regarding the identification of a mass noun's referent as being the same at two different times, which depends on external circumstances such as location in the same place, for instance. On this basis, one can realize that a mass noun occurrence cannot be concretely represented in isolation, because it needs the existence of some conditioners of form. Thus, this absence of proper form, and of the capacity of individualizing, makes mass nouns less concrete than countable nouns. Taking these considerations into account, we can argue that nouns which refer to material referents are concrete (including countable nouns, such as *carpet*, *glass*, *dog*, *man*, etc., as well as mass nouns, such as *sand*, *water*, *oil*, *butter* etc.), and also nouns which refer to referents without matter, namely *idea*, *feeling*, *sadness*, as well as *roundness*, *triangle*, *explosion*, *redness*, etc.

The material / immaterial opposition is continued by the opposition accessible to the senses / inaccessible to the senses.

### ***Accessible to the senses / Inaccessible to the senses:***

M. GREVISSE (Le bon usage, 1936) said: "the concrete noun designates a being, or an object perceived by our senses or considered as being capable of being perceived our senses<sup>40</sup>", and that "the abstract noun designates a property, or a quality separated by our mind from the beings or objects where they are present<sup>41</sup>". All material reality is, of course, accessible to the senses. However, there are also non-material realities which are also accessible to the senses, but in an intermediated way. Intermediaries consist of material referents insofar as these non-material referents express their properties. The accessibility to the meanings of nouns such as *whiteness*, *redness* or *explosion* comes directly from their referential applicability: they concern material occurrences having an intrinsic (as far as accountable nouns are concerned), or contingent (mass nouns) form and which entails a recurrence in time. This is not valid for nouns such as *patience*, *sadness*, *hatred*, *idea*, because their domain of applicability is not that of the matter, so they are not directly accessible to the senses.

We must also take into consideration nouns that can be called "temporal" such as *instant*, *moment*, *hour*, *day*, etc. whose referents belong to a temporal space inaccessible to the senses or the nouns representing geometric figures names such as *circle*, *square*, *triangle* whose referents are not dependent on a material support but belong to a particular space, devoid of matter, the Euclidean space. These two types of nouns are ontologically independent, as they have an inherent principle that singles them out: a temporal "form" for the temporal and a spatial form for the geometrics respectively. In this sense they can be perceived as less abstract than names such as *sadness* which have neither form nor matter and apply neither to the form nor to the matter of their referential support.

Nouns derived from adjectives or verbs, or at least related to adjectives or verbs, such as *redness*, *whiteness*, or *explosion* are not easily framed in one of the two categories. Generally,

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<sup>40</sup>Our translation (in original : « le nom *concret* désigne un être ou un objet tombant sous nos sens ou considérés comme pouvant tomber sous nos sens »)

<sup>41</sup>Our translation (in original : « le nom *abstrait* désigne une propriété ou une qualité séparées par notre esprit des êtres ou des objets où elles se trouvent réalisées »)

they are considered abstract. To verify this affirmation, we will use the two criteria presented previously to determine the abstract / concrete opposition: material / non-material and referentially autonomous / referentially non-autonomous. (GALMICHE and KLEIBER: 1996) If we resort to the first criterion, the nouns considered are abstract, because the occurrences which they activate have no materiality. If we resort to the second, and consider as abstract a noun whose referent does not exist independently of another, the result is the same. The nouns *redness*, *whiteness* and *explosion* are therefore syncategorematic nouns (KLEIBER, 1981) because their occurrences depend on other occurrences. In other words, to speak of the actualization of *redness*, *whiteness* and *explosion*, some entity must have the redness or whiteness property or be exploded.

If we look at the criterion of accessibility / inaccessibility to meaning, we can easily see that the nouns *redness*, *whiteness*, and *explosion* are part of the second dimension of the discussed opposition, inaccessibility to the senses being the consequence, the referential detachment of the property or the action from the objects to which they are likely to apply. These criteria being satisfied, we can therefore conclude that the nouns *redness*, *whiteness* and *explosion* are definitely abstract. But, at the same time, they are general predicates intended to be applied to particular occurrences as in the examples

(5) *The redness of her cheeks made her even more beautiful.*

(6) *The explosion of the tire caused a serious accident.*

Things seem to be clearer as long as we deal with objects from the contingent world, the everyday world in which we live, called the  $m_0$  world (from *monde(fr)* = world) by the French linguist Robert MARTIN (1996). To this, he adds an infinity of other worlds, parallels to this one, possible worlds, virtual realities (such as the children that we would have liked to have and that we did not have) or the world of imagination such as the one from Tolkien's *Lord of the Rings*, where breathing fire dragons have concrete existences.

So, what to do with the complex noun (and linguistic reality, for that matter) represented by *anta Claus* in the following example:

(7) *Aş putea construi un Moş Crăciun mecanic, la fel cu cel real. ?*

En: I could build a mechanical Santa Claus, similar to the real one.

As mentioned before, when we speak of abstract or concrete nouns, it is not the nouns themselves that are abstract or concrete, but their referents. Referential complexity is even more visible in the case of objects that are not physically perceptible such as imaginary beings, unicorns, dragons or Santa Claus, that exist in a possible, imaginary world. However, we hesitate to frame them in the category of abstract nouns. Objects accessible to the senses if the reference operates in the  $m_0$  world of "what is" are concrete. If we evoke beings referred to in

an alternative possible world, we are talking about referents who, because of the referential mechanisms of rigid transmission from one world to another, or from one universe image to another, lose the materiality of their concreteness and slide towards representations (MARTIN, 1996).

So, how many referents of *Moș Crăciun* (En. Santa Claus) do we have here and is their existence concrete in any way, or completely abstract?

We have the nominal phrase *Moș Crăciun mecanic* (En. mechanical Santa Claus), which brings the referent in the area of the concrete and the reality of  $m_0$ , in the form of a concrete object. But still, is the nominal phrase *Moș Crăciun mecanic* (En. mechanical Santa Claus), concrete, or abstract? We believe that there is a duality here: we have a concrete object present. At the same time, it is an abstract object, because its reality (the "real" Santa Claus) is an imaginary one, apart from  $m_0$ , and this transforms the concrete object into a simple materialization of an abstract existence.

The way children relate to the existence of Santa Claus is, of course, different from the way adults do. It is interesting to note that in the same sentence (*Moș Crăciun vine în 24 decembrie. En. Santa Claus comes on 24 December.*), the referent of the noun Santa Claus is concrete and part of  $m_0$  if the sentence is spoken by children, and abstract, if the sentence is uttered by parents. This is directly related to the fact that the former place the existence of Santa Claus in  $m_0$ , while the latter see it exclusively under the sign of an imaginary world, different, maybe parallel to  $m_0$ .

## Conclusion

While we can clearly see that the nouns *redness* and *explosion* have the same degree of concreteness as the adjective *red* and the verb *explode* from which they are derived because they are just as noticeable, things tend to be much more intricate if the issue of referential complexity activates itself, which is the case in the sentence discussed above.

The example discussed by us revealed, at the same time, a referent with double existence and, therefore, double quality, which appears simultaneously, for  $m_0$ : concrete (present as a physical form - *mechanical Santa Claus*) and abstract, as a "reality" in a possible world that we could call  $m_i$  (imaginary). And then, there is Santa Claus, (the gentleman with a long, white beard, who brings gifts to children), actually living in this parallel world of  $m_i$ . could we say that, in this world, the noun Santa Claus has a concrete referent? We think so. And maybe that's why there are so many Christmas movies in which Santa proves to be real.

One conclusion is clear: it is the use, the occurrences and the worlds ( $m_0$  or others) in which these nouns appear, that govern their belonging to the concrete or the abstract nouns category.

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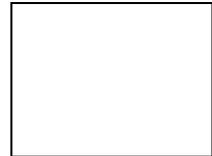
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# A Comparative study on the Clustering Development of Rural Traditional Handicrafts in four Asian countries

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## Abstract:

As an important category of intangible cultural heritage, traditional handicrafts cover a wide range of groups and play an important role in inheriting traditional culture, adjusting and optimizing rural production structure and promoting social and economic development. This paper takes the traditional handicraft development practices of Vietnam, India, Japan and Thailand as the research object, and analyzes the common points and unique features of the clustering development strategy of the four countries. The development of the Vietnamese handicraft village benefits from the overall development of the government, constantly adjusting and optimizing the industrial structure, and supporting it in terms of capital and land policies. The Indian handicraft clustering plan is mainly based on the characteristics of the regional distribution of traditional handicrafts. There are different measures that depending on the type of conditions. The Japanese handicraft village was jointly built by the government and the communities. It reflects the idea of sustainable development. The handicraft village is organically integrated with environmental protection and ancient building protection, and it has become an important place for cultural tourism. Thailand is promoting the *One Tambon One Product* strategy, supporting farmers in remote areas to manufacture specialty products through traditional handicrafts. The development model of the handicraft village is based on the village. It not only pays attention to the inheritance of traditional handicrafts, but also pays attention to market benefits. It combines production and sales, and develops the traditional handicrafts of the same kind into a community of management professional and independent operation.

**Keywords:** Traditional Handicrafts; Intangible Cultural Heritage; Rural Vitalization; Clustering

## Introduction

In many nations, traditional handicraft plays a vital role in the preservation of intangible cultural heritage. However, it is commonplace that the works of quite a few craftsmen have been regarded as important “artworks” and followed a path of “boutique”. The weakened relevance to life and use value of traditional handicrafts have been replaced by worship value. However, handicrafts differ materially from artworks. It cannot be denied that lots of handicrafts have outstanding aesthetic value, but they are, by their very nature, inextricably

linked to people's lives because of their "materiality", i.e., practicality. Therefore, in contemporary society, how to closely link traditional handicrafts with contemporary production and life is worth pondering. In Asian countries such as Vietnam, Thailand, India, and Japan, the development practices of traditional handicrafts share both common features and differences, thus providing some experiences and lessons for us to think about this question.

## **I.Vietnam: Government-led handicraft villages**

Vietnam's traditional handicraft industry is rather developed and offers vital resources for its tourism development. The great achievement made by Vietnam in the handicraft industry is closely linked to its adoption of handicraft villages, a model with distinctive features to protect and develop the traditional handicraft industry. A handicraft village specializes in the production of one or multiple handicrafts. The Vietnamese government issued Decree No. 66/2006/ND-CP on the Development of Rural Trades, thus securing and boosting handicraft villages.<sup>42</sup>

In Vietnam, lots of handicraft villages have a history of several hundred years and are key symbols of Vietnamese traditional culture. Currently, there are about 5,400 handicraft villages in Vietnam. They cover about 50 industries<sup>43</sup>, creating a large number of employment opportunities and enormous economic benefits while exerting a positive impact on rural industrial restructuring and optimization of production modes.

Despite the multifaceted benefits generated by handicraft villages, their development has not been a smooth journey and confronted with multiple challenges. For instance, with the establishment of Vietnam's market economy and its increasing integration into the international community, the handicraft industry is facing fiercer competition. Therefore, Vietnam has rolled out numerous measures to protect and revitalize the development mode of handicraft villages. Firstly, Vietnam has drafted a general strategic development plan, and the government will continue to adjust and optimize the industrial structures of handicraft villages. Secondly, the government has offered policy support in capital, land, and environmental governance.<sup>44</sup> The government will replan the production sites and venues and control pollution comprehensively in handicraft villages.<sup>45</sup> Thirdly, the government has established a stable supply channel of production raw materials and diversified sales channels. For instance,

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<sup>42</sup>Decree No.66/2006/ND-CP of July 7, 2006, on Development of Rural Trades, <https://www.ecolex.org/details/legislation/decreed-no-662006nd-cp-on-development-of-rural-trades-lex-faoc065919/>, 8/9/2021.

<sup>43</sup>Vietnamese craft villages to be promoted, <http://tgvn.com.vn/vietnamese-craft-villages-to-be-promoted-84201.html>,8/9/2021.

<sup>44</sup>Decree No.57/1998/ND-CP; Decree No.66/2006/ND-CP; Nguyen Thi Thu Huong, State Policy on the Environment in Vietnamese Handicraft Villages, Chinese Business Review, Vol.15, 2016(6), pp.290-295.

<sup>45</sup>National State of Environment 2008: Vietnam Craft Village Environment, Ministry of Natural Resources and Environment, [http://cem.gov.vn/Portals/0/DULIEU/bao%20cao/SoE\\_2008\\_Eng.pdf](http://cem.gov.vn/Portals/0/DULIEU/bao%20cao/SoE_2008_Eng.pdf),8/9/2021.

the government has rolled out the policy that “Vietnamese people prioritize using Vietnamese goods”, thus opening up the situation for Vietnamese handicraft sales. Fourthly, the government has cultivated a stable talent team. The government has offered training classes and introduced modern teaching modes such as online teaching. Besides, the government has deliberately introduced modern advanced technology and established standard industry specifications. While increasing productivity, the government has also improved the added value of handicrafts, thus significantly increasing the revenue of practitioners. This has attracted young people to traditional handicraft production and boosted inheritance.

## **II. Thailand: One Tambon One Product**

Similar to the handicraft villages of Vietnam, handicrafts in Thailand also fall into the unit of villages, highlighting the characteristics of local resources. In 2002, Thailand began to implement the strategy of “One Tambon One Product” (OTOP), a model originating from the campaign of “One Village One Product” in Japan. The OTOP strategy in Thailand is a top-down approach led by the Prime Minister and promoted by the central government.

The OTOP strategy by the Thai government mainly encourages various localities to develop their characteristic products to boost local economic development. The OTOP strategy covers a wide range of products, including food, beverages, decorative items, clothing, and herbal medicine. As of September 2021, the number of products had exceeded 130,000.<sup>46</sup>The towns under the OTOP program are located in the northern, northeastern, central, and southern regions, including over 30,000 manufacturers consisting of small and medium-sized enterprises, cooperatives, and individuals.<sup>47</sup>The Thai government attaches great importance to establishing brand awareness and strictly controlling the quality standards for specific products of OTOP. The OTOP products are classified into different levels from one to five stars according to quality and packaging. Four-star, five-star, and champion products will be periodically selected, while customers can choose their product based on their needs.

The two village-based development modes of Vietnam’s handicraft villages and Thailand’s OTOP strategy share some common features. Firstly, both are market-based mechanisms for the preservation of traditional handicrafts. When handicrafts become a production mode and lifestyle closely related to people, they will become self-reliant. Secondly, they are led by the government and implemented in a top-down manner. This model has its rationale in Asian countries with a similar national condition. In the initial stage, it requires overall planning and guidance by the government to assist localities in using cultural resources for centralized production, expanding the market, and building brands. However, this top-down approach is still risky in some way. For instance, changing government administrations will affect the sustainability of strategy implementation. Thus, it is still worthwhile to contemplate how to

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<sup>46</sup><http://www.thaitambon.com/en/product>, 8/9/2021.

<sup>47</sup><http://www.thaitambon.com/shop>, 8/9/2021.

improve the inner drive of the civil sector under the framework of this strategy.

### **III. India: locally tailored clustering scheme**

The Indian traditional handicraft industry is the second largest industry in rural India, apart from agriculture. Given the important role played by the Indian traditional handicraft industry in boosting economic growth and inheriting Indian culture as well as the vulnerability of the industry and its practitioners, India has included the preservation and development of traditional handicrafts in the national development plan and established a special agency to take various measures to stimulate the growth of traditional handicrafts, such as the special program. A key feature of the special program is to adopt locally tailored and differentiated policies. Based on the regional distribution features of the Indian handicraft industry, the Indian government provides financial subsidies to encourage handicraftsmen to spontaneously organize clusters, introduce advanced production equipment and technology, and increase the competitiveness of the handicraft industry.<sup>48</sup> Among them, two influential special programs are the Ambedkar Hastshilp Vikas Yojana and Mega Cluster.

Ambedkar Hastshilp Vikas Yojana (AHVY)<sup>49</sup> was launched in 2001. Ambedkar was the leader of the Indian Dalit class and the father of the Indian Constitution. Since Indian handicraft practitioners are mostly vulnerable groups, they are named after Ambedkar to demonstrate the program's concern for the disadvantaged group. The AHVY program is divided mainly by geographic area, with the smallest unit being village-based, thus providing social security, technical, market, and capital support for the handicraft group by introducing non-governmental sectors (civil power). The program has also organized similar traditional handicraftsmen into professionally managed and independently operated community enterprises, established handicraft institutions based on handicraft projects with clear needs and the capacity for sustainable development, and enhanced the endogenous power of the handicraft industry.

India launched the Mega Cluster program in its budget 2008-09, initially targeting the handloom industry, but gradually expanding to other handicraft sectors. Based on the regional distribution characteristics of the Indian handicraft industry in India, the program provides advanced production equipment, introduces cutting-edge technology, offers technical training, diversifies products, steps up effort in market expansion, and strives to build brands and expand the product market for handicraft clusters.

The AHVY program has different focuses from the Mega Cluster program, with the former prioritizing the provision of support and services to disadvantaged handicraft groups and the

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<sup>48</sup><http://www.handicrafts.nic.in/pdf/Scheme.pdf>, 8/9/2021.

<sup>49</sup><http://www.handicrafts.nic.in/pdf/Scheme.pdf#page=7>, 8/9/2021.

latter emphasizing the introduction of advanced technology and market expansion. However, both encourage the development of traditional handicrafts through large-scale production. Noteworthy, the Indian Handicraft Development Special Program is a step forward from the government-led model and focuses more on activating the handicraft community from within. NGOs play the role of cultural brokers, serving as a bridge between the government and the handicraft community.

#### **IV. Japan: cultural experiences geared toward a new life**

Despite the numerous steps taken by Japan to preserve and revitalize the handicraft industry, its scale is still shrinking continuously. According to the Association for the Promotion of Traditional Craft Industries, the total output value of the traditional handicraft industry in Japan dropped to JPY 104 billion in 2012, less than a fifth of what it was in 1983 (JPY 540 billion); the total number of businesses fell from 34,043 in 1979 to 13,567 in 2012; the number of practitioners decreased from 288,000 in 1979 to 69,635 in 2012.<sup>50</sup> Targeting this situation, Japan is further contemplating the significance of the traditional handicraft industry in contemporary society and seeking a new development philosophy for the traditional handicraft industry in the 21<sup>st</sup> century. The Morioka Handicraft Village in Iwate Prefecture, Tohoku, Japan, is embodying such a traditional handicraft development direction geared toward a new life, creating life culture, and valuing consumers.

Founded in 1986, Morioka Handicrafts Village has collected traditional artifacts such as folk handicrafts and foodstuffs based on the concept of “viewing, touching, and creating”. The handicraft villages in Vietnam and Thailand are led by the government; the clustering in India has started to focus on stimulating the inner strength of the handicraft community; Morioka Handicrafts Village has reflected a conscious model of endogenous development. The environmental problems such as sewage, noise, and exhaust gas in the handicraft workshops originally scattered in adjacent areas cannot be addressed owing to their small scale, thus unable to attract tourists. Besides, workshop operation is beset with difficulties and the local traditional handicraft industry is also faced with the problem of inheritance. Exactly out of these problems, Morioka Handicrafts Village was established with private initiative and government assistance to bring together scattered workshops to address relevant problems. The handicrafts village has reflected the common aspirations of the handicraft community in the region.<sup>51</sup>

In terms of its plan, Morioka Handicrafts Village has integrated handicrafts with contemporary lifestyles such as leisure and tourism, stressed integration with the nearby environment, and emphasized the role of the market. The handicrafts village has been combined with cultural tourism to form three functional zones: product exhibition and sales zone, handicraft workshop

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<sup>50</sup><https://kyokai.kougeihin.jp/current-situation/>, 8/9/2021.

<sup>51</sup><https://visitiwate.com/zh-cn/article/4739>, 8/9/2021.

zone, and ancient architecture protection zone. The workshops are designed to not only have productive functions but also stress the experience element of handicraft activities. All these settings have not only protected cultural heritage but also provided tourists with richer and more three-dimensional experiences.

## **Conclusion**

The traditional handicraft development practices of the four countries mentioned above have revealed that all of them are village-based, highlight local features, and centralize their production. Such a cluster-based development strategy has rectified the scattered layout, inconvenient organization, and environmental governance problems of the traditional handicraft production. Adopting a locally tailored, cluster-based handicraft production mode has the following development advantages: Firstly, it facilitates personnel training and updates concepts, technology, and equipment. In so doing, it enables handicraft production to be truly geared toward people's life rather than an activity that is too high-minded to be popular. Secondly, it activates the rural economy, offers more employment and entrepreneurship opportunities, and improves living conditions. Thirdly, when handicrafts are inextricably linked to people's economic life, this can attract more young people to get involved, thereby boosting the inheritance of traditional handicrafts. Fourthly, it helps centralize the control of inevitable environmental problems in handicraft production and is friendlier to the environment, thereby securing sustainable development.

It should also be noted that the cluster development thinking of the above four countries differs in entities and promotion means. The handicraft industry in Vietnam, Thailand, and India is mainly led by the government and implemented in a top-down manner, while Japan follows a different model of private initiative, private leadership, and government assistance. In the initial stage with poor basic conditions and weak development awareness of handicraft groups, the clustering development of handicrafts requires powerful policy guidance by the government. The government is supposed to offer support in capital, land, taxation, talent training, and market expansion to help the handicraft group update their concepts and strengthen market operation awareness. However, what matters more is to enhance the endogenous power of the folk and strive to turn handicraft groups into professionally managed and independently operated communities.



## **Session IV**

### **Education and Pluralities along the Silk Roads**

## **Caste and Religion: An Inquiry into Buddhism and the Question of Dalit Emancipation in India**

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### **Abstract**

There are mysteries and perplexities of life for which adequate explanation cannot always be found. By way of response to such mysteries, man in all ages has thought of some super-natural and super-sensory power. Religion is the expression of the manner and type of adjustment effected by people in terms of their conception of the super-natural. Thus, religion affects society and how it leads to the maintenance of the social order. It has both an enabling, as well as civilizing effect on mankind. Yet, it also leads to the creation of obstacles in the path to progress. In India, the system of caste, acts as a means of maintaining order in society. It bestowed many privileges on the “upper castes” while sanctioning repression on “lower castes”. Against this backdrop, Buddhism emerged as a beacon of hope - a major missionary religion. It focused on virtues such as love, kindness and compassion. Dr. B.R. Ambedkar considered Buddhism as capable of delivering liberation to the oppressed, through its teachings of equality and justice. This paper intends to explore the strengths and weaknesses, functions and dysfunctions of the institutionalized religion of Buddhism and its efforts at Dalit liberation based on different schools of Buddhism, with special focus on Navanaya or Neo-Buddhism. Through textual analysis, the paper intends to reflect upon the historical construction of Buddhism as a religion of emancipation.

**Keywords:** Religion, Caste, Buddhism, Navayana, Liberation.

### **Religion and Society: An Introduction**

Man in all ages has thought of some supernatural and super-sensory power. Religion is the expression of the manner and type of adjustment effected by people in terms of their conception of the supernatural. James G. Frazer (1890) in his book, *The Golden Bough*, defined religion as a belief in “powers superior to men which are believed to direct and control the course of

nature and of human life”. For anthropologist Malinowski, religion was “a mode of action as well as a system of belief, and a sociological phenomenon as well as a personal experience”. Others consider religion as belief in the immortality of the soul, or rather a belief in God. Thus, as religion evolved through various stages, it culminated finally into a system of beliefs in – God, soul, worship of the divine, curing the erring soul, all practically made possible through prayers, ceremonies, sacrifices, etc. (Ambedkar 1957).

The role of religion in society often differs according to differing ideological commitments. For instance, under functionalist perspective, to which classical sociologist Emile Durkheim belongs, has argued that all societies divide the world into two categories –sacred and profane. Therefore, religion to him, based on this distinction, is a unified system of beliefs and practices related to sacred things. Moreover, Durkheim views religion as a group phenomenon, where separate groups give religion its specific character and unity.

Malinowski also considered religion as re-enforcing social norms and values. Specifically, he emphasized on the role of religion in promoting social solidarity by dealing with situations of emotional stress that tend to threaten the stability of society. From Marxian view, religion not only serves to create a series of myths which justify and even rationalise the social order based on injustice and exploitation, but it also serves as an instrument of that oppression. Therefore, as Ambedkar rightly said, “religion has no fixed meaning. It is one word with many meanings. This may be because religion has passed through many stages, and at each stage the concept of religion has had different meanings” (Ambedkar 1957). More than strengthening social solidarity, the organized religion so formed throughout historical period acted as divisive force, one such force being the institution of caste in India. Under this backdrop, this paper intends to understand the role of Buddhism as an emancipatory religion for those marginalized in the Indian society, especially among those highly exploited and oppressed by the religious norms and values of Hinduism.

### **Religion in the Indian Society**

India’s civilisational history has witnessed multitude of religious practices. Thus, religion has been an important part of its culture.

3

*Hinduism and the Caste system*

Hindu society is compartmentalised based on its caste system. By Rig-Vedic period, the four-fold division of Indian society was regarded as fundamental and divinely ordained. This division was in theory functional, that is, based on varnashram dharma, pre-determined by birth. Manu, the ancient lawgiver of the Hindu society, prescribed duties of all varnas –Brahmins to learn-teach, sacrifice, and give-receive gifts; Kshatriyas to protect people, sacrifice and study; Vaishyas to sacrifice and study, but be primarily involved to breed cattle, till the earth, pursue trade and lend money. The duty ordained for Shudras was to serve the three higher castes (Jaideva 2002). The reason for such occupational compartmentalization can be traced to a section in Purusa Sukta of the Rig Veda, according to which Brahman was born from mouth of the God, Kshatriya from his arms, Vaishyas from his thighs and the Shudra from his feet. The belief that different varnas were created from different parts of the divine body generated the belief that it must be divine that they should remain separate and distinct. (Ambedkar, Hindu Social Order, Dr. Ambedkar writings and speeches, Vol.3). This distinction manifested as caste system became a social division among people. It made the possibility of developing a fellow feeling or cooperation nearly impossible among Hindus, even if it was for a good cause. Ambedkar in his seminal work, Annihilation of Caste argued that “caste has completely disorganized and demoralized the Hindus. A caste has no feeling that it is affiliated to other castes. There is an utter lack of consciousness of kind among Hindus. In every Hindu the consciousness that exists is the consciousness of his caste” (Ambedkar 1936). He further argued that “caste killed public spirit. It has destroyed the sense of public charity. There is no sympathy to the deserving, neither is there any appreciation of the meritorious. There is no charity to the needy.” (Ambedkar 1936)

### *Buddhism and Ambedkar's Religious Philosophy*

According to Kumar, 2021, “Ambedkar viewed religion as a basis of morality and righteous social life. He reconstructed the idea of religion based on the principles of rationality and democracy. For him, the function of religion is the reconstruction of society based on the principles of utility and justice.” (Kumar 2021). Thus, Ambedkar's religion was based on his concept of ideal society which, unlike Hinduism, was guided by the principles of Liberty, Equality and Fraternity. He considered religion as a means to emancipate the downtrodden. In this context, Buddhism for Ambedkar became a beacon of hope to abolish inequality and provided an opportunity for the downtrodden to overcome the shackles of hatred and slavery

subjected upon them based on their ascribed status. According to Ambedkar, social Buddhism gave three things in combination – understanding, equality and love – which no other religion does. An ‘Understanding’ to remove superstition and supernaturalism and have a correct view, ‘Equality’ (samata) to hold all beings equal and worthy of respect, and ‘Love’ (karuna) to be responsive to those in crisis (Naik, 2010).

### ***Buddha on Caste Inequality***

Buddha dedicated himself for the goal of “Bahujan Hitay, Bahujan Sukhay”, i.e., welfare and happiness of all. He questioned the social malaise of caste system and untouchability through his doctrine of Chaar Arya-Satya or the Four Noble Truths, and Prateetyasamautpad or the Doctrine of Dependent Origination. Early Buddhism revolved around the Four Noble Truths, which were primarily the four realities of life. These include, that the world is full of suffering (dukkha); that there exists a cause of this suffering (dukkha-samudaya); that there is a cessation of suffering (dukh-nirodh); and that there is a path to cessation of suffering. The most important element of attack on the institution of caste and its degrading principle of untouchability can be found in the doctrine of Prateetyasamutpada (Doctrine of Dependent Origination). It is the foundation of all teachings of Buddha, and is well-revealed in the second (cause of suffering) and the third (cessation of suffering) noble truth. This doctrine is based on the idea that everything is dependent on one’s action in the past, present and future. Thus, Prateetyasamutpada is the fundamental teaching of Buddha, and all his other philosophies/teachings are logically deduced from it. For instance, the theory of Karmavad in Buddhist philosophy. However, Buddhist Karmavad is entirely different from Vedic Karmvad. Attacking on actions of previous birth, Buddha said, “If it be believed that whatever is the agony of happiness-unhappiness or indignity, is due to consequence of previous birth, then those who are murderers, thieves, immoral, greedy, etc. might be so as a result of previous birth. Therefore, those who believe that everything happens as a consequence of previous birth, according to this doctrine, should not have personal desire or personal effort.” Opposing high-low distinctions and untouchability based on caste and birth, Buddha said “by birth only one is neither Vrishal or Chandal nor Brahman, action makes one Chandal (a low caste untouchable according to Hindu social order) or Brahman (high/piestly caste according to Hindu social order)”. Prateetyasamutpada means that “the fruit of our present is a result of our past actions and the future is the fruit of our present actions” (Jaideva, 2002).

Prateeyasamutpad also establishes Kshanikvada or the Theory of Momentariness, according to which everything – body, sensations, perceptions, and even one’s consciousness (atman) is momentary. Therefore, whether one is born superior or high lineage, or whether one belongs to a lower sect or lineage, all become victims of kshanikvad or anityvad. In front of perishableness and momentariness of the body, all human beings are equal. According to the Theory of Shanikvada, lasting soul is denied. Furthermore, like other substances, soul is destructible and variable too. In Buddhist philosophy soul has no place. Having opposed the soul related thoughts of Aryan culture, Buddhist philosophy of Anatmavad (Theory of No-Self) resembles the thoughts of untouchables. Anatmavad of Buddhist philosophy strikes on the root (soul) of Aryan-Vedic religion, which considered the birth as an untouchable a result of previous birth being carried by soul. Finally, in Buddhist philosophy, the rule of God is prohibited, and the world is believed to be managed by the rule of prateeyasamutpada and ruled by origin and destruction (Jaideva 2002).

### ***Buddha’s Attitude towards Caste***

Buddha’s reactions and arguments for abolition of untouchability do not indicate that he repudiated or condemned the caste system. There is direct evidence in the suttas that Buddha recognized caste distinctions (Krishan 1986). Y. Krishan in his 1986 work held that “in the Kannakatthala Sutta (90) of Majjhima 4.10(II 128-129), the Buddha while addressing king Pasendi of Kosala, observed that there are four castes Kshatriyas, Brahmans, Vaishyas and Shudras. Among these four, two are pointed to as chiefs, the nobles (Kshatriya) and Brahmans. Again, Buddha takes birth only in two castes, Kshatriyas and Brahmans”. With regard to participation of Shudras and outcastes in religious life, he further noted that “the Buddha’s sermons are addressed to Kshatriyas, Brahmanas, Grahpatis (respectable householders) and Sramans or their parisas (assemblies)” (Krishna 1986). He analysed that “in the Kutadanta Sutta (Dighanikaya V 136) only the kshatriyas, brahmans and householders are invited to attend the great yajna organised by the king- a yajna approved by the Buddha” (Krishna 1986). Also, “at Aanguttaranikaya III 363, the Buddha describes life-goals of the three upper castes and makes no mention of the goals of the Shudras and outcastes” (Krishna 1986). Thus, it must be noted that instances such as these are manifestations of the fact that Buddha acknowledged the caste system. However, his idea of caste was based on the law of

It states that when everything is temporary, what is superior may become inferior tomorrow, and tomorrow another one will be superior, and what is inferior today is not permanent. karma, and not birth. Thus, Y. Krishna, 1986 observed that, “the origin of the caste is to be found not in mythology, but in the causal cosmic law”. (Krishna 1986)

### ***Buddhism and Ambedkar***

Ambedkar viewed Buddha as an enduring philosopher of mankind, and Buddhism as a social philosophy. Scholar P. Kesava Kumar held that, “Ambedkar in *The Buddha and the Future of His Religion* considers: the religion of Buddha is morality. In Buddhism there is no God. In place of God there is morality. What God is to other religions, morality is to Buddhism” (Kumar 2021).

Even when Ambedkar was convinced about the greater appropriateness of Buddhism, he radically interpreted Buddhism in the light of modern ideas. Ambedkar conceived Buddhism as this-worldly religion. According to him, Buddhism was capable of delivering liberation to the oppressed through its teachings of equality and justice. For him, Buddhism was ethical and truthful. Ambedkar viewed Buddhism as a way to eliminate sorrow and suffering from the world. He rejected the conventional notion of karma as the cause of rebirth, and argued that since Buddhism denied the existence of soul, it is not possible to consider the idea of rebirth. Moreover, for him, the ideology of karma justified status quo and the caste system. Ambedkar also questioned the role of Buddhist Sangha as a monastic institution where the renouncer-monks sought spiritual self-realisation. Instead, he wished to reorient the Sangha towards social service to the larger community, for upliftment of the poor and those oppressed. Ambedkar saw in Buddhism ‘a theory of social action’ which ‘can be a plausible ground for a Buddhist conception of social justice’ (Verma 2021). Thus, both the ‘individual’ and the ‘social’ were part of his conception of Buddhism.

While other prophets promised salvation, Ambedkar argued that Buddha was the only one who made no such promise. In his work, *The Buddha and his Dhamma*, he distinguished between mokshadatta (provider of salvation) and margadatta (the one who shows the way). According to him, Buddha wanted each individual to find his or her own path. Thus, Ambedkar declared that the purpose of Dhamma was to ‘reconstruct the world’ and as a religion Buddhism was capable to bring about such transformation. This radical interpretation of Buddhism was what Ambedkar himself referred to as ‘Navayana’ or Neo-Buddhism. His work *The Buddha and His*

Dhamma provides his conception of the philosophy of religion as saddharma – “a unique amalgam of prajna<sup>3</sup> and karuna (meaning, compassion) is the Dhamma of the Buddha” (Ambedkar 1974: III.V.III.2). It is said that maitri (fraternity) was 3.

In Buddhism, it means wisdom/understanding of impermanence, suffering and non-self. central to Ambedkar’s Dhamma. Maitri is an act of adoration rather than force. In *The Buddha and His Dhamma*, Ambedkar goes beyond love. He says, ‘love is not enough. What is required is maitri’. Maitri is the foundation on which Ambedkar based his conception of religion, democracy, governance of life, society and the state (Kumar 2021).

### **Conclusion**

The neo-Buddhists, as they are called, enjoy better literacy, greater work participation and sex-ratio than Scheduled Caste Hindus, the group from which most converts emerged. Buddhists have a literacy rate of 81.29%, which is not only higher than the national average of 72.98%, but also higher than Hindus (73.27%). It may be noted that within Hindus, Scheduled Castes have an even lower literacy rate of 66.07%. According to Census 2011, female literacy is higher among Buddhists in India (74.04%) than the total population average (64.63%). Their improved social status through education has helped neo-Buddhists contribute more to the national economy than the Scheduled Castes – their work participation ratio (43.15%) is also higher than that of total Scheduled Castes (40.87%). Ambedkar found Buddhism as a religion of emancipation and liberation – “a revolutionary zeal in transforming society” (Kumar, 2021). Indeed, to an extent Buddhism improved lives of the oppressed, by freeing them from the degrading caste-based inequality of the Hindu social order. While Buddhism acknowledges caste as a fact, it disregards caste-based untouchability, and focuses on the achieved status of individuals (based on karma) which allowed scope for social mobility to people, unlike the rigid segregation into watertight compartments under the Hindu social order. In this context, both the philosophical discourse and its emancipatory ideal reformulated by Ambedkar’s Navayana Buddhism may be viewed as a “social rebirth, a gaining of a new identity” for the oppressed (Omvedt 1994). However, as is commonly said, every advantage has its disadvantages; Gail Omvedt rightly observed that, “dalits embracing Buddhism could get caught up in other forms of superstitions” (Omvedt 1994). Nevertheless, as another form of resistance to the dominant ideology of Hinduism, Ambedkar’s conversion made possible a

mass awakening of the marginalized consciousness to carve out a new ‘non-Hindu’ identity for them.

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## **Analysis of current trends in higher education for SUN universities**

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### **Abstract**

Globally, the education sector is among the most severely affected by the outbreak of Covid-19. The majority of educational institutions around the world had to stop face-to-face education and more than two billion students had to switch to online education. The pandemic changed traditional higher education structures worldwide, especially in Silk-road University Network (SUN). Almost a year has passed; it's time to evaluate the current situation for positive growth in the education sector. The purpose of this study is to present and analyze current trends in higher education focusing the Silk Road universities network, so that adjustments can be made for future growth. It has been found that teaching-learning strategies that were devised during pandemic times can be valuable for future procedures. The suggestion is made that there might be a continuation of the positive trends for holistic development, particularly for developing and politically unstable countries.

*Key-words:* Higher education, SUN universities, suggestive study, post-pandemic issues.

### **Introduction**

Academics have experienced more rapid changes in the past decade than ever, with the pandemic situations of last year presenting a more vulnerable scenario. As a result of the wide spread of Covid-19 disease, institutions are facing unprecedented situations they have never experienced. The current situation is a lesson for institutions to learn from and move forward. We are at a crossroad where we can either go back to past practices or re-adjust past practices based on future expectations. The teaching-learning was considered to be knowledge transferring exercise but the advances due to information technology have put knowledge at the finger tip of learners. From the grocery list to the travel itinerary, everything has to go through internet, then why not the education. School teachers and college professors face many challenges as a result of today's increasingly 'contactless' world. Learning and education are being reshaped thanks to technology and a changing global scenario. It has become imperative for educators to adapt to these changes. To adapt to the new learning environment, students

must learn more on their own, learn more through peer interaction, and think more deeply. As well, professors must reinvent themselves, mainly by teaching students to think critically and to embrace new ways to learn, teach and collaborate. This paper presents the current global trends in education with an emphasis on Silk Road countries. A qualitative analysis is conducted through literature survey, to provide insights into possible future strategies.

### **Current trends in education**

Digitization following information technology revolution during last two decade embedded in every system, but the education sector in most of the silk route countries still waits. The developed countries are leading in this field as some of them have already utilized technological advances for teaching-learning process. The fact is even robots are getting appointment in universities as professional teachers. The universities in silk route countries still used traditional chalk-talk procedure and digitization is limited to use of normal ITC tools. The sudden change in the conventional methods as implicated due to Covid-19 pandemic last year put new synergies in these institutes. The online meetings, webinars, online professional learning programme, online classes, *etc.* are now becoming normal ways for both teachers and learners. Now people take this change as joyful exercise that avoids hectic travel, waste of power, beyond spatial boundary, and so on. The new normal now includes webinar, webcast, web-conferences, video-conferences, *etc.* The trends that continue are described in the following sub-sections.

#### *Webinars, the new meeting tool*

During Covid-19 pandemic, the online webinar has introduced people to new interactive meeting platforms, a broader audience base, and a greater awareness of social media platforms such as YouTube, Facebook, and LinkedIn, which leads to a more open mind to adopt change. Increasingly, teachers are turning to tools like Google Classroom, Zoom, and YouTube to communicate with students and assess their progress. Despite teachers' desire for a personal-connect classroom, digital classes have quickly taken off. There are many advantages to using an online platform in terms of cost and time. The high volume and significance of these webinars, one can imagine that this would be an advantageous business opportunity.

#### *Blended mode learning*

In the blended learning mode, self-learning is taken the place of face-to-face education. The blended learning method combines online and face-to-face teaching and learning. As technology and knowledge improve on a day-to-day basis, lifelong learning becomes more and more imperative. A blended learning approach could provide learners with the convenience of a schedule that suits their needs. Face-to-face classroom teaching enables learners to absorb information faster, with doubts cleared instantly. In blended learning, most learning occurs at the learner's pace with little or no constant involvement from the learner, and oftentimes this may lead to lack of retention. The revision at home, deeper learning for more elaborated explanations, doing homework exercises in self-learning mode, and so on all require much more time than normal classroom instruction. In most of the SUN countries, there is a gulf between what industry demands and what academia provides. Blended learning will help bridge the gap, especially in areas where there is a shortage of teachers and students lack the necessary skills.

#### *Online simulation labs*

Sciences best are taught in a lab environment because they are best learned by doing. That's where simulators and games come in. The purpose of this artificial environment is to enhance practical learning in the same way as a science laboratory. Such learning is more effective when videos, animations, and demonstrations are used. Now-a-days, AR and VR are used in virtual labs to increase interest, attention, and curiosity. There are a number of chemical, electrical, and physics experiments pose safety hazards in real-time life. In virtual labs, learners can learn and experiment without risking your safety. The learning is improved because experiments can be conducted at your own pace and convenience without waiting for anyone. Besides these advantages, in a virtual lab, there is no sense of touch, feel, or smell. Physical labs can be visited occasionally for this purpose.

### *Online evaluation*

In a traditional examination, papers were set, test centers were organized, invigilators supervised, and evaluators evaluated. This involves the challenges in managing logistics, money, and disruptions of regular college functions. An evaluation, then re-evaluation, in a fast-track semester-based course is irritating for teachers and examiners. Despite the fact that traditional tests are still conducted, some changes are being made during Covid-times due to constraint movement. The majority of SUN universities exams taken in the open-book format, and questions of an essay nature will be eliminated. At the graduate level, multiple choice questions (also known as MCQs), two-mark questions, short questions, situation-driven questions, and other changes were made. In such format, rather than testing memory, the questions should be aimed at testing understanding. The question paper so set that it gets evaluated automatically. Testing, instruction, and learning get unified into a single experience with such technology-enabled assessments. This year universities adopted a system of relative grading without referring to scores on exams or across subjects, to avoid scores not being consistent.

### *Digital libraries*

Libraries are moving to digital format because people expect information instantly and to be updated on a regular basis. It is prohibitively expensive to maintain them physically. It is no longer science fiction to imagine a book communicating with its readers as today, audiobooks and video explanations that can be viewed or heard are hot commodities. At the moment, SUN universities are in an experimental phase of digital libraries. Many libraries provide access to bibliographic information as well as metadata platforms that facilitate research. We are entering the third decade of the 21st century, and we can clearly see that digital libraries are the future. As search engines return relevant results almost instantaneously, finding appropriate content is no longer a matter of pouring through books.

### *MOOCs*

Combined with open access, a massive open online course (MOOC) gives anyone who is interested in finding out more about the course access to learning content online without any limits. MOOCs have become a dominant trend in higher education in recent years. The online platform provides high volume participants wishing to take a course or to be educated with the

advantage of open access, free, video-based instructional content and problem sets, released through an online platform. MOOCs provide learners from around the globe with time and location flexibility to meet online. The leading US and European providers of online education, Coursera and OpenLearn, indicate that the majority of their students live outside of the US and UK. AICTE in India, developed SWAYAM, a MOOC platform similar to Coursera of Stanford and edX of MIT, with Microsoft's support in 2015-16. MOOCs don't require much academic support to run.

### **Silk route universities**

The Silk Route is the trade route connecting countries from east to west that arose from silk trade, originally. This made a significant contribution towards the development of civilizations of China, Korea, Japan, Indian subcontinent, Iran, Europe, Arab, Africa, *etc.* In addition to the land and maritime Silk Roads, there are forty countries today that bear witness to the impact these routes have had on their culture, traditions, customs and education. The higher education is at prime importance as this is proven tool for the nation development, society betterment, poverty elimination, *etc.* The present time is important as we are just coming out of pandemic constraints in the education sector. In present work, we gathered the information about current trends and status in university teaching-learning among SUN universities (79 cities & 28 countries) by visiting respective websites. The suggestive analysis is performed so that future roadmap may be drawn in integrated ways.

The growth of Covid-19 among the population has begun to flatten over the past months after second wave, prompted many governments to relax restrictions, including reopening universities. Countries are reopening universities and colleges across the country, either based on the grade level and priority of exam classes, or by opening them locally in regions with fewer outbreaks. The virus will likely continue to spread globally, prompting successive closings and reopening. In several countries, blended or hybrid models of education will be implemented. The class sizes in many other countries are reduced substantially or lessons are provided outside, and most institutions require that students, staff and teachers wear masks.

## **Suggestive analysis**

Education administrators and the entire community need to focus on preventing a generational catastrophe due to the learning crisis. We must do this in order to not only protect the rights of millions of learners, but also to drive economic development, sustainable development, and long-term peace.

Due to the crucial role parents, caretakers, and teachers have played since the crisis began, consultation with communities and education stakeholders is a critical part of the decision-making process. Developing public health measures, including hand-washing and mask use, is essential to ensure the safe return of physical premises. In the medium-term, we will likely need to take measures to mitigate the risks of transmission of COVID19, so reflecting on the impact of various reopening strategies based on any available information and by learning from other countries will be important. As the scientific evidence continues to develop, it is recommended to work with health officials during the reopening process.

As a result of the pandemic, the global economy is in its deepest recession in at least a generation. The effects of this will last for years on the economy and public finances. Low-income and lower-middle-income countries have suffered the most. Despite the budgetary constraints, the national authorities need to act to prevent long-term effects on children through education interventions, along with health, social protection and economic recovery initiatives. It is also imperative that the international community act to safeguard education financing.

In developing countries with significant informal sectors, it takes time before the tax base is widened, so other measures should be explored without delay. Therefore, it is directly up to education systems to increase the fiscal space in their respective spheres by improving the cost-effectiveness of education. It is crucial to prioritize reforms and innovations geared toward reducing inefficiencies. In order to ensure that education contributes the maximum share of the national budget, education ministries should enhance their dialogue with finance ministries in a systematic and sustained manner.

In order to open fiscal space for silk route countries to invest in education, it is imperative that all stakeholders work together to relieve, postpone, and restructure debt for low- and middle-income countries that request forbearance.

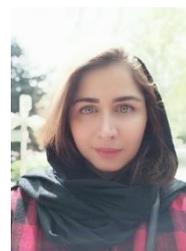
## **Conclusions**

The negative feedback loops due to Covid pandemic, has led to learning loss and exclusion that can create a downward spiral. We invest in education in pursuit of a universal social vision that includes inclusivity in education delivery, unleashing individual potential, and ensuring collective fulfillment. In terms of restoring education's essential services, but also its foundational aspirations, there is no limit to the drive and untapped resources we can rely on. All education stakeholders must have their role in reclaiming the future promised to youth, and it is the responsibility of governments and the international community to conduct reforms. The ultimate suggestion is to continue the no-contact mode learning, as per current trends of education awaiting the financial and social stabilities.

## Unpacking the Attitudinal Components of Teachers' Competencies from the Perspective of Internationalization of Higher Education (IHE)

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### Abstract

The widely accepted definition of internationalization of higher education (IHE) states that it is “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education” (Knight, 2015, p. 2). It entails specific sets of opportunities and challenges in each academic setting, as it requires different levels of transformation. This transformation must happen among all faculty members involved in different layers of higher education, such as research, teaching, training, and administration. However, teachers' capabilities in the process of IHE have been limited to intercultural competence discussions. Given that the deepest form of IHE is a process of incorporating the internationalized attitude into different aspects of teaching and learning, academic studies to develop and investigate the attitude-related components are highly needed. Therefore, this study intended to define the attitudinal competencies that an intercultural and international teacher requires for teaching in the IHE environment. 19 experts and tenured faculty members participated in the first phase of the interview, and 243 teachers teaching in internationalized setting took the questionnaire developed in the second phase of the study. The findings indicated that internationalized teachers' attitudinal competencies comprise *flexibility*, *discovery*, and *commitment* components. A detailed description of each component was provided accordingly. Teacher training programs and workshops can offer and design tasks, concerning the attitudinal competencies developed in the study, to handle the job requirements in teaching in internationalized settings. With respect to the competitiveness that IHE has created recently, this study has potential implications for policymakers, curriculum developers, and syllabus designers.

**Keywords:** Attitude, Competency, Internationalization of Higher Education (IHE), Teachers, Teaching

The growth of internationalization of higher education (hereafter IHE) and the emergence of areas, such as research in IHE as an independent field of inquiry (Bartell, 2003), in addition to the increasing number of international students taking courses in English at tertiary levels (Huo,

2020; Hyland, 2006; Kuteeva, 2011) had a noticeable effect on the status of English. While English is enjoying its international status as a “global language” (Crystal, 2013), “Lingua Franca” (Sifakis & Tsantila, 2019), or a commodity in the process of IHE (Block, 2008; Ding & Bruce, 2017), the global demand for English language courses is calling for qualified English language teachers (Huo, 2020). Hence, given that the English education which is designed to improve the university students' language proficiency, and meet the needs of the higher educational institutions is considered as English for Academic Purposes (hereafter EAP) (Gunning, 2009; Hadley, 2015), qualified EAP teachers, in this regard, can contribute significantly to the IHE process.

The teachers suiting the criteria of IHE are expected to be capable of teaching in an international language, practicing academic researches, and aware of the components of the intercultural competence to develop the attitude of tolerance, respect, and appreciation for other cultural values and beliefs (Teekens, 2003; Thondhlana, Garwe, de Wit, Gacel-Ávila, Huang, & Tamrat, 2020; van der Werf, 2012). Moreover, the teachers teaching at the IHE scale must be “willing to analyze, interpret, and reevaluate their cross-cultural interactions” from a number of perspectives (Coryell, Durodoye, Wright, Pate & Nguyen, 2012, p. 76). Those who expand their world views, intercultural competence, and the ability to understand self and others can offer a better suited international scholar experience (Deardorff, 2006; Green & Shoenberg, 2006). It must be noted that the development of teachers' intercultural competence is concerned with the attitude of respect for various groups of students, knowledge, and skills to participate in international academic communities (Deardorff, 2006).

Despite the bulk of EAP research (e.g. Alison & Tauroza, 1995; Blaj-Ward, 2014; Bruce, 2011; Flowerdew & Miller, 1995; Flowerdew & Peacock, 2001; Hall, 2013; Hyland, 2019; Hyland & Hamp-Lyons, 2002; Jordan, 1997; Hyland & Shaw, 2016; Li, 2020), EAP teachers' competencies and the required components are still uncharted areas (Ding & Bruce, 2017). Although this topic has been mentioned in several studies as the major need (Bruce, 2011; Hutchinson & Waters, 1987; Hyland, 2006), even more than 25 years ago (Hutchinson & Waters, 1990; Robinson, 1991), and the required attitudes of teachers for the successful practice of EAP were addressed, they are rather uninvestigated and intact (Ding & Bruce, 2017; Ding & Campion, 2016).

Due to the fact that many teachers still have problems with meeting the expectations of IHE and need quality teacher education in teaching culturally, linguistically, and ethnically

diverse students (Clifford, 2010; Gopal, 2011; Green, 2005; Huo, 2020), the framework of these competencies can function as a practical guide and help teachers to clear up the confusion about the requirements of teaching in IHE setting. Moreover, the teachers meeting the required changes of IHE in an academic setting can provide a means for the university students to develop the right attitude and skills in their national setting and attract the international students on the campus (Knight 1999; Huo, 2020; Thondhlana, et al., 2021). In this sense, the expansion of the teachers' attitudinal competencies in the universities aiming at IHE, influences the breadth and depth of the attitude in national and international students who will be graduating soon and have to work in an international arena (Qiang, 2003; Shailer, 2006).

From another perspective, given that the term competency has been subjected to multiple interpretations, it has been used extensively by different people in different ways in different contexts. However, in psychology, the scholars (McClelland, 1973; Spencer & Spencer, 1993; Walker, 1992) unanimously acknowledge that competency can be defined with the following four characteristics: (1) a competency consists of one or more skills whose mastery would enable the attainment of the competency; (2) a competency is linked to all three of the domains under which performance can be assessed: knowledge, skills, and attitude; (3) possessing a performance dimension, competencies are observable and demonstrable; (4) since competencies are observable, they are also measurable. However, the respective components of each domain of knowledge, skills, and attitude have not received due attention. Therefore, taking the aforementioned discussion into account, this study intended to investigate the requirements of EAP teachers from the perspective of IHE and define what attitudinal competencies an EAP teacher teaching at the internationalization scale needs to possess.

A comprehensive literature review on the theoretical bases and empirical studies of EAP teacher education and IHE development resulted in the key competencies potentially effective to be possessed by EAP teachers practicing in the IHE environments. Similarly, the thematic analysis of the coded data from the semi-structured interviews with domain experts of EAP and IHE and language teachers led to the various components of EAP teachers' attitudinal competencies. The obtained components acknowledged and enriched the previously-discussed components of competency (identified in the literature review stage). They were looked into meticulously and categorized in different layers in terms of the following concerns: (1) if they were related to or influenced by the proficiency in the English language; (2) if they fell into the

dimension of knowledge, skill, or attitude; (3) if they were applied to all the academic contexts, be in English or other languages.

Therefore, the responses to the above questions resulted in the list of the competencies arranged in three groups of knowledge, skills, and attitude. The required IHE attitudinal competencies, comprising of three components of flexibility, discovery, and commitment are discussed below.

The first one was *Flexibility* which is the teachers' ability to: (1) Adapt to changing circumstances, new information, or unexpected obstacles, (2) Welcome, accept, and value other ethnics, religions, cultures, and beliefs (Anti-racist attitude- attitude of tolerance), stand before culturally mixed groups while withholding judgment, use patience and perseverance to identify and minimize ethnocentrism, (3) Take measures for improving learning outcomes that link to sustainable results in faces of challenge, (4) Take multiple perspectives to approach and solve pedagogical problems, (5) Show willingness and openness to the different subject matters, (6) Adopt the role of a researcher as well as a teacher, and (7) Handle a range of roles, identities, contexts, and practices.

The second dimension of the IHE attitude, *Discovery*, has been mentioned frequently in the literature and interviews as an important ability of the EAP teachers working in internationalized settings. It is defined as including the following subcomponents: (1) Encouraging new ideas, developing new insights into situations, questioning conventional approaches (to see concepts in a different light, which leads to innovation, design and implement new or cutting edge programs/processes), (2) Updating their teaching styles and knowledge regularly and trying to include recent topics in the syllabus, (3) Welcoming international visits to other universities and other cultures, (4) Investigating values, beliefs, attitudes, and customs and seeking out cultural clues and meanings, (5) Being eager to work with international students, (6) Being alert to differences in tone and differences in aspect linguistic, and (7) Engaging with the world, above their private and local conceptualizations.

The third competency of *Commitment* has been defined as the EAP teachers' ability to (1) Be a responsible global citizenship, (2) Understand the ethical and professional responsibilities, (3) Understand the impact of disciplinary solutions in the global and societal context, (4) Consider different learning styles and communication styles, (5) Adopt the disciplinary culture and abide by the academic conventions to be a good role model of academic ethics for the class, (6) Cooperate in teamwork and be willing to sacrifice parts of their ideas and adopt others to

get the best results for the project, (7) Listen to dissident voices to strengthen the internationalized curriculum, (8) Understand the importance of the role of faculty in internationalization, (9) Deal with the problems of international students (educational, emotional, financial), and take care of them, (10) Be committed to the three goals of IHE (financial, education, and cultural) and Design everything for the long term results, and (11) Start projects, strategies, and plans on their own (Be initiative and work on projects outside of regular working hours).

As regards the attitudinal theme, the above-discussed competencies of flexibility, discovery, and commitment, including 25 sub-competencies, provide an all-encompassing view of the needed competencies by the teachers practicing in internationalized settings; as discussed below, they can influence the attitudes of the teachers working in the environments that adopted the internationalization strategy.

Flexibility competency is concerned with valuing different ethnicities, religions, cultures, and beliefs, adapting to different conditions and working contexts, being open-minded to look at various academic issues from multiple aspects, and adopting different roles of researcher, materials developer, and syllabus designer, other than a teacher. It gives support to what Robinson (1991) underscores as the key quality of EAP teaching that is flexibility. It also upholds the adaptation, openness, and responsiveness to the environmental forces as an aspect of the internationalization process which was emphasized in the observation of IHE scholars (Harari 1989; Knight, 1994; Mestenhauser & Ellingboe 1998; Sporn 1999). The attitude of tolerance, respect, and appreciation for other cultural values and beliefs are also stressed by Arabkheradmand, Shabani, Zand-Moghadam, Samadi Bahrami, Derakhshesh, & Rahimi (2015), which further supports the attitudinal competency of flexibility.

Discovery competency is represented in the teachers' actions while they move one step forward and attempt to take measures to include all the different types of ethnicities, religions, cultures, and beliefs they had valued in their teaching approach and teaching practice. In a similar vein, teachers who have developed this competency are capable of having international students, working with international scholars, and visiting academic contexts which are culturally different. A key characteristic of practitioners at the IHE scale is discovery competency as a global feature and as a specific competency as they work in tandem with each other to realize the IHE goals. This claim can be further supported by Ding and Bruce's (2017) emphases first, to question the values and principles of EAP, and next, to question the

prevailing values and ideologies shaping the policies of higher education locally, nationally, and globally; they also stress that this questioning has to lead to shaping or redefining the existent values and principles, and the practices and policies which satisfy them. The attitude of discovery creates the questioning spirit and the acquisition and development of the language competencies of Ac Lits, and CEAP can assist the teachers, particularly those working in the internationalized environment, to improve the quality of higher education, as the main goal of internationalization of higher education (IHE).

Commitment competency, as the third subscale, in the attitude domain, can be defined as the teachers' academic concerns about the long-range planning and long-term solutions for the global and societal issues. This competency is concerned with three areas of responsibility for self, learners, and system. The teachers, who have acquired commitment, are willing to be self-initiative, and start projects and plans on their own; they tend to be good team-workers by sacrificing parts of their ideas, listening to dissident voices, and adopting others to get the best results in teamwork cooperation. Concerning learners, their learners' learning styles, personal problems, and issues regarding living abroad with its related matters are also considered. As for the educational system, the teachers strive to pursue the financial, educational, and cultural goals of IHE in their teaching practice.

Compatible with this study, the anti-racist attitude of the teacher at IHE setting has been also stressed by Knight (1994); this attitude corresponds with the flexibility, discovery, and national and international visions as she contends that teachers should work with other colleagues from different cultures as they are eager to know other values, beliefs, attitudes, and customs without passing judgment.

Commitment is also in line with the last three areas of van der Werf's (2012) matrix of competencies which are connected with the education system and different teaching and learning styles, the personal academic discipline in an international context, and the international labor market of the professional field. van der Werf's (2012) defined twelve tasks in the matrix, among which there are tasks that contribute to the development of these attitudinal competencies as teaching in national and English language, counseling and learners' supervision, in addition to the establishment of social relations in a conference meeting with academic partners. Needless to say that these tasks also overlap with skill-related competencies, discussed in this study, labeled as pedagogical management skills and social academic skills. International vision competency also matches with the competency of intercultural

understanding in an international context as the fifth element in van der Werf's (2012) matrix of competencies which was not well-elaborated and the only task that is concerned with this is teaching abroad which is a vaguely-defined task.

In conclusion, an important aspect of the internationalization of higher education is strengthening the capabilities and competencies of the academic forces (de Wit & Knight, 1999). However, in broad terms, the review of the literature revealed two major problems of inadequate attention to the teacher-related issues in both areas of IHE and EAP and multiple interpretations of the term *competency*. The results of the study were twofold in this regard as the findings addressed both issues and attempted to elaborate extensively on all the required competencies through the lens of IHE. Several conclusions can be drawn from this study. For instance, in the first place, the findings highlighted the significant contribution of the attitude domain of competency to the EAP teaching competencies. Thus, this result is indicative of the fact that competency, as a concept, is broader than knowledge and skills domains. In the second place, the comprehensive examination of different areas of studies in EAP and IHE led to the development of a competency model and a self-report measure of teachers' attitudinal competencies (see appendix) in which the IHE field has been linked to the EAP field of study.

Furthermore, given that each academic context offers specific opportunities for teachers' participation to realize the process of IHE and influence the development of internationalization strategies (Vavrus & Pekol, 2015), this study could shed light on the unique aspects of EAP teaching and offer a basis to further analyze the EAP teachers' professional practice in each internationalized context. The next important conclusion considers the teachers and their role in the procedure of IHE. Understanding the required competencies of the EAP teachers is largely an underexplored topic and, therefore, EAP professionals know the least about their field (Basturkmen, 2014; Belcher, 2013; Richards, 1997; Todd, 2003). Regarding IHE, many teachers of internationalized scale cannot, currently, meet the expectations of IHE and need quality education in teaching culturally, linguistically, and ethnically diverse students (Clifford, 2010; Gopal, 2011). This study has brought forward the EAP teachers involved in the process of IHE as they can be influential in two directions: first, as the mediator of the policymakers expectations to implement the strategic plans; second, as the main source of the activities and tasks for the EAP learners to acquire the international and intercultural competencies (Lemke, 2012).

In this sense, the main measures in the realization of IHE are expanding the understanding of the required teaching competencies and the internationalization of the teaching body in each context (Altbach & Knight, 2007; Yao, 2009). As the IHE process is a context-bound procedure, with different realizations and practices of teachers (Vavrus & Pekol, 2015) contextual understanding of the internationalization by teachers with different levels of competencies could be of value. Conducting studies similar to the current one, investigating the teachers' required competencies meeting the expectations of IHE can create a smooth passage for the bumpy road of internationalization procedure.

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## Appendix

### EAP Teachers' Attitudinal Competencies Questionnaire (EAP T ACQ)

**Directions:** For each statement below, please mark the response that best describes your teaching. There is no right or wrong answer, so please respond as honestly as possible. (Please select one response in each row)

| No. | Items  | Not at all like me | Not much like me | Mostly like me | Very much like me |
|-----|--|--------------------|------------------|----------------|-------------------|
| 1   | I adapt to new circumstances and information and expected obstacles.                         |                    |                  |                |                   |
| 2   | I teach before a culturally mixed group and minimize judging based on pre-established norms. |                    |                  |                |                   |

|    |  |  |  |  |  |
|----|--|--|--|--|--|
| 3  | I welcome and value other ethnics and religions.   |  |  |  |  |
| 4  | I welcome and value other cultures and beliefs.  |  |  |  |  |
| 5  | I solve pedagogical problems from multiple perspectives.   |  |  |  |  |
| 6  | I show willingness and openness to the different subject matters.  |  |  |  |  |
| 7  | I adopt other roles rather than a teacher in my EAP classes (e.g. researcher, materials developer, syllabus designer).   |  |  |  |  |
| 8  | I manage to work in different academic contexts as an EAP teacher.   |  |  |  |  |
| 9  | I view learners' differences as learning opportunities and embrace them in my teaching practice.   |  |  |  |  |
| 10 | I update teaching and knowledge regularly and include recent topics in my lesson plan.   |  |  |  |  |
| 11 | I challenge conventional teaching approaches, and design and implement new programs/processes.   |  |  |  |  |
| 12 | I engage with the world and explore international values, beliefs, attitudes, and customs.   |  |  |  |  |
| 13 | I welcome international visits to other universities and other cultures.   |  |  |  |  |
| 14 | I am eager to work with international students.  |  |  |  |  |
| 15 | I understand the ethical and professional responsibilities of a teacher in the higher education context.   |  |  |  |  |
| 16 | I understand the impact of disciplinary solutions in global and societal contexts.   |  |  |  |  |
| 17 | I start projects, strategies, and plans on one's own.  |  |  |  |  |
| 18 | I am willing to sacrifice parts of my ideas and adopt others to get the best results in teamwork cooperation.  |  |  |  |  |
| 19 | I listen to dissident voices to strengthen the internationalized curriculum.   |  |  |  |  |
| 20 | I understand the importance of the role of my faculty to satisfy the financial, educational, and cultural goals of IHE (internationalization of higher education). |  |  |  |  |
| 21 | I consider different students' learning styles and communication styles in my teaching approach.   |  |  |  |  |
| 22 | I take care of my international students and deal with their problems.   |  |  |  |  |

<sup>1</sup>Bharatamuni, *The Natya Sastra*, p. 417. (31) pp. 10-25). Chun InPyong "Ancient Indian music in *Natya Sastra*," *Bidankil Umakwa Hanguk Umak*. (Silk road music and Korean music), (Seoul: ChungAng University Press, 1996), pp. 108-109.12) In the English translation of the *Natya Sastra*, the lengths of syllables are explained as being short, long and *pluta*. Sharma uses the terms *laghu*, *guru* and *pluta*, respectively. Akella Mallilarjuna Sharma, *Permulative Genius in Tala(-Prastara) in Indian Music* (Hyderabad India: Telegu University, 1992), p. 5.

<sup>2</sup> Akella Mallilarjuna Sharma, *Permulative Genius in Tala(-Prastara) in Indian Music*, Hyderabad India: Telegu University, 1992, p. 5.

<sup>3</sup> In Sanskrit Prosody, metre is measured in terms of *matra* (i. e., the time taken in uttering a short vowel). A *laghu* is a syllable containing one *matra*. *Guru* contains two *matras*, and *pluta* three. Mukund Lath, *A Study of Dattilam -A Treatise on the Sacred Music of Ancient India*-(New Delhi: IMPEX INDIA, 1978), p. 322.

<sup>4</sup> The *cancatputa tala* has two long syllables followed by one short syllable and then the final *Pluta* syllable. Bharatamuni, *The Natya Sastra*, p. 417. (31, 10-14)

<sup>5</sup> The *capaputa tala* which is *tryasra* consists of one long syllable, followed by two short syllables and then a long syllable. Bharatamuni, *The Natya Sastra*, p. 417. (31, 10-14)

<sup>6</sup> It is called *pancapani* when effected by *satpitaputraka*. Its *patakala* is as follows: *pluta*, short, long, long, short and then *pluta*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 19-22)

<sup>7</sup> It is also called *pacapani* and consists of six *patas* and six syllables. Its six *patas* are as follows: *sannipata*, *tala*, *samya*, *tala*, *samya*, *tala*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 19-25).

<sup>8</sup> There is another type of *taladi* in *Tryasra*. It is termed *sampakvestaka* and has five long syllables, including one at the beginning and one at the end which are *pluta*. The *patas* are as follows: *sannipata, samya, tala, samya, and tala*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 23-25).

<sup>9</sup> If the *tryasra* consists of three heavy (long) syllables, its *kalas* are as follows: *niskrama, samya* and *samya*. It is termed *udghattah*. Bharatamuni, *The Natya Sastra*, p. 417. (31, 23-25)

<sup>10</sup>.) According to this theory, the *tala* are expanded according to the *tryasra* and *caturasratala* and in this way they are like other ancient *talas*. In this *tala* every part of the *tala* is indicated by a clap. The system of *matra* and syllables in ancient *tala* is as follows:

SymbolMatraSyllables

|                  |     |    |
|------------------|-----|----|
| <i>Anudruta</i>  | 1/4 | 1  |
| <i>Druta</i>     | 1/2 | 2  |
| <i>Daivirama</i> | 3/4 | 3  |
| <i>Laghu</i>     | 1   | 4  |
| <i>Lavirama</i>  | 3/2 | 6  |
| <i>Guru</i>      | 2   | 8  |
| <i>Pluta</i>     | 4   | 16 |

A. K. Sen, 1994. *Indian Concept of Rhythm*. Delhi: Kanishka Publishers, pp. 93-94.

<sup>11</sup> G. H. Tarlekar, *Studies in the Natya Sastra* (Delhi: Motilal Banarsidass Publishers Private Limited, 1975), p. 164. *Eka* of *ekakala vidhi* means '1', *dvi* of *dyikala vidhi* means '2', and *catus* of *catuskala vidhi* means '4'. *Vidhi* denotes form, method, motto, way, rule etc. T. W. Rhys Davids-William Stede, *Pali-English Dictionary* (Delhi: Motilal Banarsidass Publishers Private Limited, 1993), p. 623.

<sup>12</sup> There are two types of *tala*: *caturasra* and *tryasra*. Both of them have same source of origin. Bharatamuni, *The Natya Sastra*, p. 416. (31, 7, 8)

<sup>13</sup> Editor unknown, *Dongdaegeumbo*(東大琴譜, A.D. 1813), Hangukuemakhak Jaryeochongseo(Series of Korean Musicological materials) (Seoul: National Center For Korean performing arts, 1987) Vol. 22, pp. 115-42.

<sup>14</sup>Chun in pyong, *Asian music odyssey*(Seoul: Council for Asian musicology, 2015) p. 334.

<sup>15</sup> This was informed by prof. Raggiat Panyayos, Chiang Mai Natasin. ((Raggiat Panyayos, Chiang Mai Dramatic arts college(NATASIN), Thailand)

<sup>16</sup>Yuan jun 沅君, *Zhong guo gu dian xi gu yan jiu* 中國古典戲曲研究 (Taipei: 學藝出版社, 1945) p. 357.

<sup>17</sup> Goo hou yong, *min zu qi yue gai lun*, pp. 301-302.