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# RAKSTI

## SOCIOLOGIJA

**Галина Соколова**

### **СРЕДНИЙ КЛАСС В РЕСПУБЛИКЕ БЕЛАРУСЬ: СОСТОЯНИЕ И ПРОБЛЕМЫ ФУНКЦИОНИРОВАНИЯ**

На основании авторского определения среднего класса рассмотрены критерии выделения и характеристики белорусского среднего класса, выявлены проблемы функционирования среднего класса в Республике Беларусь. В качестве критериев экономической стратификации общества выбрано соотношение уровня доходов населения с величиной минимального потребительского бюджета (МПБ) и величиной бюджета прожиточного минимума (БПМ). Выступая основными социальными нормативами, данные критерии позволяют соотносить между собой показатели государственной статистики, данные выборочных обследований домашних хозяйств и результаты социологических исследований. Основными функциями среднего класса в его западном варианте являются: диверсификация общества по социальным группам за счет наполнения среднего класса новыми претендентами; стабилизация общества в силу высокого уровня восходящей экономической мобильности, эффективное воспроизводство научного и образовательного потенциала. Выполнение названных функций превращает средний класс в носителя национальной культуры и выразителя общественных интересов. Показано, что в плане выполнения функции диверсификации средний класс белорусского общества включает в себя практически все социальные группы. В аспекте выполнения образовательной функции, белорусский средний класс состоит из высококвалифицированных специалистов и рабочих, а также наиболее успешных предпринимателей. Что касается осуществления функции стабилизации общества на основе восходящей экономической мобильности, то определенная мобильность наблюдается, но в ограниченном диапазоне. За период с 1995 по 2013 год удельный вес малообеспеченного слоя (страты) уменьшился более чем в 7 раз, доля нижнего слоя уменьшилась в 2 раза. При этом произошло четырехкратное возрастание слоя «ниже среднего» и превращение его в базовый (основной) слой общества, составивший в 2013 г. 51.8% от всего населения (при доле среднего класса – 23.4%). Базовый слой как бы «вбирает» в себя нижние слои и «консервирует» в диапазоне от 1 до 2 МПБ половину населения республики, выполняя функцию стабилизации белорусского общества как «равенство в бедности». По результатам социологических исследований выявлено, что базовый слой замещает средний класс по выполнению количественных функций – диверсификации и стабилизации общества, но не может заместить его по выполнению качественных функций – агента экономического и социального прогресса.

**Ключевые слова:** средний класс, критерии выделения среднего класса, характеристики среднего класса, функции среднего класса, базовый слой.

### Vidusšķira Baltkrievijas Republikā: stāvoklis un funkcionēšanas problēmas

Pamatojoties uz autorei izvirzīto vidusšķiras definīciju, izpētīti baltkrievu vidusšķiras atšķirību kritēriji un to raksturojums, nosakot Baltkrievijas vidusšķiras funkcionēšanas problēmas. Par kritērijiem sabiedrības ekonomiskajai stratifikācijai izvēlēta iedzīvotāju ienākuma līmeņa attiecība pret minimālā patēriņa budžeta (MPB) un iztikas minimuma budžeta (IMB) lielumu. Pielietojot pamata sociālos normatīvus, izvēlētie kritēriji ļauj savstarpēji salīdzināt valsts statistikas rādītājus, mājsaimniecību apsekojuma izvēles datus un socioloģisko pētījumu rādītājus. Vidusšķiras galvenā funkcija rietumu sabiedrība izpaužas šādi: sabiedrības iedalīšana sociālajās grupās uz vidusšķiras palielināšanās ar jauniem pretendentiem rēķina; sabiedrības stabilizēšana, ņemot vērā pieaugošās ekonomiskās mobilitātes augsto līmeni, kā arī efektīvo zinātnes un izglītības potenciāla atjaunošanu. Iepriekšminēto funkciju izpilde dod iespēju vidusšķirai pārstāvēt nacionālās kultūras un sabiedrības intereses. Pierādīts, ka diversifikācijas funkcijas izpildes jomā baltkrievu sabiedrības vidusšķira ietver praktiski visas sociālās grupas. No izglītības funkcijas aspekta, baltkrievu vidusšķira sastāv no augsti kvalificētiem speciālistiem un strādniekiem, kā arī veiksmīgākajiem uzņēmējiem. Saistībā ar sabiedrības stabilizācijas funkcijas izpildi ekonomiskās mobilitātes palielināšanās ietekmē, nosacīta mobilitāte tiek novērota ierobežotā diapazonā. Laika periodā no 1995. gada līdz 2013. gadam nosacītais maznodrošinātā slāņa svars samazinājās vairāk nekā 7 reizes, bet apakšējā šī slāņa daļa samazinājās 2 reizes. Tajā pašā laikā četrkārtīgi pieaudzis “zemāk par vidējo” slānis un tas pārvērties par sabiedrības pamata slāni, kas 2013. g. ietvēra 51,8% no visiem iedzīvotājiem (pie 23,4% vidusšķiras daļas). Pamata slānis it kā “iekļauj” sevi zemākos slāņus un “iekonservē” diapazonā no 1 līdz 2 MBP pusi no republikas iedzīvotājiem, izpildot baltkrievu sabiedrības stabilizācijas funkciju kā “nabadzībai līdzvērtīgu”. Pēc socioloģisko pētījumu datiem noskaidrots, ka pamata slānis aizstāj vidusšķiru saistībā ar kvantitatīvo funkciju izpildi – sabiedrības diversifikāciju un stabilizāciju, bet nevar to aizvietot kvalitatīvo funkciju izpildē, kā ekonomiskā un sociālā progresa aģents.

**Atslēgas vārdi:** vidusšķira, vidusšķiras noteikšanas kritēriji, vidusšķiras raksturojums, vidusšķiras funkcijas, pamata slānis.

### Middle class in the Republic of Belarus: state and the problems of functioning

On the basis of author's definition of middle class, criteria of allocation and the characteristics of Belarusian middle class are considered, the problems of functioning of middle class in Belarus are revealed. As social stratification criterion in society is chosen correlation of population incomes level with size of minimum consumer budget (MCB) and subsistence level budget (SLB). Acting as basic social specifications, given criteria allow correlating among themselves the indicators of state statistics, data of selective inspections of household income per capita and the results of sociological researches. The basic functions of middle class in its western variant are: diversification of society into social groups at the expense of middle class filling by new applicants; stabilization of society owing to high level of ascending economic mobility, effective reproduction of scientific and educational potential. Performance of the named functions transforms middle class in the bearer of national culture and the exponent of public interests. It is shown, that in respect of performance of diversification function, and middle class in Belarusian society includes practically all social groups. In respect of performance of educational function, Belarusian middle class includes the specialists of high qualification and the workers with high level of skill. As to realizing of stabilization function in society on the basis of ascending economic mobility, certain mobility is observed, but in the limited range. Since 1995 to 2013, the share of bottom stratum has decreased more than in 7 times, the share of lower stratum has decreased in 2 times. At the same time there was a quadruple increase of stratum “below an average” and its transformation into the basic stratum of society which has made 51.8% of total population in 2013 (middle class has only 23.4% of total population).



The basic stratum as though “incorporates” the lower strata and «preserves» half of population in a range from 1 to 2 МСВ, originally carrying out function of Belarusian society stabilization as “equality in poverty”. On the results of sociological researches it is revealed, that basic stratum replaces middle class for performance of quantitative functions – diversification and stabilization of society, but cannot replace it for performance of qualitative functions for the agent of technological, economic and social progress.

**Key words:** middle class, criteria of middle class allocation, characteristics of middle class, middle class functions, basic stratum.

## **Введение**

Средний класс западных обществ, с которым соотносятся идеи социальной стабильности, гармонии и устойчивого развития, индивидуальной свободы, экономической независимости и достойного существования, рассматривается в качестве ключевого момента модели социального развития, к которой идет большинство современных обществ. В России, например, становление среднего класса связывалось прежде всего с экономическим развитием страны в рамках концепции либеральных реформ начала 1990-х годов. Однако социальным итогом реформ стало не формирование процветающего среднего класса, а размывание ранее существовавших в стране средних слоев и обострившаяся поляризация общества.

О среднем классе пишут ученые, политики, журналисты; при этом одни рассматривают его как основу социальной стабильности общества, другие – как главную движущую силу реформ, третьи – как и то и другое вместе. Так, Т.И. Заславская и Р.В. Рывкина отмечают, что сейчас «спрос на средний класс» особенно велик потому, что именно этот слой в принципе мог бы стать двигателем рыночных перемен, развития в стране цивилизованного рынка. По существу, велик спрос не столько на сам средний класс, сколько на функции, которые он мог бы выполнять. Так, высокая конфликтность общества породила, по мнению авторов, огромный спрос на «стабилизирующее воздействие среднего класса» (Zaslavskaja 2002: 468–494; Ryvkina 2001: 291–400).

К наиболее известным и глубоким исследователям, разрабатывающим методологию адаптации характеристик феномена западного среднего класса к реалиям постсоветского общества, относятся Е.М. Аврамова и Т. Малева (Avramova et al. 2003: 506), М.К. Горшков и Н.Е. Тихонова (Gorshkov, Tikhonova 2008: 320). В их трудах изучены и выявлены те элементы социальной структуры современной России, которые потенциально могут претендовать на роль среднего класса; количественная и качественная динамика средних классов в России; оценены условия и перспективы их развития.

**Цель** авторского исследования – анализ состояния и проблем функционирования среднего класса в Республике Беларусь. Достижение поставленной цели предполагает решение следующих **задач**: определить понятия и описываемый ими феномен среднего класса; обосновать критерии выделения и характеристики среднего класса; выявить проблемы функционирования среднего класса в белорусском обществе.

## Основные определения среднего класса

Социальная структура общества представляет собой совокупность взаимосвязанных и взаимодействующих социальных групп, различающихся местом в общественном разделении труда, располагаемыми ресурсами, социальным статусом, а также ценностями, потребностями, интересами, стратегиями поведения, образом и стилем жизни. В этом плане, прежде чем говорить о среднем классе, следует выявить классообразующие признаки социального класса как такового. Наиболее плодотворная работа в этом направлении проделана П.А. Сорокиным, который определяет социальный класс как *«совокупность лиц, сходных по профессии (занятости – авт.), по имущественному положению, по объему прав, а следовательно, имеющих тождественные профессионально + имущественно + социально-правовые интересы»* (Sorokin 1993: 376–387).

Согласно данной классификации население большинства государств распадается на четыре основные класса: *класс трудовых крестьян* (занятие – обработка земли физическим способом, имущественное положение – среднее или относительно бедное, объем прав – ограниченный); *класс наемных рабочих* (занятие – наемный труд физического характера, имущественное положение – от среднего до бедного, объем прав ограничен рамками трудовых контрактов); *класс землевладельцев* (занятие – получение земельной ренты и выполнение интеллектуально-управленческих функций, имущественное положение – богатые относительно рабочих и крестьян, объем прав – привилегированный); *класс капиталистов* (занятие – производство промышленного, торгового и финансового капитала, имущественное положение – богатые, объем прав – привилегированный, но иной, чем у землевладельцев). Органичное раскрытие определения социального класса, данного П.А. Сорокиным, в системе операциональных показателей позволяет считать его наиболее разработанным и наиболее «работающим» в конкретном социологическом контексте.

Развивая определение П.А. Сорокина применительно к так называемым средним классам, мы определяем их как *«иерархию социальных групп, сходных по профессии (занятости), имущественному положению, объему гражданских прав, занимающих срединное положение в обществе и разделяющих ценности трудовой и рыночной идеологии»* (Sokolova 2013: 211–215).

Средний класс, при условии большого удельного веса, становится фактором социальной интеграции общества в силу реализации ряда важнейших общественных функций. *Во-первых*, в рамках среднего класса максимально выполняется условие диверсификации (разнообразия) общества по социально-профессиональным группам. При этом низший-средний, средний-средний и высший-средний слои, составляющие средний класс, дифференцируются по показателям рода занятий и уровня квалификации, размера дохода и объему гражданских прав. *Во-вторых*, средний класс способствует поддержанию относительной общественной стабильности благодаря характерному для него высокому уровню восходящей экономической мобильности. При этом большое число взаимообменов происходит как внутри самого среднего класса, так и с другими частями социальной структуры общества. *В-третьих*, средний класс выполняет функцию агента тех-

нологического и социально-экономического прогресса, сосредотачивая в своих рядах наиболее квалифицированные кадры общества, отличающиеся высоким профессионализмом, значительным деятельностным потенциалом, гражданской активностью. Для представителей всех его слоев (страт) характерна четкая самоидентификация – соответствие между их социально-профессиональными характеристиками и выбором страты, к которой они себя относят. Так, доля лиц, идентифицирующих себя со средним классом, увеличивается по мере роста уровня образования, социального престижа, размера денежных доходов, объема гражданских прав. Как видим, выполнение функции социального стабилизатора общества предполагает не только удовлетворенность представителей среднего класса существующим социальным порядком, но также его массивность и срединное положение в обществе. А чтобы стать носителем национальной культуры и выразителем общественных интересов, этот класс должен обладать всеми названными выше характеристиками (Sokolova 2013: 211–215).

По данным ВЦИОМ, основную часть российского общества составляет слой, который Т.И. Заславская называет *базовым*, потому что к нему относятся 2/3 занятых в экономике и более половины населения России. Термин «базовый» представляется наиболее удачным, так как данный слой и в самом деле составляет социальную базу общества. Это специалисты массовых профессий (инженеры, учителя, врачи и др.), служащие без специальности, промышленные рабочие, крестьяне, фермеры, представители массовых профессий сферы обслуживания. В базовый слой перешла основная часть прежнего среднего класса, и большинство его представителей обладают достаточным профессионально-квалификационным потенциалом, чтобы при благоприятной социально-экономической конъюнктуре вернуться в состав среднего класса (Zaslavskaja 2002: 479–480).

### **Критерии выделения и характеристики белорусского среднего класса**

Основные направления стратификационных сдвигов в белорусском обществе в период 1990-х годов состоят в следующем: социальная структура стала более подвижной, возросло многообразие социальных статусов, однако нисходящая экономическая мобильность крупных социальных групп до нулевых годов доминировала над восходящей. Начиная с 2005 года восходящая мобильность преобладает, что способствует перемещению базового слоя из диапазона (от БПМ до МПБ) в диапазон (от 1 МПБ до 2 МПБ). Существенно изменилась и значимость компонентов социального статуса – если раньше положение людей определялось уровнем занимаемой должности, то теперь их социальный вес все более определяется уровнем располагаемых ресурсов. Роль профессионально-квалификационного и культурного фактора в формировании высокостатусных групп усилилась, а в социальной дифференциации основной части населения – ослабла. Основной задачей государственной социальной политики становится экономическое, правовое и информационное содействие развитию различных форм социально-инновационной деятельности слоев общества в сфере технико-технологического и социального прогресса.

В поисках среднего класса представляется наиболее рациональным выбрать в качестве *критерия* социальной стратификации соотношение уровня доходов населения с величиной минимального потребительского бюджета (МПБ) и величиной бюджета прожиточного минимума (БПМ), составляющего 60% МПБ (1). Выступая *основным социальным нормативом*, минимальный потребительский бюджет позволяет соотносить между собой показатели государственной статистики, результаты выборочных обследований домашних хозяйств (публикуемые в статистических бюллетенях) и результаты мониторинговых социологических исследований республиканского масштаба, ежегодно проводимых Институтом социологии Национальной академии наук Беларуси. Подобная многоступенчатая проверка дает возможность корректно классифицировать и исследовать социальные страты белорусского общества по уровню денежного дохода в среднем на душу населения.

Таблица 1

**Социальная стратификация белорусского общества по критериям минимального потребительского бюджета (МПБ) и бюджета прожиточного минимума (БПМ), % (2013 г.)**

Страты с уровнем денежных доходов	По данным государственной статистики, % от общей численности населения					По данным социологического исследования, % от числа ответов на вопрос о денежном доходе (11. 2013 г.)
	1995	2000	2005	2008	2013	
Свыше 5 МПБ (элитарный слой)	0.1	0.2	0.4	1.4	1.2	1.2
От 3 до 5 МПБ (верхний слой)	1.0	1.2	2.4	4.1	7.1	5.3
От 2 до 3 МПБ (средний слой)	5.4	6.7	12.3	17.9	15.1	13.8
От 1 до 2 МПБ (базовый слой)	13.1	15.1	42.9	53.3	51.8	55.5
От БПМ до МПБ (нижний слой)	42.0	34.9	29.3	17.2	19.3	16.1
Ниже БПМ (малообеспеченные)	38.4	41.9	12.7	6.1	5.5	8.1
Итого	100.0	100.0	100.0	100.0	100.0	100.0

**Источник:** Belstat 2014, str. 125, 127.

Рассмотрение экономической стратификации белорусского общества на базе данных государственной статистики показывает, что в процессе стабилизации экономики, т.е. за период с 1995 по 2013 год, удельный вес малообеспеченного населения (ниже БПМ) уменьшился более чем в 7 раз, доля нижнего слоя уменьшилась в 2 раза. При этом, произошло четырехкратное возрастание слоя «ниже среднего» и превращение его в базовый (основной) слой, составивший в 2013 году 51.8% населения. Средний, верхний и элитарный слои, которые мы относим к среднему классу, составили в 2013 г. только 23.4% от всего населения. По результатам республиканского социологического исследования, проведенного в ноябре 2013 г., базовый слой составил 55.5%, а совокупность слоев среднего класса — 20.3% от всего населения (табл. 1). Использование данных социологического

исследования, совпадающих с данными государственной статистики в пределах  $\pm 5\%$ , позволяет раскрыть внутреннюю структуру каждого из выделенных социальных слоев (страт) (табл. 2).

Таблица 2

**Доля представителей разных социальных групп в каждой страте общества по уровню располагаемых денежных ресурсов, % (2013 г.)**

Величина денежных доходов	Руководитель	Служащий	Рабочий	Крестьянин	Предприниматель	Безработный	Домохозяйка	Учащийся (стационар)	Пенсионер (неработающий)	Другое	Итого
Свыше 5 МПБ (элитарный слой)	0.1	0.1	0.5	0.0	0.3	0.0	0.0	0.1	0.0	0.1	1.2
От 3 до 5 МПБ (верхний слой)	1.2	1.4	1.0	0.1	0.3	0.0	0.0	0.5	0.3	0.4	5.3
От 2 до 3 МПБ (средний слой)	2.8	4.2	3.6	0.0	0.3	0.1	0.3	0.8	1.3	0.4	13.8
От 1 до 2 МПБ (базовый слой)	3.9	10.3	9.9	1.3	1.0	1.3	2.3	3.8	19.9	1.8	55.5
От БПМ до 1 МПБ (нижний слой)	0.6	3.1	3.8	1.3	0.2	0.8	1.0	0.8	3.8	0.7	16.1
Ниже БПМ (малообеспеченные)	0.0	0.9	1.8	0.3	0.3	1.3	0.3	1.9	1.1	0.2	8.1
<b>Итого</b>	<b>8.6</b>	<b>20.0</b>	<b>20.6</b>	<b>3.0</b>	<b>2.4</b>	<b>3.5</b>	<b>3.9</b>	<b>7.9</b>	<b>26.4</b>	<b>3.7</b>	<b>100.0</b>

Примечание 1: В социологическом исследовании, проведенном в ноябре 2013 г., выборочная совокупность составила 2110 чел. Предельная ошибка выборки по оценочным показателям, гарантированная с 95-процентной вероятностью, составила  $\pm 2\%$ . С учетом данной погрешности, выводы исследования можно экстраполировать на генеральную совокупность, т. е. население республики. Данные в таблицах рассчитаны от числа ответивших, принятого за 100%.

Примечание 2: Таблица описывает двумерное совместное распределение респондентов по социальным группам и уровню доходов, т. е. сумма относительных частот (%) по всей таблице равна 100%. Это позволяет производить сравнение любых относительных частот внутри таблицы, а также сравнивать соответствующие частоты в разных таблицах.

**Источник:** Belstat 2014, str. 125, 127.

Так, *малообеспеченный* слой, составляющий, по данным социологического исследования 8.1%, состоит на 1/5 — из рабочих низкой квалификации, на 3/5 — из неработающих пенсионеров и инвалидов, располагающих наименьшими средствами к жизни; (по 1/10 приходится на крестьян, домохозяйек и учащихся). *Нижний* слой, составляющий 16.1%, состоит на 1/5 из специалистов массовых трудозбыточных профессий (бухгалтеров, экономистов, юристов, учителей и др.), а также работников торговли и сферы обслуживания, на 1/5 — из рабочих средней квалификации, на 2/5 из пенсионеров (доля остальных слоев менее значительна). *Базовый* слой, составляющий 55.5% респондентов, состоит на 1/4 из квалифи-

цированных служащих, на 1/4 – из рабочих средней квалификации, примерно на 1/2 – из пенсионеров (доля остальных слоев менее значительна). *Средний* слой, составляющий 13.8%, состоит на 1/3 из высококвалифицированных специалистов, на 1/5 – из высококвалифицированных рабочих (в среднем по 1/10 приходится на предпринимателей, пенсионеров, учащихся, домохозяек). *Верхний* слой, составляющий 5.3%, почти полностью состоит из руководителей высшего звена, высококвалифицированных и востребованных служащих и рабочих, наиболее успешных предпринимателей. Исходя из наполнения элитарного слоя (1.2%) фактически теми же профессиональными группами, что и верхний слой, целесообразно, по нашему мнению, определить его как элитарный слой среднего класса.

Таким образом, вместе с *элитой*, состоящей из наиболее успешных руководителей, служащих, рабочих и предпринимателей, верхний слой образует те 5–6% относительно благополучных белорусов, которые обнаруживаются практически во всех исследованиях социальной стратификации белорусского общества. По критерию *располагаемых денежных ресурсов* мы можем отнести к *среднему классу* средний, верхний и элитарный слои, составляющие в совокупности, по данным государственной статистики, 23.4%, а по результатам социологического исследования – 20.3% от всего населения.

Принадлежность к среднему классу связана с наличием интеллектуального капитала в виде *среднего специального и высшего образования* и постоянным характером занятости, т.е. наличием реального рабочего места и круга обязанностей. В западной литературе эти два признака характеризуются одним термином – «professional». В современном обществе положение в профессиональной структуре является одной из характеристик, определяющей жизненные шансы человека и, следовательно, формирующей социальный класс в веберовской трактовке данного термина (Veber 1994: 147–156), точнее, в том случае, если в течение жизни человека не происходит значимых социальных потрясений, а каналы социальной мобильности открыты. На Западе большинство исследователей придерживаются мнения, что возникновение новых средних классов связано с профессионализацией и формированием управленческих позиций. Характерно, что профессия, как универсальный индикатор среднего класса, может использоваться только в странах, где в силу предыстории достаточно надежно реализуется цепочка: «образование – предпосылка, профессия – средство, доход – конечная цель». В нашей ситуации консистентность этих признаков пока не достигается, что делает неизбежным обращение к уровню материальной обеспеченности и самоидентификации как корректирующим характеристикам.

Анализ структуры образования показал, что в Республике Беларусь *начальное и среднее неполное образование* представлено, в основном, пенсионерами; *среднее общее* – на 1/3 – пенсионерами, по 1/3 приходится на рабочих низкой и средней квалификации и учащихся; *среднее специальное* – на 1/3 представлено служащими, на 1/3 – рабочими высокой и средней квалификации, на 1/3 – пенсионерами; *высшее (незаконченное высшее)* – на 2/3 – руководителями и служащими высокой квалификации, (остальные доли менее значимы) (табл. 3).

Таблица 3

**Доля представителей разных социальных групп населения  
по уровню образования, % (2013 г.)**

Уровень образования	Руководитель	Служащий	Рабочий	Крестьянин	Предприниматель	Безработный	Домохозяйка	Учащийся (стационар)	Пенсионер (неработающий)	Другое	Итого
Начальное	0.0	0.0	0.1	0.1	0.1	0.1	0.1	0.1	3.0	0.0	3.6
Среднее неполное	0.0	0.1	1.0	0.5	0.1	0.2	0.3	3.3	6.8	0.4	12.6
Среднее общее	0.6	2.1	6.5	0.8	0.6	1.6	1.3	4.8	5.7	0.7	24.7
Среднее специальное	3.0	8.4	11.8	1.2	1.4	1.8	1.5	1.0	7.1	3.0	40.3
Высшее (незаконченное) высшее	4.3	6.8	1.1	0.1	0.8	0.5	0.8	0.4	2.9	0.9	18.7
Послевузовское	0.1	0.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.2
Итого	8.1	17.4	20.4	2.8	3.0	4.2	3.9	9.5	25.6	5.0	100.0

**Источник:** Данные социологического исследования 2013 г.

Обратим внимание на то, что доля лиц со средним специальным и высшим образованием составляет 59.0%, а доля лиц, выделенных в средний класс по критерию *располагаемых денежных ресурсов* 20.3% (см. табл. 1). Выделение лиц по критерию *профессионального статуса* (постоянного рабочего места и функциональных обязанностей), т.е. ограничение объема респондентов активными профессиональными группами (руководители, служащие, рабочие, крестьяне, предприниматели), показало, что их удельный вес составляет 51.7% от респондентов, ответивших на вопрос об уровне образования. Очевидно, что цепочка «образование – предпосылка, профессия – средство, доход – конечная цель» не реализуется, а уровень располагаемых среднедушевых денежных ресурсов выступает, по силе ограничения, основным признаком выделения среднего класса, при условии соответствующего профессионального статуса и наличии среднего специального и высшего образования. Получается, что «образование как предпосылка» охватывает более 1/2 белорусского населения, «профессия как средство» – чуть более 1/2, «доход как конечная цель» – 1/5 белорусского населения. Полагаем, что это свидетельствует о серьезной проблеме, связанной со значительным недоиспользованием образовательного потенциала общества, а также – о проблеме неадекватной оценки трудовых затрат тех или иных профессиональных групп при наличии неэффективной структуры занятости. Имеет место наличие больших групп трудоизбыточных профессий, что отражает рассогласование предложения со стороны рынка образовательных услуг и спроса на те или иные профессии со стороны рынка труда.

Исходя из структуры среднего, верхнего и элитарного слоев среднего класса по уровню денежных доходов (табл. 1), можно рассматривать их иерархию как

своеобразный «эмбрион» белорусского среднего класса, в котором, по данным государственной статистики, низший-средний класс составляет 15,1%, средний-средний – 7.1%, высший-средний – 1.2% (по результатам социологического исследования – 13.8%, 5.3% и 1.2% соответственно).

Зададимся вопросом, в какой мере «эмбриональный» средний класс белорусского общества, которому еще предстоит развиваться и проявить себя в полной мере, соответствует качественным характеристикам среднего класса в его западном варианте.

*Срединное положение* между «верхами» и «низами» белорусский средний класс занимает разве что по уровню доходов: они в 2–3 раза выше, чем в базовом слое и ниже, чем у наиболее состоятельной части элиты. Однако так называемые «верхи» в белорусском обществе, т. е. люди, обладающие высокими по западным меркам доходами, составляют немногим более 1% всего населения; в данном контексте их можно считать высшим-средним классом и ограничивать положение среднего класса только «снизу».

*Массивность, концентрация большей части* общества не свойственны белорусскому среднему классу, составляющему 1/5 всего населения; 4/5 населения сконцентрированы в базовом, нижнем и малообеспеченном слоях.

*Образование, квалификация, социальный престиж* – все это присуще белорусскому среднему классу, состоящему, как упоминалось, из высококвалифицированных и востребованных специалистов и рабочих высокой квалификации; что же касается социального престижа, то уровень оплаты труда и перекосы в заработной плате значительно снижают его престижность.

*Достаточно высокий статус и удовлетворенность жизнью* присущи представителям белорусского среднего класса «в средней мере» и во многом определяются уровнем их доходов.

Таким образом, средний класс белорусского общества мог бы выйти из своего эмбрионального состояния при выполнении ряда условий, главным из которых является повышение его удельного веса и интеллектуального влияния в обществе. При улучшении социально-экономической ситуации этот класс начнет пополняться наиболее образованными и активными профессионалами из нынешнего базового слоя, станет более весомым и совершенным по своей структуре.

## **Проблемы функционирования белорусского среднего класса**

Не будем забывать, что средний класс выделяется не только по своим характеристикам, но и, главным образом, по тем функциям, которые он должен выполнять. Основными функциями среднего класса в его западном варианте являются: *диверсификация* общества по социальным группам за счет наполнения среднего класса новыми претендентами, материальное состояние которых достигает необходимых стандартов; *стабилизация* общества в силу высокого уровня восходящей экономической мобильности, ведущей к расширению общности людей, разделяющих ценности трудовой и рыночной идеологии; *эффективное воспроизвод-*



ство научного и образовательного потенциала благодаря накоплению и эффективному использованию человеческого капитала в сферах науки и образования. Выполнение названных функций превращает средний класс в носителя национальной культуры и выразителя общественных интересов.

В плане выполнения функции *диверсификации* средний класс белорусского общества включает в себя практически все социальные группы и в этом смысле достаточно разнообразен (табл. 2). Однако наполнения среднего, а тем более верхних слоев, почти не происходит, за счет относительно низкой восходящей экономической и социальной мобильности.

Что касается осуществления функции *стабилизации* общества на основе восходящей экономической мобильности, то определенная мобильность наблюдается, но в ограниченном диапазоне. Как отмечалось ранее, за период с 1995 по 2013 год, удельный вес *малообеспеченного* слоя уменьшился более чем в 7 раз, доля *нижнего* слоя уменьшилась за то же время в 2 раза. При этом произошло четырехкратное возрастание доли среднего слоя и превращение его в *базовый* (основной) слой общества, который, как мы покажем ниже, не представляется возможным отнести к среднему классу. По данным статистики, с наибольшей активностью перемещения происходят между базовым и нижними слоями, с меньшей – между базовым и верхними слоями, практически закрытыми для восходящей экономической мобильности. Получается, что бывший «ниже среднего», а ныне базовый слой как бы «вбирает» в себя нижние слои и «консервирует» в диапазоне от 1 до 2 МПБ свыше половины населения республики, своеобразно выполняя функцию стабилизации белорусского общества. При этом средний класс, представленный высококвалифицированными специалистами, рабочими и наиболее успешными предпринимателями, переместился в диапазон: от 2 до 3 МПБ – (низший-средний класс), от 3 до 5 МПБ – (средний-средний класс), свыше 5 МПБ – (высший-средний класс).

В аспекте самоидентификации, в 2013 г., как и в 2003 г. (Соколова, 2003: 184–197) людьми «среднего достатка» (но не среднего класса) считают себя до 1/3 респондентов, т.е. практически все, кто обладает средним специальным и высшим образованием (табл. 4).

Однако этих людей объединяют весьма скромные материальные возможности и соответствующие им потребности. Так, людьми «со средним достатком» называют себя те, кто располагает средствами на питание, одежду и текущие расходы, но не имеет возможности приобрести крупную бытовую технику (телевизор, холодильник, стиральную машину и др.). В перспективе каждая из социальных групп среднего класса может удвоиться именно за счет базового слоя, а удельный вес среднего класса значительно возрасти при создании благоприятных обстоятельств, так как стремление людей вернуться в состав среднего класса из базового слоя связывается прежде всего с наличием среднего специального и высшего образования и профессионального статуса (реального рабочего места), при оплате труда, соответствующей стоимости жизни.

Таблица 4

**Самоидентификация представителей разных социальных групп со слоями общества по уровню реальных располагаемых ресурсов, % (2013 г.)**

Распределение ответов на вопрос: «Кем Вы себя считаете?»	Руководитель	Предприниматель	Служащий	Рабочий	Крестьянин	Военнослужащий	Безработный	Домохозяйка	Учащийся (стационар)	Пенсионер (неработающий)	Другое	Итого
Богатый человек	0.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.1	0.0	0.0	0.4
Обеспеченный человек	0.8	0.9	0.7	0.6	0.1	0.0	0.1	0.5	1.4	0.3	0.1	5.6
Человек среднего достатка	4.3	3.0	13.8	15.5	2.0	0.8	1.3	1.5	5.7	15.1	2.4	65.4
Бедный человек	1.2	0.1	2.8	4.5	0.6	0.1	0.6	0.6	1.3	7.5	1.0	20.4
Нищий человек	0.1	0.0	0.5	0.2	0.2	0.0	0.1	0.0	0.0	0.6	0.2	2.1
Затрудняюсь ответить	0.1	0.1	1.2	1.3	0.1	0.1	0.2	0.1	1.3	1.2	0.4	6.1
Итого	6.6	4.1	19.1	22.1	3.1	1.1	2.3	2.8	9.8	24.8	4.3	100.0

**Источник:** Данные социологического исследования 2013 г.

Для адекватного определения состояния среднего класса и оценки перспектив его развития как «живого организма общества» рассмотрим, в *какой* общественной среде он функционирует, *какими* общественными ценностями и идеями он обогащается и *каковы*, следовательно, возможности его качественного и количественного наполнения из других слоев общества. Для этого необходимо выяснить, что представляет собой базовый слой как социальная база общества, и почему он не может быть отнесен к среднему классу по своим характеристикам и выполняемым функциям.

В более ранних статьях, посвященных анализу состояния и возможностей развития среднего класса в Беларуси, мы рассматривали базовый слой как возможный резерв для содержательного наполнения среднего класса (Sokolova 2003: 184–197). Однако в ходе последующих исследований выявилась устойчивая тенденция к самостоятельному и стабильному функционированию этого слоя как социальной базы общества (Sokolova 2012: 42–53). Характерно, что базовый слой выполняет, как уже упоминалось, функцию стабилизации, однако он объединяет разные социальные группы по другим признакам, нежели средний класс. А именно: в плане материальных ресурсов – по «уровню равенства в бедности», в аспекте нематериальных ресурсов – на основе сохранения нерыночных ценностей в экономике и социальной сфере. Так, оценивая разные пути развития общества, лишь 1/3 респондентов ратуют за существенные перемены, 1/4 – высказали заинтересованность в сохранении существующего порядка вещей, а 2/5 затруднились в ответе. Отсутствие мнения по данному вопросу у 40% респондентов говорит о том, что сами они не задавались подобным вопросом или относятся к нему безразлично. Более половины таких респондентов сконцентрированы в базовом слое (табл. 5).

Таблица 5

**Оценка представителями разных социальных групп  
путей развития общества, % (2013 г.)**

Распределение ответов на вопрос: «Как Вы считаете, в чем больше всего нуждается сегодня наше общество?»	Служащий	Рабочий	Крестьянин	Предприниматель	Пенсионер (неработающий)	Учащийся (стационар)	Домохозяйка, безработный	Итого
В существенных переменах	11.1	8.8	1.2	1.2	4.8	4.3	3.7	35.1
В сохранении существующего порядка вещей, ситуации	7.2	3.5	1.2	0.4	9.2	1.9	1.4	24.8
Затрудняюсь ответить	11.4	9.3	2.1	0.8	9.4	4.0	3.0	40.1
Итого	29.7	21.6	4.5	2.4	23.4	10.2	8.1	100

**Источник:** Данные социологического исследования 2013 г.

При оценке собственных подходов к решению материальных проблем, 24.7% респондентов «повышают свой доход всеми возможными способами», 45.1% – «стараются жить по средствам», 24.6% – «снижают уровень своих запросов», 5.6% «ничего не предпринимают» (табл. 6). Более глубокий анализ показывает, что те, кто «старается жить по средствам», и составляют значительную часть базового слоя с характерным для него пассивным типом экономического поведения, нацеленным на сохранение «status quo».

Таблица 6

**Оценка представителями разных социальных групп подходов  
к решению материальных проблем, % (2013 г.)**

Распределение ответов на вопрос: «Какого подхода Вы придерживаетесь в решении материальных проблем?»	Руководитель	Предприниматель	Служащий	Рабочий	Крестьянин	Военнослужащий	Безработный	Домохозяйка	Учащийся (стационар)	Пенсионер (неработающий)	Другое	Итого
Повышаю свой доход всеми возможными способами	3.0	2.1	6.0	6.0	0.8	0.3	0.8	0.5	2.1	2.0	1.0	24.7
Стараюсь жить по средствам	2.2	1.2	8.6	10.4	1.6	0.7	0.5	1.2	3.4	13.2	2.2	45.1
Снижаю уровень своих запросов и потребностей	1.1	0.6	4.9	4.9	0.7	0.0	0.6	0.7	2.3	7.9	0.9	24.6
Ничего не предпринимаю, пытаюсь отвлечься от проблем	0.1	0.0	0.7	0.7	0.0	0.0	0.3	0.3	1.8	1.4	0.1	5.6
Итого	6.5	4.0	20.2	21.9	3.1	1.1	2.3	2.7	9.6	24.4	4.2	100.0

**Источник:** Данные социологического исследования 2013 г.

Оценивая свои жизненные предпочтения, 62.3% респондентов, на 3/4 представляющих базовый слой, выразили желание «жить пусть беднее, но зато с гарантированным уровнем, без риска». Желание «жить богаче, но рискуя, действуя с инициативой» выразили 37.7% респондентов, обладающих профессиональным статусом и активно действующих в достижении своих целей (табл. 7).

Таким образом, базовый слой общества, презентующий его социальную платформу, владеет достаточным (для его представителей) образовательным потенциалом, но не обладает достаточными материальными ресурсами и находится в процессе простого воспроизводства своей рабочей силы. Моральное устаревание ценности полученного образования порождает экономическую и гражданскую инертность и затрудняет продвижение его обладателей в средний класс белорусского общества – наиболее восприимчивый к инновационным изменениям в экономической и социальной сферах. Поэтому в своей основной массе базовый слой малопригоден для выполнения функции *агента научно-технического и социального прогресса* и пока не может претендовать на положение среднего класса в белорусском обществе.

Таблица 7

**Оценка представителей разных социальных групп своих жизненных предпочтений, % (2013 г.)**

Распределение ответов на вопрос: «Согласились бы Вы?»	Руководитель	Предприниматель	Служащий	Рабочий	Крестьянин	Военнослужащий	Безработный	Домохозяйка	Учащийся (стационар)	Пенсионер (неработающий)	Другое	Итого
Жить богаче, но рискуя, действуя с инициативой	3.9	2.7	9.0	8.2	1.2	0.5	1.3	1.1	5.7	2.7	1.3	37.7
Жить пусть беднее, зато с гарантированным уровнем достатка	2.5	1.3	11.2	13.6	1.7	0.6	1.1	1.7	4.3	21.6	2.6	62.3
Итого	6.4	4.0	20.2	21.8	2.9	1.1	2.5	2.9	10.0	24.4	3.9	100.0

**Источник:** Данные социологического исследования 2013 г.

Что же касается среднего класса, то его социально-профессиональная структура (1/2 высококвалифицированных руководителей и служащих-специалистов, 1/5 рабочих высокой квалификации и 1/6 наиболее успешных предпринимателей, предоставляющих рабочие места профессионалам) удовлетворяет международным стандартам и, казалось бы, позволяет достойным образом выполнять функцию агента научно-технического и социального прогресса. Однако недостаточный удельный вес и слабое интеллектуальное влияние в обществе, а также относительная закрытость среднего класса, ограничивают деловую и творческую активность его представителей и препятствуют расширенному воспроизводству интеллектуального потенциала.

В целом, можно сказать, что Беларусь пока что тяготеет к общественному устройству со значительным базовым слоем, состоящим по преимуществу из «бюджетников»; с восходящей экономической мобильностью из нижних в базовый слой, и в меньшей мере — из базового в верхние слои; со сравнительно небольшим средним классом, находящимся в «эмбриональном» состоянии по структурным характеристикам и выполняемым функциям. Для выполнения ролевых функций, присущих среднему классу в его западном варианте, средний класс белорусского общества должен стать более многочисленным, приобрести экономическую самостоятельность, стать полноправным субъектом реформирования общества.

### **Заключение**

Опыт экономически развитых стран показывает, что в последнее десятилетие глубина и динамика социально-экономических преобразований во многом зависят от позиции среднего класса, его численности и дееспособности. Однако данные государственной статистики свидетельствуют о том, что белорусский средний класс замещается базовым слоем, включающим в себя половину населения Беларуси. Так, начиная с 2008 года средний класс, составивший к тому времени пятую часть населения, практически закрылся для внешней экономической мобильности, сохраняя лишь внутренние перемещения из «низшего-среднего» в «средний-средний» класс. Что касается базового слоя, то начиная с 1995 года он активно пополняется выходцами из нижнего и малообеспеченного слоев, «вобрав» в себя к 2008 году свыше половины населения Беларуси (табл. 1).

На материалах республиканского социологического исследования обосновано, что базовый слой замещает в белорусском обществе средний класс по выполнению количественных функций — диверсификации и стабилизации общества. Однако функция стабилизации осуществляется в базовом слое по другим признакам, нежели в среднем классе. А именно: в плане материальных ресурсов — по «уровню равенства в бедности»; в аспекте нематериальных ресурсов — на основе сохранения нерыночных ценностей в экономике и социальной сфере (табл. 5–7). По выполнению качественных функций, связанных с эффективным воспроизводством научного и образовательного потенциала, базовый слой не может заместить средний класс, так как не располагает достаточными средствами для непрерывного повышения образования и находится в процессе простого воспроизводства своей рабочей силы.

Социальные последствия преобладания базового слоя, как альтернативы среднему классу, проявляются в том, что общество теряет склонность к новым решениям и способность создавать новые, а не использовать традиционные возможности. Ситуация могла бы принципиально измениться с переходом работников из базового слоя в верхние слои, при условии усиления их мотивации (в том числе, материальными средствами) на упорный эффективный труд, нацеленности на постоянное повышение образовательного уровня и инновационной восприимчивости.

Решение задачи перехода наиболее активных представителей базового слоя в верхние слои по качественным признакам носит комплексный и долгосрочный характер. Оно связано с разумной экономической политикой, обеспечивающей возможность достойной оплаты квалифицированного наемного труда, а также — постоянного совершенствования квалификации кадров. Оно предполагает успешное проведение рыночных реформ, государственную поддержку среднего и малого бизнеса, государственную защиту частной собственности, продуманную и долгосрочную налоговую и кредитную политику. Оно во многом зависит от ясного и четкого законодательства и наличия механизмов реализации принятых законов. Однако ключевым направлением в формировании среднего класса является, как считают экономисты, повышение реальной заработной платы как предпосылки успешной восходящей мобильности. Становление среднего класса в Республике Беларусь невозможно без усиления роли государства в политике инвестирования в материальные и нематериальные ресурсы общества; именно здесь находится центральное звено, взявшись за которое, можно вытащить всю цепочку проблем, связанных с развитием верхних слоев как среднего класса в обществе.

(1) Минимальный потребительский бюджет (МПБ) — это основной социальный норматив, представляющий собой стоимость набора материальных благ и услуг, необходимых для удовлетворения минимальных физиологических и социальных потребностей человека. Среднедушевой минимальный потребительский бюджет семьи из четырех человек с ноября 2013 г. составил 1.660 тыс. руб. (соответственно — бюджет прожиточного минимума — 1.000 тыс. руб.).

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# ЕКОНОМІКА

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## КАДРОВАЯ ДЕЯТЕЛЬНОСТЬ В ОРГАНИЗАЦИЯХ РЕСПУБЛИКИ БЕЛАРУСЬ: ОЦЕНКА РИСКОВ И ПОТЕНЦИАЛА

Предметом исследования является реализация кадровой деятельности в организациях Республики Беларусь. Цель исследования состоит в обосновании необходимости совершенствования кадровой деятельности в организациях Республики Беларусь на основе оценки кадровых рисков и потенциала кадровых служб на современном этапе. Для выполнения поставленной цели разработан и апробирован в 5 организациях Витебской области Республики Беларусь алгоритм диагностики кадровых рисков и оценки транзакционных издержек работодателя, что позволило впервые оценить в стоимостном выражении кадровую деятельность организаций Республики Беларусь. Для оценки потенциала кадровых служб организаций Республики Беларусь проведен анкетный опрос руководителей и сотрудников кадровых служб организаций Витебской области (выборочная совокупность составила 87 организаций). Результаты исследования и предлагаемый аналитический инструментарий могут быть использованы в деятельности организаций для поддержки принятия управленческих решений в области управления персоналом. Проведенное исследование позволило сформулировать ряд рекомендаций для совершенствования реализации кадровой деятельности в отечественных организациях: совершенствование нормативно-правового обеспечения кадровой деятельности в организациях Республики Беларусь путем обновления Типового положения о кадровой службе предприятия (организации) и пересмотра Межотраслевых нормативов численности работников кадровых служб коммерческих организаций; оптимизация должностного состава работников кадровой службы организаций Республики Беларусь; повышение профессионально-квалификационного уровня работников кадровых служб; разработка методического подхода к управлению кадровыми рисками в организации; использование в кадровой работе специализированных программных продуктов в области управления персоналом; тесное сотрудничество учебных заведений и организаций.

**Ключевые слова:** кадровая деятельность, кадровая служба, управление персоналом, кадровые риски, транзакционные издержки.

### Personālvadība Baltkrievijas Republikas organizācijās: risku un potenciāla novērtējums

Pētījuma priekšmets ir personālvadība Baltkrievijas Republikas organizācijās. Pētījuma mērķis ir pierādīt Baltkrievijas Republikas organizāciju personālvadības pilnveidošanas nepieciešamību, pamatojoties uz personāla riska novērtējuma un mūsdienīgu personāla dienestu potenciāla izvērtējuma pamata. Lai izpildītu noteikto uzdevumu, piecās Baltkrievijas Republikas Vitjebskas apgabala organizācijās tika izstrādāts un aprēķināts personāla risku diagnosticēšanas algoritms un novērtētas darba devēja transakciju izmaksas, kas palīdzēja pirmo reizi vērtības izteiksmē noteikt Baltkrievijas Republikas organizāciju personālvadības izmaksas. Baltkrievijas Repub-

likas organizāciju personālvadības potenciāla noteikšanai tika veikta Vitjebskas apgabala vadītāju un personālvadības dienestu darbinieku (izlases kopā tiks ietvertas 87 organizācijas) anketēšana. Pētījuma rezultātus un piedāvāto analītisko instrumentu iespējams izmantot organizāciju darbības atbalstam vadības lēmumu pieņemšanā personālvadības jomā. Pētījuma īstenošana ļāva noformulēt virkni rekomendāciju personālvadības pilnveidošanai nacionālajās organizācijās tiesiski normatīvās bāzes uzlabošanas nodrošināšanai Baltkrievijas Republikas organizācijās šādos virzienos: uzņēmuma personāla dienesta Standarta nolikumu atjaunošana un starptautisko normatīvu par personāla dienestu darbinieku skaitu komercuzņēmumos pārskatīšana; Baltkrievijas Republikas uzņēmumu personāla dienestu darbinieku sastāva optimizēšana; personāla dienestu darbinieku profesionālās kvalifikācijas līmeņa paaugstināšana; metodiskās pieejas kadru risku vadībai izstrādāšana; personālvadības darbā izmantojamo specializēto programmmēšanas produktu personālvadības jomā pielietošana; mācību iestāžu un organizāciju cieša sadarbība

**Atslēgas vārdi:** personālvadība, personāla dienests, personāla vadīšana, personāla riski, transakciju izmaksas.

#### **Human resources management activities in organizations of the Republic of Belarus: assessment of risks and the potential**

The subject of the research is the implementation of human resources management activities in organizations of the Republic of Belarus. The objective of the research is the establishment of the need of improvement of human resources management activities in organizations of the Republic of Belarus on the basis of assessment of personnel risks and the potential of personnel department at the present stage. To implement this goal algorithm of diagnostics of personnel risks and of evaluation of transaction costs of employer was developed and tested in five organizations of Vitebsk region of the Republic of Belarus. The algorithm made it possible to estimate in value terms the cost of human resources management activities of organizations of the Republic of Belarus. To assess the potential of personnel departments of organizations of the Republic of Belarus a questionnaire survey of managers and employees of personnel departments of organizations of Vitebsk region (the aggregate sample consists of 87 organizations) was conducted. The results of the research and the proposed analytical tools can be used in organizations to support adoption of administrative decisions in the field of HR management. The conducted research enabled to formulate a number of recommendations to improve the implementation of human resources management activities in domestic organizations: improving the regulatory framework of human resources management activities in organizations of the Republic of Belarus by updating Standard provision on personnel department of the enterprise (organization) and the revision of Interindustry standards of number of employees of personnel departments of commercial organizations; optimization of official structure of employees of personnel department of organizations of the Republic of Belarus; increasing of vocational level of employees of personnel department; development of methodical approach to management of personnel risks in the organization; using in personnel work specialized software products in the field of HR management; close cooperation of educational institutions and organizations.

**Key words:** human resources management activities, personnel department, HR management, personnel risks, transaction costs.



## Введение

Современные тенденции деятельности организаций, характеризующиеся усилением глобальной конкуренции и интеграционных процессов, формированием и развитием инновационной экономики Республики Беларусь, связаны с повышением внимания к человеческим ресурсам, превалированием мобильного образа жизни, аспекты которого «становятся все более значимыми для жизненного успеха и конкурентоспособности на рынках труда» (Menshikov 2014), необходимостью привлечения и удержания высококвалифицированных работников в организациях. Это предопределяет высокие кадровые риски и требует активизации деятельности кадровой службы. Данные обстоятельства формируют научный и практический интерес к проблеме совершенствования реализации кадровой деятельности в организациях Республики Беларусь. Поэтому важной прикладной задачей является оценка кадровых рисков и потенциала кадровых служб белорусских организаций, их готовности к решению новых задач на современном этапе.

Важность и актуальность кадровой деятельности в современной организации подтверждается многочисленными исследованиями, несмотря на существующую критику управления человеческими ресурсами (Waechter 2013). Так, в исследованиях Б. Беккера (Becker, Huselid, Ulrich 2007) было установлено, что уровень эффективности фирмы тесно коррелирует с уровнем эффективности системы управления человеческими ресурсами. В исследовании компании «*Watson Wyatt*» (Zhukov 2010), охватившем 1600 мировых ведущих компаний, доказано, что доходы акционеров могут возрасти на 31.5% от повышения эффективности работы кадровой службы. Социологи Института социальных исследований Даугавпилсского Университета отмечают, что «не только экономические ресурсы способны нести энергию хозяйственной и социальной жизни общества. Внешне такие разные феномены как доверие, престиж, хороший вкус или внешняя привлекательность человека также способны быть капиталами в хозяйственных и иных взаимодействиях» (Menshikov, Vanags, Volkova 2013: 63). По результатам обследования инновационного поведения промышленных предприятий, проведенного Институтом статистических исследований и экономики знаний НИУ ВШЭ в 2009 г. в рамках Европейского обследования обрабатывающей промышленности (*European Manufacturing Survey*), координируемого Фраунгоферовским институтом системных и инновационных исследований (Карлсруэ, Германия), дефицит квалифицированного персонала на предприятии занимал пятое место по рейтингу факторов, препятствующих инновациям (Kuznetsova, Rud' 2011). Проблемам управления и оценки кадровых рисков посвящены работы А.Р. Алавердова, Г.К. Копейкина, И.Г. Чумарина, С. Ярцевой, П.А. Ваганова (в области безопасности организации), В.Я. Серебряного, А.А. Аминова, Г.Г. Коробовой (как подвид операционного риска в области банковского дела), Г.В. Черновой, В.М. Козубовского, В.Н. Вяткина, И.В. Вяткина, В.А. Гамзы, Л.Н. Тепмана (как часть внутренних рисков организации), Е.С. Жарикова, А.А. Парамонова (в области психологии), А.Г. Бадаловой, Е.Н. Булановой, А.Е. Митрофановой. Вопросам идентификации и оценки кадровых рисков посвящены работы современных зарубежных исследователей.

дователей *Maria I. Marshall, Corinne Alexander, Triant Flouris, Ayse Kucuk Yilmaz, Robert A. Milligan, Bernard L. Erven, V. Frederickson*.

Но ни одна из существующих методик оценки кадровых рисков (Rad'ko 2003; Zharikov, Paramonov 2005; Slobodskoi 2005; Aminov 2007; Bulanova 2008; Novikova 2008; Mikhnevich 2011; Mitrofanova 2013) не может быть применена в деятельности кадровых служб организаций Беларуси ввиду высокой трудозатратности расчетов, отсутствия специальных знаний у кадровых работников, непопулярности предлагаемых методов, отсутствия связи между методиками и реалиями белорусской экономики.

Проблема профессионального и квалифицированного управления человеческими ресурсами организации приобретает в современных условиях развития национальной экономики Республики Беларусь особую актуальность. Задачи становления инновационной экономики, перехода к экономике знаний в сочетании с необходимостью сохранения достигнутой степени социальной защиты населения повышают значимость системы управления на микроуровне в целом и кадровой деятельности организаций, в частности. В этих условиях «каждому предприятию необходимо иметь эффективную систему управления в составе: (I) организационной системы управления и (II) системы управления персоналом (или рациональной модели трудовых отношений, базирующихся на рациональной системе оплаты труда)» (Shimov, Kriukov 2014: 137).

Реализация поставленной задачи предполагает совершенствование методической основы современной кадровой деятельности на микроуровне, разработку методического обеспечения ее осуществления и формирования адекватного потенциала самих кадровых служб предприятий, способных решать данные задачи.

Однако, несмотря на большое количество исследований этой темы и значимость полученных результатов, остаются недостаточно изученными методологические основы формирования современной кадровой деятельности в организациях в условиях перехода к инновационной экономике и построения экономики знаний.

Методология кадровой деятельности организации, сформированная в период административно-командного управления экономикой, основывалась на неограниченном наличии дешевой рабочей силы в условиях отсутствия рынка труда и института банкротства, конкуренции, то есть мягких бюджетных ограничений для субъектов хозяйствования, основанных на государственной поддержке. Это предопределило особенность белорусского рынка труда: «перенос проблем обеспечения занятости с макро- на микроуровень (уровень субъекта хозяйствования) и в то же время слабый учет особенностей поведения предприятий при формировании направлений государственной политики занятости» (Vankevich, Antonysheva 2013: 124).

Рыночная экономика формирует иную систему координат, в которой в основе принятий кадровых решений лежат трансакционные издержки на рынке труда, в том числе на внутреннем рынке труда. В условиях инновационной экономики и экономики, основанной на знаниях, повышается значимость не просто кадров, а человеческого капитала организации, так как именно он становится главным

источником ее конкурентных преимуществ. От кадровой службы в этих условиях требуется обеспечить организацию высококвалифицированными кадрами, гарантировать высокую отдачу от инвестиций в человеческий капитал. Но чтобы реализовать эти работы на практике, нужны конкретные методические инструменты оценки кадровых рисков и расчета величины транзакционных издержек организации, связанных с кадровыми процессами. Одновременно сама кадровая служба организации (квалификация и статус ее работников) должна быть в состоянии решать эти задачи.

Перечисленные обстоятельства обусловили постановку рабочей гипотезы данного исследования: 1) современная кадровая деятельность организаций нуждается в разработке алгоритма оценки кадровых рисков и транзакционных издержек, связанных с кадровыми процессами на микро-уровне, для обоснованного подбора необходимых кадровых технологий; 2) современные кадровые службы отечественных предприятий не готовы к реализации поставленных задач и нуждаются в повышении статуса, профессионально-квалификационного уровня ее работников.

### **Оценка кадровых рисков и формируемых ими транзакционных издержек организации**

Под кадровыми рисками понимают «вероятность потерь и недостижения целей организации в условиях информационной асимметрии и оппортунистического поведения работников, связанную с несоответствием кадрового состава требованиям внешней и внутренней среды организации при формировании, использовании, развитии и высвобождении персонала» (Haliashova 2014: 43). Диагностика кадровых рисков предполагает их выявление при формировании, использовании, развитии, высвобождении персонала, сопровождающееся оценкой транзакционных издержек на микроуровне. Таким образом, диагностика кадровых рисков состоит из двух этапов: первый — оценка кадровых рисков организации, второй — оценка транзакционных издержек организации.

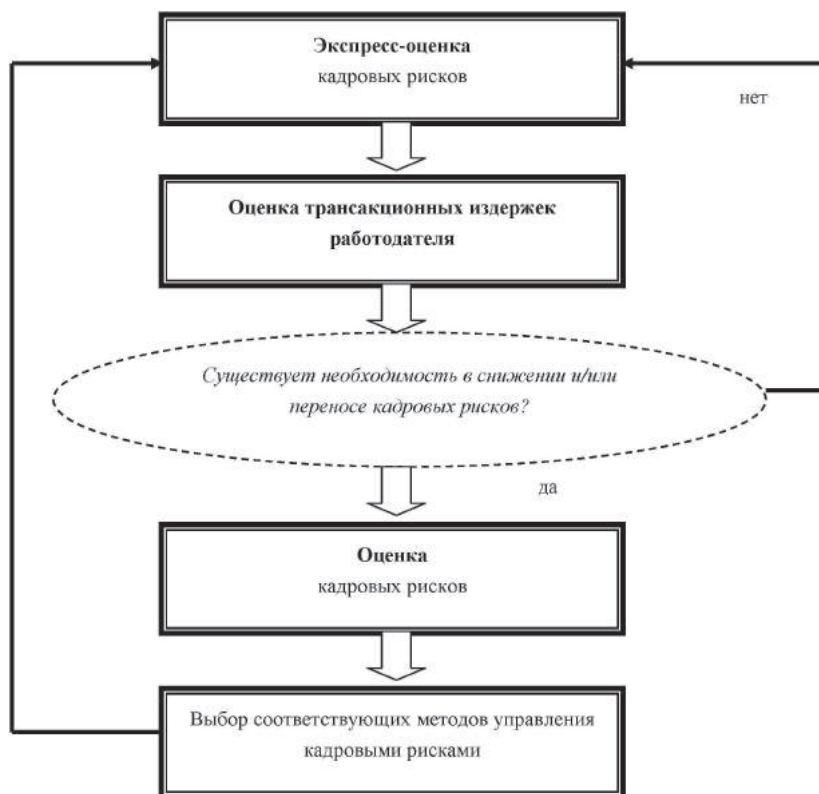
Алгоритм диагностики кадровых рисков организации можно представить в виде следующей схемы (рис. 1).

Первый шаг предлагаемого алгоритма предназначен для предварительной оценки кадровых рисков с целью экономии различного рода ресурсов. С учетом предъявляемых требований к экспресс-оценке (Vankevich, Skvortsov 2010), перечень показателей должен быть небольшим и статистически доступным. Предлагаемые показатели являются наиболее информативными, простыми в расчете, не противоречат изложенным выше требованиям. К ним относятся: коэффициент текучести, удельный вес работников с высшим образованием в списочной численности работников на конец года, темп прироста производительности труда, удельный вес работников, совершивших прогулы и другие нарушения трудовой дисциплины, коэффициент использования полезного фонда рабочего времени, отношение среднемесячной заработной платы одного работника к среднереспуб-

ликанскому уровню, степень охвата персонала профессиональным обучением, удельный вес лиц пенсионного возраста в списочной численности работников на конец года (1). Несоответствие значений большинства показателей установленным критериям оценки будет свидетельствовать о необходимости дальнейшей структурированной и развернутой оценки кадровых рисков.

Рисунок 1

### Алгоритм диагностики кадровых рисков в организации



**Источник:** авторская разработка.

Следующим этапом диагностики кадровых рисков является оценка транзакционных издержек работодателя, получившая недостаточную проработку среди исследователей. Применяемые методологические подходы к оценке транзакционных издержек на рынке труда сводятся к оценке издержек от безработицы на различных уровнях. Существуют исследования, касающиеся оценки отдельных видов транзакционных издержек на рынке труда (Mironenko 2013), либо которые можно применить к рынку труда: известная модель Шапиро-Стиглица о взаимосвязи безработицы и «отлынивания» (Shapiro, Stiglitz 1984), определение степени оппортунизма на предприятии (Simonov, Sinov 2010) и его влияния на эффек-

тивность деятельности (Роров, Simonova 2004). Наиболее исследована оценка транзакционных издержек на рынке труда на уровне страны, региона и индивида. Представленные в научной литературе методики расчета оценки потерь либо опираются на закон А. Оукена о связи прироста реального ВВП и уровня безработицы (Fisher 2002), либо основываются на расчете потерь от безработицы путем суммирования их составляющих.

Развивая подход И.В. Гуськовой к оценке транзакционных издержек на национальном и региональном уровнях (Egorshin, Gus'kova 2008) и подход Е.Э. Лобановой и М.М. Писанковой к оценке транзакционных издержек для первичного ресурса труда (Lobanova, Pisankova 2011), представляется правомерным использовать следующий методический подход к расчету транзакционных издержек работодателя (табл. 1), который дифференцирован по основным направлениям кадровой деятельности: поиск, подбор, отбор, найм, адаптация, обучение, высвобождение работников.

Предложенный методический подход к расчету транзакционных издержек работодателя позволит:

- 1) оценить в стоимостном выражении стоимость кадровой деятельности;
- 2) оптимизировать транзакционные издержки на микроуровне;
- 3) снизить кадровые риски благодаря мониторингу транзакционных издержек и принятию соответствующих мер по снижению текучести персонала.

Это создаст предпосылки для повышения статуса и авторитета кадровых служб в белорусских организациях, постановке и реализации на них современных технологий кадровой работы.

Экспресс-оценка кадровых рисков (табл. 2) позволила сделать вывод, что в организациях № 1, 2, 5 кадровых проблем больше. Об этом свидетельствует отклонение расчетных значений от пороговых по пяти показателям экспресс-оценки из восьми. Общими кадровыми проблемами для данных организаций являются: высокий коэффициент текучести, невысокий образовательный уровень, удельные веса лиц, достигших пенсионного возраста, одни из самых высоких, а заработная плата ниже, чем на других обследованных предприятиях. Специфические кадровые проблемы в рамках данной группы организаций – высокий удельный вес нарушителей трудовой дисциплины в организации № 1, низкий профессиональный рост работников организаций № 2 и № 5. Это свидетельствует об ориентации руководства организации на производственную деятельность без учета человеческого фактора. В то же время, полезный фонд рабочего времени используется эффективно, темп прироста производительности труда соответствует установленному значению. В организации № 1 профессиональным обучением охвачено 39% работников, что объясняется проводимой модернизацией.

Ко второй группе по потенциалу кадровых рисков можно отнести организацию № 4, так как из 8 показателей 4 имеют значения, отклоняющиеся от порогового уровня или близкие к нему: коэффициент текучести высокий, образовательный уровень невысок, процент охвата персонала обучением недостаточен, удельный вес лиц, достигших пенсионного возраста, превышает критический уровень почти в 2 раза.

К третьей группе – предприятие №3 – по всем показателям, включенным в экспресс-оценку кадровых рисков, не наблюдалось отклонения расчетных значений от пороговых, кроме коэффициента текучести, который в 2013 году составил 0.29. Это может быть связано с повышенной мобильностью периферийной части персонала. Высокий уровень образования, трудовой дисциплины, оплаты труда, охвата профессиональным обучением свидетельствует о нацеленности руководства предприятия на сохранение и развитие «кадрового ядра» предприятия. На основе применения методического подхода к расчету транзакционных издержек в анализируемых организациях их годовая сумма составила от 67 до 193% от себестоимости продукции (табл. 3).

В случае отнесения организации к I группе по потенциалу кадровых рисков, для которой характерно отклонение от порогового уровня для большей части отобранных показателей, ее руководству необходимо пересмотреть принципы кадровой деятельности в отношении своих работников и направить усилия на повышение эффективности использования трудового потенциала работников с целью выхода из «кадровой ловушки».

Для II группы организаций характерна ситуация возможности перехода в I группу по потенциалу кадровых рисков при отсутствии должного внимания к кадровым проблемам. Используемые в этих целях кадровые технологии носят упредительный характер и направлены на повышение кадровой безопасности организации и недопущение увеличения кадровых рисков.

III группа организаций по потенциалу кадровых рисков соответствует организациям, внимательно относящимся к своим человеческим ресурсам и стремящимся к достижению высокого уровня конкурентоспособности. Для таких организаций актуальным будет реализация мер, направленных на дальнейшее совершенствование их кадровой деятельности с использованием современных кадровых технологий и инструментов.

Проведенный анализ кадровых рисков организаций свидетельствует о невысоком качестве исполнения кадровой деятельности, предопределившей высокие транзакционные издержки. Это требует активного участия кадровой службы и применения ею современных кадровых технологий в своей деятельности. Осознание роли кадровых служб в социально-экономическом развитии и укреплении конкурентоспособности организаций обуславливает необходимость анализа и оценки потенциала кадровых служб на современном этапе.

Таблица 1

## Методический подход к расчету транзакционных издержек работодателя

Направление кадровой деятельности	Расчет транзакционных издержек работодателя	Пояснение	Комментарий
1	2	3	4
1. Поиск персонала	$\frac{ВР}{Ч} \times T_{пр} \times Ч_в + З_{рек} \times T_{пр} + ЗП_{ркс} \times T_{пр} \times Ч_в$ (2.1)	<p>ВР – выручка от реализации продукции, работ, услуг, тыс. руб.;</p> <p>Ч – среднесписочная численность ППП, чел.;</p> <p><math>T_{пр}</math> – среднее время на поиск 1 работника, мес.;</p> <p><math>Ч_в</math> – число вакансий, ед.;</p> <p><math>Z_{рек}</math> – денежные затраты на рекламу о вакансии в средствах массовой информации в среднем за 1 месяц, тыс. руб.;</p> <p><math>ZП_{ркс}</math> – среднемесячная заработная плата 1 работника кадровой службы, тыс. руб.</p>	В случае передачи на аутсорсинг поиска и подбора работников расходы на поиск и подбор сводятся к выплате денежного вознаграждения кадровому агентству. В этом случае руководству организации необходимо произвести предварительные расчеты данного вида расходов по данной формуле в случае сохранения данной функции в компетенции кадровой службы и при обращении к услугам сторонней организации, выбрав подходящий вариант.
2. Подбор и профессиональный отбор персонала	$\frac{ВР}{Ч} \times T_{пор} \times Ч_в + ЗП_{ркс} \times T_{пор} \times Ч_в$ (2.2)	$T_{пор}$ – среднее время на подбор и отбор 1 работника, мес.	
3. Найм персонала	$ЗП_{ркс} \times T_{он} \times Ч_в$ (2.3)	$T_{он}$ – среднее время, затрачиваемое 1 работником кадровой службы на оформление найма 1 вновь принятого работника, мес.	Число вакансий и численность уволенных работников могут совпадать при отсутствии избыточной численности персонала в организации.
4. Адаптация персонала	$\frac{ВР}{Ч} \times T_a \times Ч_в$ (2.4)	$T_a$ – среднее время адаптации 1 вновь принятого работника, мес.	Установлено, что в период адаптации производительность вновь принятого работника невысока, задача кадровой службы – сократить адаптационный период с целью минимизации транзакционных издержек по данному направлению кадровой деятельности.

Продолжение таблицы 1 см. на с. 32

Продолжение таблицы 1

1	2	3	4
5. Обучение персонала	$ЗП_p \times T_{об} \times Ч_{об}$ (2.5)	ЗП <sub>р</sub> – среднемесячная заработная плата 1 работника в данной организации, тыс. руб.; Т <sub>об</sub> – среднее время обучения вновь принятых работников, мес.; Ч <sub>об</sub> – численность вновь принятых работников, направленных на обучение, чел.	При отсутствии особого контроля со стороны кадровой службы транзакционные издержки по данному направлению кадровой деятельности могут стать убытком организации.
6. Высвобождение персонала	$З_{суд} \times Ч_{ув} + П_{вых} \times Ч_{ув} + ЗП_{ркс} \times T_{оу} \times Ч_{ув}$ (2.6)	З <sub>суд</sub> – средние судебные расходы работодателя в случае обращения увольняемого работника в суд, тыс. руб.; Ч <sub>ув</sub> – численность уволенных работников, чел.; П <sub>вых</sub> – сумма выходного пособия, выплачиваемая работодателем 1 увольняемому работнику, тыс. руб.; Т <sub>оу</sub> – среднее время, затрачиваемое 1 работником кадровой службы на оформление высвобождения 1 увольняемого работника, мес.	При отсутствии выплат выходного пособия и обращений в суд соответственные произведения будут равны нулю. Следует выделять затраты, связанные с высвобождением работников (необходимы организации для обновления коллектива работников), и неоправданные потери, возникающие при превышении коэффициентом текучести рекомендуемых пределов.
Итоговая величина транзакционных издержек	$ТАИ_p = (2.1) + (2.2) + (2.3) + (2.4) + (2.5) + (2.6) + \epsilon$	ТАИ <sub>р</sub> – транзакционные издержки работодателя, тыс. руб.; ε – ошибка уравнения, к которой будет относиться вероятность появления неучтенных потерь.	К ошибке уравнения будут относиться, прежде всего, транзакционные издержки оппортунистического поведения работников. Свойственное всем работникам оппортунистическое поведение (а не только вновь принятым и уволенным) позволяет присвоить ошибке уравнения значение 0.

**Источник:** авторская разработка на основе Egorshin, Gus'kova 2008; Lobanova, Pisankova 2011.



Таблица 2

## Показатели экспресс-оценки кадровых рисков в анализируемых организациях

Показатели	Нежелательные значения	Организации				
		1	2	3	4	5
1. Коэффициент текучести	Свыше 0.10	<b>0.45</b>	<b>0.28</b>	<b>0.29</b>	<b>0.20</b>	<b>0.14</b>
2. Удельный вес работников с высшим образованием в списочной численности работников на конец года, %	Меньше среднеотраслевого уровня	<b>10.3</b>	<b>15.9</b>	26.2	<b>14.4</b>	<b>18.8</b>
		<i>Среднеотраслевой уровень</i>				
		(17.6)	(20.6)	(18.9)	(20.6)	(20.6)
3. Темп прироста производительности труда, %	Меньше 0	35.0	30.1	13.7	16.4	6.0
4. Удельный вес работников, совершивших прогулы и другие нарушения трудовой дисциплины, %	Свыше 10%	<b>26.7</b>	2.9	4.5	6.9	6.2
5. Коэффициент использования полезного фонда рабочего времени	Меньше 0.9	0.96	0.94	0.95	0.94	0.96
6. Отношение среднемесячной заработной платы 1 работника к средне республиканскому уровню, %	Меньше 90%	<b>69.9</b>	<b>80.1</b>	119.5	104.8	<b>84.8</b>
7. Степень охвата персонала профессиональным обучением, %	Меньше 30%	39.0	<b>20.1</b>	44.4	<b>11.4</b>	<b>8.5</b>
8. Удельный вес лиц пенсионного возраста в списочной численности работников на конец года, %	Свыше 5%	<b>12.9</b>	<b>5.9</b>	0.9	<b>9.3</b>	<b>16.8</b>

Алгоритм диагностики кадровых рисков был апробирован на пяти базовых организациях, относящихся к различным отраслям экономики: филиал ОАО «Трест № 16, г. Новополоцк» Завод КПД (строительство), филиал РУПП «Витебскхлебпром» – Новополоцкий хлебозавод (пищевая промышленность), ПУ «Полоцкгаз» (промышленность), ОАО «Витебские ковры» (текстильная отрасль легкой промышленности), ОАО «Знамя Индустриализации» (швейная отрасль легкой промышленности).

**Источник:** рассчитано авторами.

### Результаты оценки транзакционных издержек в анализируемых организациях

Группа организаций по величине кадровых рисков	Величина транзакционных издержек			Основные кадровые проблемы (риски)	Необходимые кадровые технологии		
	в % к валовой прибыли	в % к себестоимости	на 1 чел. ШП, млн руб./чел.				
I группа	Организация № 1	-309.9	122.1	51.5	высокая текучесть кадров, низкий уровень трудовой дисциплины	риск несоответствия качественного и количественного состава персонала	– оптимизация численности персонала; – привлечение молодых работников; – стимулирование своевременного выхода на пенсию;
	Организация № 2	261.7	193.1	237.7	значительная текучесть кадров, недостаточность охвата персонала профессиональным обучением	требуемому, риск низкой мотивации персонала, адаптационный риск, старение коллектива, риск роста издержек высвобождения	– увольнение нарушителей трудовой дисциплины; – мотивация и оплата труда на основе сегментирования персонала на «кадровое ядро» и «кадровую периферию»
	Организация № 5	232.7	66.8	54.2			
II группа	Организация № 4	383.4	90.9	383.7	значительная текучесть кадров, риск несоответствия качественного состава персонала требуемому, риск роста издержек высвобождения, невысокий образовательный уровень, недостаточность охвата персонала профессиональным обучением, старение коллектива, риск недоукомплектованности кадрового резерва		– формирование и использование кадрового резерва; – кадровая диагностика; – разработка адаптационных программ; – формирование внутреннего рынка труда мотивация и оплата труда на основе сегментирования персонала на «кадровое ядро» и «кадровую периферию»
	Организация № 3	540.2	142.9	3841.3	высокие транзакционные издержки высвобождения персонала и риск их роста		– разработка кадровой стратегии и кадровой политики; – мотивация и оплата труда на основе сегментирования персонала на «кадровое ядро» и «кадровую периферию»; – анализ причин увольнения; – внедрение технологий маркетинга персонала и аутплейсмента
III группа							

Источник: рассчитано авторами.

## **Оценка потенциала кадровых служб организаций Республики Беларусь**

Для оценки потенциала кадровых служб организаций Республики Беларусь проведено исследование методом стандартизированного анкетного опроса руководителей и сотрудников кадровых служб организаций на примере Витебской области. При разработке анкеты использована методология международного исследования CRANET (CRANET 2011) и масштабное исследование Национального союза кадровиков Российской Федерации (Natsional'nyi soiuz kadrovikov 2006). Систематизация современных теоретических подходов к реализации кадровой деятельности с учетом социально-экономических условий развития Республики Беларусь на современном этапе позволила выделить следующие основные направления анализа:

- оценка профессионально-квалификационного состава работников кадровых служб;
- определение организационного статуса кадровой службы в организационной структуре управления;
- оценка и характер взаимодействия кадровой службы с руководителем организации и руководителями подразделений;
- оценка потенциала кадровых служб в активизации кадровой деятельности;
- оценка уровня информационно-технического и нормативно-методического обеспечения кадровой службы.

Общий объем выборки (2) составил 87 организаций Витебской области с численностью персонала не менее 16 человек. При построении выборки также учитывалась структура генеральной совокупности организаций Витебской области по секциям экономической деятельности на основе данных об их численности по данным Главного статистического управления Витебской области 2013 года (Vitebskoe oblastnoe upravlenie statistiki 2013).

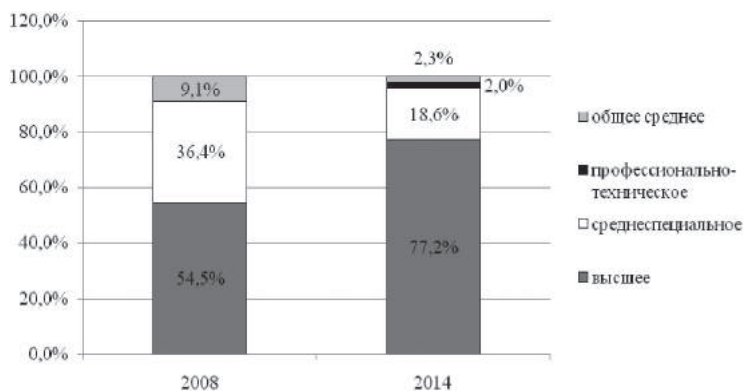
Исследование показало, что среднестатистическим работником кадровой службы в организациях Беларуси является специалист по кадрам с высшим юридическим, реже – с экономическим образованием, имеющий средний уровень заработной платы в сравнении с другими подразделениями организации, в значительной степени удовлетворенный своей работой. У 22% респондентов имеющаяся специальность не соответствует занимаемой должности. Модальный интервал возраста работников кадровых служб с частотью 27.2% – от 32 до 39 лет. Следующим за модальным интервалом (22.2%) является интервал работников в возрасте от 25 до 29 лет. При этом средний стаж работы с персоналом руководителя кадровой службы составляет 9.8 лет. До назначения на эту должность каждый четвертый руководитель работал специалистом в другой профессиональной сфере в другой организации. Образовательный уровень кадровых работников достаточно высок (77.2% работников имеют высшее образование), тем не менее, решать задачи стратегического характера могут только высокопрофессиональные специалисты в области управления персоналом. Квалификационный профиль не соответствует современным требованиям, предъявляемым к работникам кадровых служб: лишь 17.2% организаций имеют в составе кадровой службы

работников, получивших образование по специальности «Управление персоналом» (3.3% от общей численности кадровых работников) и «Менеджмент» (8.8% от общей численности кадровых работников).

Необходимо отметить положительные структурные сдвиги в качественном составе работников белорусских кадровых служб, произошедшие за период с 2008 года по 2014 год: средний возраст работника отдела кадров снизился на 3.8 года и составил 38.3 года; удельный вес кадровых работников с высшим образованием увеличился на 22.7% (рис. 2).

Рисунок 2

**Сравнение образовательной структуры работников кадровых служб организаций Республики Беларусь за 2008 и 2014 гг.**



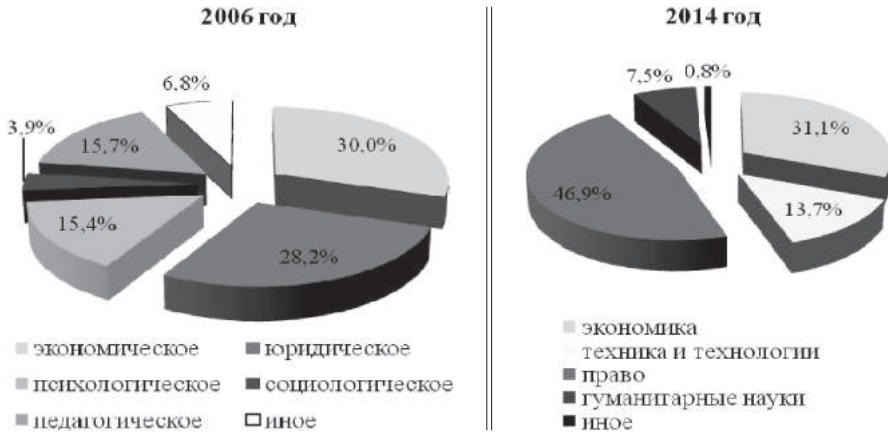
**Источник:** построено авторами на основе проведенного исследования в 2014 году и по данным (Vankevich, Skvortsov 2010: 175).

Существенно изменился профиль образования работников кадровых служб в период с 2006 года по 2014 год (рис. 3): преобладающим (46.9%) стало юридическое образование, снизилась доля работников кадровых служб с гуманитарным образованием. В структуре работников с экономическим образованием в 2014 году в отличие от аналогичной структуры 2006 года появились специалисты с профессиональным образованием «Управление персоналом», что связано с появлением данной специальности в Учреждениях образования «Белорусский государственный университет», «Частный институт управления и предпринимательства», «Могилевский государственный университет имени А.А. Кулешова», и первыми выпусками студентов по данной специальности. Удельный вес организаций, имеющих в составе кадровых служб таких специалистов, невелик (3%).

Для повышения эффективности деятельности кадровой службы 37.5% респондентов хотели бы повысить свою квалификацию, 28.1% – пройти переподготовку по специальности «Управление персоналом», что может быть осуществимо, поскольку в 48.3% организациях средства на участие сотрудников кадровой службы в платных семинарах, конференциях, форумах выделяются руководством по запросу службы.

Рисунок 3

**Структура образования работников кадровых служб организаций Республики Беларусь по профилю образования, 2006 и 2014 гг.**



**Источник:** построено авторами на основе результатов исследования, проведённого в 2014 году и по данным (Rudak 2008).

По результатам исследования Аналитического центра мониторинга социально-трудовой сферы НИИ труда Министерства труда и социальной защиты Республики Беларусь 2008 года (Vogob'eva 2008: 59) было выявлено несоответствие фактического профиля образования работников кадровых служб желаемому. В 2014 году фактический профиль, представленный на рисунке 3, несколько приблизился к профилю образования, указанному работниками кадровой службы как необходимый (рис. 4): преобладание юридического образования отмечается в обоих профилях.

При повышении активности и инициативности работников кадровых служб в получении ими дополнительных знаний они смогут повысить свой авторитет в глазах руководства и оказывать активную помощь в конкурентной борьбе. Однако низкий организационный статус кадровой службы в общей иерархии организаций по-прежнему остается проблемой в организациях Республики Беларусь: в 74.7% обследованных организаций кадрковая служба подчинена руководителю организации, лишь 2.3% организаций включили кадровую службу в общее руководство организации.

При проведении межстранового сравнения по статусу кадровой функции в формальной структуре управления организации можно выделить 3 группы стран (рис. 5): с высоким формальным весом кадровой функции – Швеция (90%), Бельгия (84%), Франция (83%), со средним – Япония (67%), Великобритания (60%), Россия (55%), Эстония (51%), Германия (50%), с низким – Венгрия (35%), США (32%), Болгария (24%), Беларусь (2.3%).

Рисунок 4

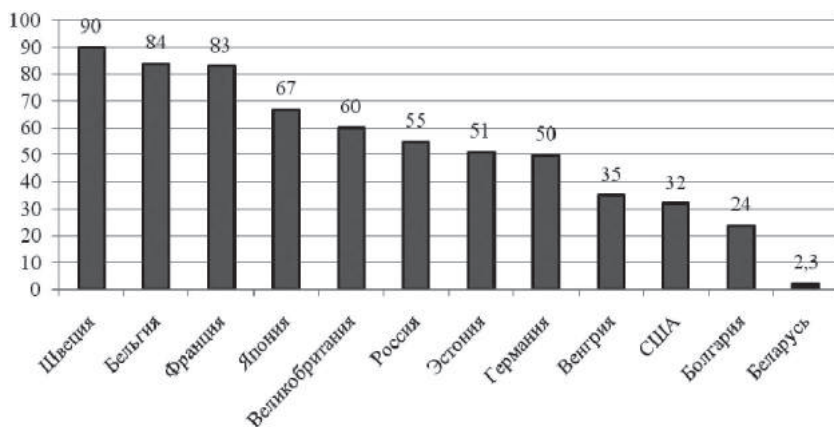
### Желаемый профиль образования работников кадровых служб организаций Республики Беларусь, 2014 г.



Источник: построено авторами по результатам исследования.

Рисунок 5

### Место кадровой функции в общей структуре управления организации (процент организаций, включивших руководство кадровой службы в высший орган управления), 2012 и 2014 гг.



Источник: построено авторами по данным (CRANET 2011) с добавлением результатов проведенного исследования по Республике Беларусь.

Дополнительной преградой для преодоления сложившейся ситуации является позиция самих кадровых работников, которые, во-первых, не ведут целенаправленной деятельности по повышению статуса кадровой службы (27.6% опрошенных) и никогда к этому не стремились (8.0%). Преимущественной фор-

мой общения руководителя кадровой службы с руководством организации (по мнению 56.3% респондентов) является внеплановое общение по вопросам деятельности службы. Во всех остальных случаях общение носит формальный характер: на общих производственных совещаниях (5.7%), по индивидуальному вызову руководства (18.4%), на специальных совещаниях, посвященных рассмотрению кадровых вопросов (19.5%). Во-вторых, часто сами кадровые работники не осознают степени важности своей работы, о чем свидетельствует распределение их ответов на вопрос: «Согласны ли Вы с утверждением «Кадры решают все»?». Полностью согласны с данным утверждением лишь 31.0% опрошенных работников кадровых служб, частично согласны – 55.2%, абсолютно не согласны – 12.6%, затруднились с ответом – 1.1%. Таким образом, консерватизм и инертность персонала кадровых служб, противодействующие реорганизации крупных западных компаний в 70–80-е гг. XX столетия (Zhuravlev 2002), отсутствие предприимчивости и активности сотрудников отдела кадров белорусских организаций, отмеченное Н.П. Беляцким в 2003 году (Beliatskii 2003), присущи кадровым работникам отдельных организаций Республики Беларусь и в настоящее время.

Особого внимания при определении роли кадровой службы и специфики ее деятельности заслуживают следующие активно обсуждаемые исследователями параметры: взаимодействие руководителя кадровой службы с руководителями подразделений; распределение ответственности за отдельные направления кадровой деятельности и участие в ней руководителей организации, руководителей подразделений, кадровой службы и профсоюза; степень формализации оценки кадровой службы, степень автоматизации кадровой деятельности.

Результаты анкетирования показали, что взаимодействие руководителей кадровых служб с руководителями подразделений строится преимущественно на основе выработки совместных решений в отношении кадровых проблем данного подразделения (70.1% положительных ответов респондентов). Распределение полномочий по отдельным направлениям кадровой деятельности между различными категориями руководителей и подразделений организации представлено в табл. 4.

Как видно из табл. 4, в компетенции кадровых служб находится 40% кадровой деятельности. В компетенции руководителей организации находятся вопросы сокращения/увеличения численности персонала, предоставления дополнительных компенсаций, гарантий и льгот, управления мотивацией, в компетенции профсоюзов – ожидаемые направления: организация культурных мероприятий и досуга персонала, предоставление дополнительных компенсаций, гарантий и льгот. Руководители подразделений несут ответственность за подбор и отбор персонала. Почти в трети исследованных организаций не реализуются такие кадровые технологии, как анализ социально-психологического климата в коллективе, разработка элементов организационной культуры. Исследование позволило выявить специфическую особенность кадровой деятельности в белорусских организациях: низкую вовлеченность руководителей подразделений в кадровую деятельность при одновременном контроле кадровых вопросов руководителями организаций, что демонстрирует разнонаправленный характер с современными мировыми тенденциями.

Таблица 4

**Распределение полномочий по отдельным направлениям кадровой деятельности между различными категориями руководителей и подразделений в организациях Республики Беларусь, %**

Направления кадровой деятельности	Руководитель организации	Руководители подразделений	Кадровая служба	Профсоюз	Не проводится
Подбор персонала	33.9	<b>34.8</b>	31.3	-	-
Профессиональный отбор	28.4	<b>45.0</b>	26.6	-	-
Правовое обеспечение кадровых процессов	11.6	4.2	<b>82.1</b>	2.1	-
Организация профессионального обучения	8.2	25.5	<b>57.1</b>	4.1	5.1
Предоставление дополнительных компенсаций, гарантий и льгот	<b>36.4</b>	10.9	13.6	<b>36.4</b>	2.7
Анализ социально-психологического климата в коллективе	12.9	18.8	<b>29.7</b>	9.9	<b>28.7</b>
Организация культурных мероприятий и досуга персонала	11.3	7.5	19.8	<b>57.5</b>	3.8
Управление мотивацией	<b>38.8</b>	25.2	14.6	4.9	16.5
Сокращение/увеличение численности персонала	<b>57.5</b>	12.4	25.7	2.7	1.8
Разработка элементов организационной культуры	19.8	20.8	<b>21.7</b>	12.3	<b>25.5</b>

**Источник:** рассчитано авторами по результатам исследования.

Одним из признаков развитой деятельности кадровых служб является наличие оценки их работы в организации (Prosvirkina 2012; Becker, Huselid, Ulrich 2007; Tsui 1984; Ulrich 1997). В 62.1% обследованных организаций оценка кадровой службы не формализована. В организациях, в которых существует система показателей для оценки деятельности кадровой службы, характер распределения следующий: оценка происходит систематически и имеет обратную связь — 17.2%; оценка не носит систематического характера — 14.9%; оценка не имеет обратной связи — 5.7%.

Степень автоматизации кадровой функции в организациях Беларуси невелика. Профиль образования (преимущественно юридическое) работников кадровых служб predetermined направленность автоматизации работы кадровых служб: преобладают правовые информационно-справочные системы (38.2%), используют возможности программ из пакета *Microsoft Office* в кадровой деятельности 32.6% респондентов, модули управления персоналом в рамках комплексного продукта для автоматизации своей деятельности имеют 19.1% организаций, лишь 5.6% организаций имеют самостоятельные специализированные комплексные системы в области управления персоналом и 4,5% организаций



указали на наличие программ, автоматизирующих отдельные участки в работе кадровой службы. Необходимо констатировать отставание от международного уровня кадровой деятельности организаций Беларуси по данному параметру. По данным международного исследования (CRANET 2011), в большинстве стран наиболее распространены компании, использующие преимущественно независимые информационные системы в области управления персоналом. Даже в странах с высокой частотой ответов об отсутствии компьютеризированной информационной системы в области управления персоналом (Болгарии, Венгрии, Греции, Кипре, России, Сербии, Израиле) удельный вес организаций, имеющих специализированные системы в области управления персоналом или программы, автоматизирующие отдельные участки в кадровой деятельности, в среднем в 2–3 раза превышает значения, полученные по результатам анкетирования организаций Республики Беларусь.

Проведенное исследование потенциала кадровых служб организаций Республики Беларусь на примере Витебской области позволило выявить следующие особенности: отсутствие единой кадровой службы как организационной единицы; узкий спектр функциональных обязанностей и полномочий кадровой службы; несоответствующий мировым тенденциям профессионально-квалификационный уровень работников кадровой службы; низкий организационный статус кадровой службы в структуре управления организации; неразвитость взаимоотношений кадровых служб с заинтересованными внешними организациями; сосредоточение кадровых служб на решении делопроизводственных задач.

Несмотря на положительную динамику в кадровых вопросах (взаимодействие руководителей кадровых служб с руководителями подразделений строится преимущественно на основе выработки совместных решений; значительная часть направлений кадровой деятельности находится в компетенции кадровых служб; высшее руководство принимает участие в решении кадровых вопросов) и потенциале кадровых служб (достаточно высокий уровень образования кадровых работников; появление в составе кадровых служб работников, имеющих специальность «Управление персоналом» и «Менеджмент»; снижение среднего возраста работников кадровых служб; положительные структурные сдвиги в их профиле образования; наличие в каждой третьей организации формализованной оценки кадровой службы; готовность кадровых работников повышать свой образовательный и квалификационный уровень), темпы этих изменений недостаточны. Это может стать препятствием на пути инновационного развития экономики Республики Беларусь. Повышение профессионально-квалификационного уровня работников кадровых служб, совершенствование нормативно-правового обеспечения кадровой деятельности (обновление Типового положения о кадровой службе предприятия (организации), пересмотр Межотраслевых нормативов численности работников кадровых служб коммерческих организаций), предоставление методического инструментария по диагностике и управлению кадровыми рисками, оптимизация должностного состава работников кадровой службы организаций Республики Беларусь, использование в кадровой работе специализированных программных продуктов в области управления персоналом; тесное сотрудничество учебных заведений и организаций при отмеченной положительной дина-

мике в потенциале кадровых служб будут содействовать эффективности функционирования организаций, создадут предпосылки для построения экономики знаний и перехода на инновационный путь развития Республики Беларусь.

### Заключение

Республика Беларусь является открытой социально-ориентированной экономикой. Поэтому для нас актуальным остается вопрос привлечения и удержания квалифицированного персонала, готового к реализации нововведений. Недостаточное использование современных кадровых технологий кадровыми службами, их невысокий статус и несоответствующий мировым стандартам профессионально-квалификационный уровень могут стать серьезным препятствием для повышения конкурентоспособности отечественных организаций в условиях глобального рынка.

Современные подходы к кадровой диагностике должны быть дополнены диагностикой кадровых рисков и оценкой транзакционных издержек работодателя. Это будет способствовать реализации дополнительных функций кадровой службы: формирования единой кадровой политики, управления кадровыми рисками, расчета затрат и эффективности по каждому направлению кадровой деятельности. Авторский алгоритм диагностики кадровых рисков ликвидирует недостатки существующих методик оценки кадровых рисков: высокую трудозатратность расчетов, отсутствие специальных знаний у кадровых работников, отсутствие связи между методиками и реалиями белорусской экономики. Это будет содействовать достижению основных направлений кадровой деятельности: минимизации транзакционных издержек, снижению степени оппортунизма в трудовых отношениях, инвестированию в специфические активы. Оценка транзакционных издержек работодателя по авторской методике позволяет вычислить в стоимостном выражении уровень потерь при излишнем высвобождении персонала, что дает возможность количественно оценить риски кадровой деятельности в организациях Республики Беларусь. Основными направлениями совершенствования кадровой деятельности в отечественных организациях являются: совершенствование нормативно-правового обеспечения кадровой деятельности в организациях Республики Беларусь путем обновления Типового положения о кадровой службе предприятия (организации) и пересмотра Межотраслевых нормативов численности работников кадровых служб коммерческих организаций; оптимизация должностного состава работников кадровой службы организаций Республики Беларусь; повышение профессионально-квалификационного уровня работников кадровых служб; разработка методического подхода к управлению кадровыми рисками в организации; использование в кадровой работе специализированных программных продуктов в области управления персоналом; тесное сотрудничество учебных заведений и организаций.

(1) По каждому из показателей экспертным путем определены пороговые значения, отклонения от которых в нежелательную сторону является критическим. Об ухудшении одних показателей (коэффициент текучести, удельный вес работников, совершивших про-

гулы и другие нарушения трудовой дисциплины, удельный вес лиц пенсионного возраста в списочной численности работников на конец года) будет свидетельствовать их увеличение, других (удельный вес работников с высшим образованием в списочной численности работников на конец года, темп прироста производительности труда, коэффициент использования полезного фонда рабочего времени, отношение среднемесячной заработной платы одного работника к среднереспубликанскому уровню, степень охвата персонала профессиональным обучением) – их уменьшение.

(2) коэффициент доверия 1.87, предельная ошибка выборки 10%, объем генеральной совокупности 13450 ед., доверительная вероятность 93.85%.

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Jaroslav Mioduszewski

## THE INFLUENCE OF PROPRIETORIAL CHANGES IN PUBLIC SECTOR OF AGRICULTURE ON AGRARIAN STRUCTURE IN POLAND

The article presents the changes in the structure of Polish agriculture in years 1990 – 2012, which was largely affected by the transformation process currently carried out by the Agricultural Property Agency (APA) (*Agencja Nieruchomości Rolnych (ANR)*) – the legal successor of the Agricultural Property Agency of the State Treasury (APAST) (*Agencji Własności Rolnej Skarbu Państwa (AWRSP)*). It was given full ownership rights of agricultural property of the State Treasury. In the analysis there were used data from the APAST (AWRSP) activity reports and the statistical data of the Central Statistical Office (CSO). The aim of this research was to assess the influence of proprietorial changes in governmental sector of agriculture on changes of agrarian structure in Poland. By the end of 2012 more than 4.74 million ha had been taken over by the Agricultural Property Stock of the State Treasury (*Zasób Własności Rolnej Skarbu Państwa*), of which over 80% came from state farms. Overall 3.01 million hectares (63.5%) were permanently brought into cultivation, of which 2.34 million hectares through sale offers, which consisted of 49.3% taken over by the Agricultural Property Stock of the State Treasury (*Zasób Własności Rolnej Skarbu Państwa*). There still remains more than 1.8 million hectares to be dispensed, of which the majority of the land (73.2%) is being leased. For distribution still remains available 6.8% of Agricultural Property Stock Resources. In Poland there has occurred historically shaped territorial variation of the agrarian structure, which was manifested by high demand for land in regions with low supply of land from the post-state-owned farms. The results of proprietorial changes influenced the changes in the agrarian structure, which reflects in a reduction of approximately 1/3 of the number of individual farms to the amount of more than 1456.4 thousand and increasing average farm size to 9.3 hectares of agricultural land (AL), i.e. 47.6%. The number of farms was reduced in all area groups except for the area of farms with over 15 hectares of agricultural land. In this group the changes took place mainly on the basis of formation of large farms through repurchase or being leased by different entities. The level and dynamics of structural change in the area of agriculture is mainly conditioned by the state policy reflected in its formal and legal regulations and economic conditions affecting the profitability of agricultural production. The results of analysis of those changes indicate that process of “Territorial Farms Polarization” will be continued by increasing the area of the large farms with greater potential to increase.

**Key words:** management, cultivation, agricultural property of State Treasury, farms, agrarian structure.

### Lauksaimniecības valsts sektora īpašumtiesību izmaiņu ietekme uz lauksaimniecības struktūru Polijā

Rakstā tiek izvērtētas izmaiņas Polijas lauksaimniecības struktūrā laikā no 1990. gada līdz 2012. gadam, kuras notika, galvenokārt, Lauksaimniecības īpašuma aģentūras (LIA) (*Agencja Nieruchomości Rolnych (ANR)*) īstenoto reformu ietekmē. LIA ir likumīga Valsts kases Lauksaimniecības īpašuma aģentūras (VKLIA) (*Agencji Własności Rolnej Skarbu Państwa (AWRSP)*) pēctece. Valsts kasei piešķir pilnas īpašumtiesības uz lauksaimniecības īpašumu. Analīzē tiek izmantoti dati no VKLIA darbības pārskatiem un statistiska informācija no Centrālās Statistikas Pārvaldes (CSP). Raksta mērķis ir novērtēt lauksaimniecības valsts sektorā

notiekošo īpašumtiesību izmaiņu ietekmi uz Polijas lauksaimniecības struktūru. 2012. gada beigās Valsts kases Lauksaimniecības resursu aģentūra (*Zasób Własności Rolnej Skarbu Państwa*) pārņēma savā īpašumā vairāk nekā 4.71 milj. hektārus, 80% no kuriem bija valsts saimniecību formā. Kopumā 3.01 milj. hektāru (63.5%) tika atvēlēti pastāvīgai kultivācijai, no tiem 2.34 milj. hektāru – pārdošanas ceļā, kas sastādīja 49.3% no Valsts kases Lauksaimniecības resursu aģentūras (*Zasób Własności Rolnej Skarbu Państwa*) pārņemtajām lauksaimniecības zemēm. Pārdalei bija pieejami vēl vairāk nekā 1.8 milj. hektāru un lielākā daļa no šīm zemēm (73.2%) tika izīrēta. Šobrīd pieejami joprojām paliek 6.8% no lauksaimniecībā izmantojamiem zemes resursu krājumiem. Polijai ir raksturīga vēsturiski izveidojusies teritoriāla nevienmērība lauksaimniecības struktūrā, kuru determinēja augsts pieprasījums uz zemi tajos reģionos, kuros ir zems piedāvājums no iepriekš valsts īpašumā bijušo fermu puses. Īpašumtiesību izmaiņu rezultātā notika izmaiņas arī lauksaimniecības struktūrā, kas izpaužas kā individuālo fermu skaita samazināšanās apmēram uz 1/3, sasniedzot vairāk nekā 1456.4 tūkst., un fermu izmēra palielināšanās līdz 9.3 hektāriem lauksaimniecības zemes (LZ), kas kopumā sastāda 47.6%. Fermu skaits ir samazinājies visās izmēru grupās, izņemot fermas, kuru teritorija ir lielāka par 15 hektāriem lauksaimniecības zemes. Šajā grupā izmaiņas nodrošināja atpirkšanas un īres procesi, kuri veicināja liela izmēra saimniecību veidošanos. Lauksaimniecības sfērā notiekošās struktūras izmaiņas pārsvarā tiek veicinātās ar valsts politiku caur tiesību normām un ekonomiskajiem apstākļiem, kuri ietekmē lauksaimnieciskās ražošanas rentabilitāti. Pētījuma rezultāti norāda, ka “fermu izmēru polarizācija” turpināsies kā platības palielināšanās lielajām fermām, kurām ir lielāks potenciāls savas teritorijas paplašināšanai.

**Atslēgas vārdi:** menedžments, kultivācija, Valsts kases lauksaimniecības īpašums, fermas, lauksaimniecības struktūra.

### **Влияние изменений прав собственности в государственном сельскохозяйственном секторе на структуру сельского хозяйства Польши**

В статье представлены изменения структуры сельского хозяйства Польши за период с 1990 по 2012 год, которые в основном происходили под влиянием реформ, реализуемых Агенством сельскохозяйственных угодий (ACU) (*Agencja Nieruchomości Rolnych (ANR)*), являющимся законным последователем Агенства сельскохозяйственных угодий Государственной кассы (ACUGK) (*Agencji Własności Rolnej Skarbu Państwa (AWRSP)*). Государственной кассе были присуждены полные права на владение сельскохозяйственной собственностью. В рамках анализа используются данные отчётов ACUGK и статистическая информация Центрального статистического управления (ЦСУ). Цель статьи – оценить влияние изменений в области прав собственности в государственном сельскохозяйственном секторе на структуру сельского хозяйства Польши. В конце 2012 года более чем 4.71 млн. га в своё владение переняло Агенство сельскохозяйственных ресурсов Государственной кассы (*Zasób Własności Rolnej Skarbu Państwa*), и 80% из них были в форме государственных хозяйств. В общем, 3.01 млн. га (63.5%) были отведены под постоянную культивацию, из них 2.34 млн. га – посредством продажи, что составило 49.3% от сельскохозяйственных угодий, перенятых Агенством сельскохозяйственных ресурсов Государственной кассы (*Zasób Własności Rolnej Skarbu Państwa*). Более чем 1.8 млн. га еще могли быть перераспределены и большая часть земель (73,2%) были отданы в аренду. После проведенных мероприятий доступными оставались еще 6.8% от запасов сельскохозяйственных угодий. Для Польши характерна исторически сложившаяся территориальная вариативность структуры сельского хозяйства, которая детерминирована высоким спросом на земли в регионах с низким предложением со стороны ферм, ранее находившихся в государственном владении. В результате изменений в области прав собственности произошли изменения и в структуре сельского хозяйства, выражающиеся в уменьшении количества инди-

видуальных ферм на 1/3, достигая 1456.4 тыс., и увеличении размеров сельскохозяйственных ферм до 9.3 га сельскохозяйственных угодий, что составляет 47.6% от общего количества ферм. Количество ферм уменьшилось во всех размерных группах, исключая фермы с территорией, превышающей 15 га сельскохозяйственных угодий. Изменения в этой группе в основном произошли из-за формирования хозяйств больших размеров посредством откупа или аренды. Изменения, происходящие в структуре сельского хозяйства, стимулируются главным образом государственной политикой посредством правовых норм и экономических условий, которые влияют на рентабельность производства в сельском хозяйстве. Результаты исследования показали, что «размерная поляризация ферм» будет продолжаться посредством увеличения крупных ферм, имеющих высокий потенциал расширения своей территории.

**Ключевые слова:** менеджмент, культивация, сельскохозяйственная собственность Государственной кассы, фермы, структура сельского хозяйства.

## Introduction

The process of proprietorial changes in governmental sector of agriculture is being held for more than 20 years. According to Niedzielski (Niedzielski 2009) it might have been carried out evolutionally, by eliminating inefficient entities from the market or through revolution on basis of administrative decisions. In Poland the second version has been assumed and post-state-owned farms have been taken down on the basis of legal regulations. Introduction of changes in economic system in the early 90's meant elimination or essential limitation of state property in agriculture. It should be highlighted that governmental sector in Polish agriculture did not play the leading part, although in late 80's it managed over 3.4 million hectares of farm lands (around 19% of farm lands) and it possessed essential productive role by creating 18% of global agricultural production, 19% of final production and 21% of consumption production (1). Currently this process is being held by the Agricultural Property Agency (APA) – the legal successor of the Agricultural Property Agency of the State Treasury (APAST), which was given full ownership rights of agricultural property of the State Treasury (2). One of its tasks formulated in 6<sup>th</sup> article of The Act (3) actively shaped the agrarian structure by enabling creation of farms, especially increasing those existing with the help of farm property of State Treasury.

According to Zegar (Zegar 2014) issues of overall economic growth have essential influence, by generating demand on food production which enables accumulation of resources for development of farm lands and capturing the over-labour from the agriculture. Issues connected with favourable forming of farm income are also very influential. They are caused by the technical development, which raised the land limitations resulting from labour. Level of that income is shaped by financial resources which come in a form of direct subventions, dotation given after joining European Union by Poland as a result of Common Agricultural Policy (CAP). According to Treaty of Rome (art. 39) their aim is to increase efficiency of farm production in a way of technical development, assuring the rational development of farm production and the maximum use of production factors, especially labour, assuring the appropriate living conditions of farm people, and assuring appropriate prices for consumers and guaranteeing alimentary security. According to the Treaty it is essential in common

agricultural policy to take into consideration specific character of agricultural economy, specific structure of farm society, regional structural and environmental differences and connecting agriculture with the economy as well as taking steps towards their successive elimination by using special measures. Other issues influencing the agrarian structure refer to growth of work efficiency, economical efficiency of production factors, improvement of competitiveness and matters of balanced agriculture and agricultural lands development.

Process of land concentration in Poland has two dimensions according to Zegar (Zegar 2009). The first one is connected with formation of relations between large land properties and smaller farms and the other one refers to transfer and land concentration amongst family-run farms. In this report there has been shown the influence of proprietorial changes in governmental agricultural sector on creation of agrarian structure in Poland.

### **Research methods**

The aim of held research was to assess the influence of proprietorial changes in governmental agricultural sector on creation of agrarian structure in Poland. Achieving this goal was connected with identification of factors that determine its incidence and dynamics of the changes. It was assumed that achieving this goal should be enabled by obtaining data about management of agricultural property of State Treasury and data about numbers, placement and land structure of farms in the country. In the analysis there have been used data from:

- reports on the activity of Agricultural Property Stock of the State Treasury for the years 1990 – 2012,
- statistical yearbooks of agriculture and farm areas for years 1990 – 2012,
- the outcomes of agricultural census from years 1996, 2002, 2010.

In the analysis there have been used chart-describing statistics, and some of the relations have been shown in a form of graphics.

### **Research outcomes**

Macroeconomic conditions and legal-formal regulations which are formed by agricultural policy of the country which shape agrarian structure, have an essential influence on changes in Polish agriculture and farm areas. According to B. Galeski (Galeski 1964) agrarian structure should be analysed by grouping farms into different economic types, which shows their property form and usage of farm production resources. Further analysis of farms covers equipment in production resources, amongst which land is the most important feature. It determines the direction, level of production and level of farms' marketability (Tyszkiewicz 1978).

One of the characteristic features of agricultural structure of Polish farming is its regional differentiation associated with the process of rebuilding farming policies after war. The decree of PKWN from 6 IX 1944 r (4) about executing farm reform states



that “Polish farm policy will have good foundations such as strong, healthy and productive farms which belong to private farmers”. For the purpose of reforms there were allocated lands belonging to the State of Treasury, post German land, confiscated and taken from individuals or from legal persons in cases when joined area exceeded 100 hectares of general area, or 50 hectares agricultural land, and in Poznan, Pomeranian and Silesia Voivode ships when it exceeded 100 hectares of general area, whatever the size of agricultural land was.

Those regulations determined limits of private property, which had major impact on shaping agrarian structure in post-war Poland and was the top limitation for the area of private farm, to which farms could have increased their land till 1990. Most of agrarian lands which were taken over have been parted and designed to create farms by non-farmers and people coming from old Polish lands. The rest of the lands created a base for creating governmental farms. The land was still given by repayment for relatively low prices (15 quintals of rye for 1 hectare of III class land). The payment could have been done by instalments during 10–20 years. Due to high expected demand it was assumed that area of received land should not exceed 5 hectares.

As a part of the reform government took over 652 thousands of agricultural properties, out of which 4.9% had the area above 50 hectares. As a result 6.07 million hectares was given to nearly 1.07 million families, and 3.7 million hectares of it was given for 467 thousands for families for immigration. After those processes average area of a farm was 5.4 hectares on old Polish lands and 7.9 hectares on immigration lands. Already existing farms increased by 1.9 hectares. In total as a result of reform after war around 30% of farm land was given to individual farmers. Although many properties have been parted, significant part of those lands came back to the possession of government through Country’s Ground Fund by a realisation of program of sharing villages. After war there have been taken actions which consisted on using various incentives of commands-and-interdictions which lead to socializing and limiting private property of governmental farming (Sadowski 2009).

Since 1990 in the process of management of agricultural property of State Treasury there have been essential the chosen formal-legal solutions towards creation of Stock of Agrarian Property of State Treasury, economic and financial situation of taken over post-state-owned farms, legal state of taken over properties and countries socio-economic situation (Jaworski 1999, pp. 27–33). According to W. Dzun (Dzun 2005, p. 239) main point of adopted legal-formal solutions was to activate land market by activation of agricultural land resources of State of Treasury. They were meant to stimulate structural changes in Polish agriculture. In their assumptions they were meant to promote desired structure of family-run farms, especially through selling lands for neighbours or by enabling creation of new family-run farms.

Another aim was to indicate those forms of management of property of State of Treasury, which enabled its’ effective use until the moment of its’ permanent management, which was its sales. The process contained three essential steps. First step was connected with incorporation of agricultural property to the Stock of APA, in a form of return-receipt protocol made by returning entity and the Agency on a basis of administrative decision. The second step contained preparation of property to being brought into cultivation. After incorporating the property to the Stock of APA entities

lost their legal form and started functioning in a form of State Treasury farms with temporary management. The main tasks of temporary manager were to manage current activity of the farm and creating the restructuration program of managed farm according to the Agency's recommendation. The third step contained bringing the property into cultivation consistent with its tasks described by the legal acts (5) and the assumptions of state agricultural policy in the area of proprietorial changes in agricultural sector (Mioduszewski, Niedzielski 2012; Jaworowski 1999).

According to the records of 5<sup>th</sup> chapter of the Act (6) different forms of management of the Stock of APA have been drawn up depending on situation and specific conditions. Amongst main forms of cultivating the property entirely or partially we can mention sale, time-limited rendering by private person or legal entities (mainly lease or rent), insertion into company's property, time-limited rendering by the administrator of entire or part of the property to manage, giving property into management of state entity which does not possess legal form, free-of-charge rendering the property by the authorized entities or using it for infrastructural investments.

Beside that changes introduced in the act obliged the Agency to fulfil some tasks defined by other legal acts, especially by the Act about creation of agricultural policy from 11<sup>th</sup> April 2003, where 1<sup>st</sup> article defines rules enabling improvement of land structure of farms (7), prevention from over concentration of farm properties and APA assuring management of agricultural activity by qualified entities. Pace, range and form of cultivating the Stock of APA were influenced by releasing the Act from 16<sup>th</sup> September 2011 about change of the act about management of farm properties of State Treasury (8). According to the introduced changes the Agency was obliged to e.g. selling its property entirely or partially at first and to introduce changes in rules of giving leases, but also in existing leases. According to the statements of the Act Agency should take measures to enable the leases given before the novelisation to give up the lease on 30% of the area of agricultural land which was leased.

Those regulations had no legal force if the lease was signed a day before the coming into life the act from 16<sup>th</sup> September 2011 and the entire area of leased land from the Stock of APA after the exclusion would be smaller than 300 hectares. In the situation when the leaseholder did not accept the proposed conditions he would lose right to the first buyout of the property. The decision of Board of European Union 2010/10/WE from 20<sup>th</sup> November 2009 had influence on the permanent cultivation of the Stock process, by enabling using governments help for buying agricultural property for the time of 3 years, i.e., from 1<sup>st</sup> January 2010 to 31 December 2013. Matter of specific conditions of hire purchase and level of return liabilities from sale of the property from the Stock of APA has been regulated in the Decree of Minister of Agriculture and Development of Rural Areas from 16<sup>th</sup> February 2012 (9). Governmental help in purchase of agricultural land was pointed mainly on purchasers, whose aim was to create or develop their family-run farm (10).

Participation of governmental sector in use of lands, and by this in agricultural production, showed big territorial differentiation. In the scale of country there have been incorporated to the Stock of APA land with the area of over 4.7 million hectares, in which land of out of 1666 farms made up 79.4% (3.76 million hectares), and the

rest of lands came from the Country's Ground Fund (12.7%) and from other titles (7.9%). The process of their taking over was practically finished in 1995. The government possessed biggest part of agricultural land in north and north-west part of the country, where from 7 provinces there have been incorporated into the Stock of APA over 3.71 million hectares of land, which makes up for 78.5%. The most lands have been incorporated in the Province of West Pomerania (821.5 thousands hectares), Province of Warmia and Masuria (820.6 thousands hectares), Southern Silesia Province (509.5 thousands hectares) and Greater Poland Province (499.9 thousands hectares). As a consequence, scale of the problem and repercussions of proprietorial changes in governmental sector of agriculture are also territorially differentiated. Overtaking the agricultural properties from the post-state-owned farms used to function as Farms of State Treasury with a temporary management, and then they were offered the sale or lease entirely or partially.

In the situation of lack of regulated legal state of the agricultural property and lack of entities eager to lease or purchase the property, entities which could function on their own obtained the farm to administrate it. This form had essential influence until the end of year 2000, and according to the data from the end of year 2012, almost 2.1 thousands hectares (0.4%) of land still exist in this form. Planned pace and range of privatisation of an average property through its sale had significantly smaller scale as it was assumed at the beginning, while creating the program of proprietorial changes of governmental agricultural properties. On average in the period of one year around 2.3% of land was sold out from the Stock of APA, while on average 3% of land could find purchasers in years 1995–2002. The biggest significance in bringing the agricultural lands into cultivation had lease, as in this form there have been cultivated around 2/3 of the Stock (2.93 million hectares). At the end of year 2012 in the Stock of APA there have still been over 1.8 million hectares (38%), out of which over 72.2% (1.3 million hectares) have been being leased. The majority of those lands is located in the Province of West Pomerania, Province of Warmia and Masuria, Southern Silesia Province and Greater Poland Province.

Since year 2003 there have been increase in cultivation of farm lands, which was reflected by the increase of rent of lease and of prices of agricultural lands. The creation of prices of agricultural land was influenced by Poland joining European Union and permanent cultivation since 2002 around 1/3 of total land of the APA Stock. This influenced the relation between supply and demand what was reflected by systematical growth of the prices. According to the high dynamics of prices increase the farm land started being seen as an attractive location of the capital in the constantly changing macroeconomic conditions, resulting from Poland joining European Union and introducing direct subventions for users of agricultural lands as a part of Common Rural Policy. Those changes resulted in over 5 times increase in average prices of sale of farm land in years 2002–2012 from the amount of 3736 to 19288 PLN per 1 hectares, and over 6.5 times increase in lease (see Figure 1, Figure 2, Table 1).

Figure 1  
Results of activity of the Agricultural Property Agency in taking over  
and management of lands (according to the data from 31 XII 2012)



4740.6 thousands hectares – land incorporated from the Agricultural Property Stock of the State Treasury, 1800.9 thousands hectares – land remaining in the Agricultural Property Stock of the State Treasury.

Source: own study based on reports on the activity of Agricultural Property Stock of the State Treasury for the year 2012, Warsaw.

Table 1

**The results of the activity of the Agricultural Property Agency in overtaking and management of lands from 1992 to 2012**

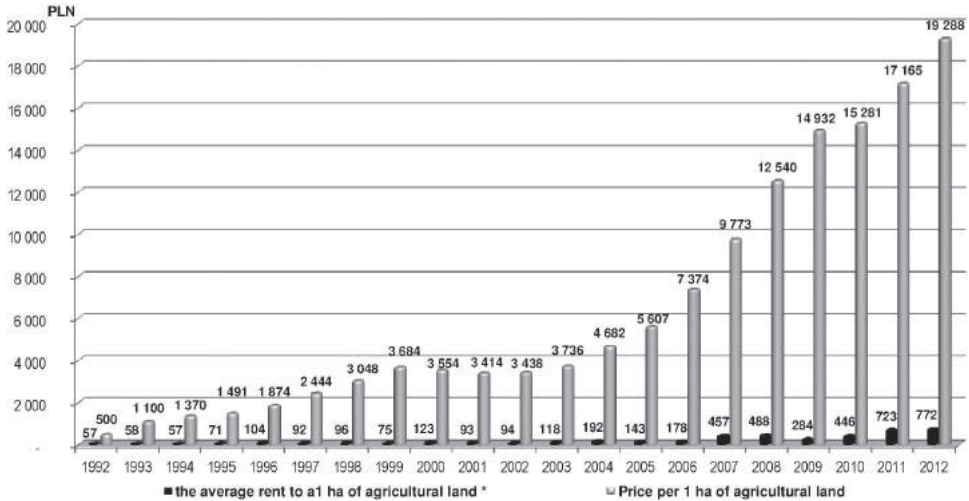
Year	Land incorporated	Land distributed for permanent usufruct											Land remaining in the Agricultural Property Stock of the State Treasury							
		total		sold		total transferred free of charge		of which from:			transferred to companies		other methods of distribution		total		leased		awaiting for utilisation	
								transferred to the ACOM* and under the waters passed to the RWMM**												
		in ths. hectares	in ths. hectares	%	in ths. hectares	%	in ths. hectares	%	in ths. hectares	%	in ths. hectares	%	in ths. hectares	%	hectares	%	hectares	%	hectares	%
1992	1 432.2	9.9	0.7	9.5	0.7	0.3	0.02	-	-	-	-	-	-	1 422.7	99.3	48.9	3.4	28.7	2.0	
1993	3 300.0	67.4	2.0	58.6	1.8	7.6	0.2	-	-	1.2	0.04	-	-	3 230.7	97.9	899.5	27.3	115.1	3.5	
1994	4 232.8	143.8	3.4	123.9	2.9	13.4	0.3	-	-	6.5	0.15	-	-	4 081.0	96.4	1 981.1	46.8	387.7	9.2	
1995	4 414.0	276.2	6.3	239.3	5.4	28.7	0.7	-	-	8.2	0.19	-	-	4 115.7	93.2	2 744.8	62.2	453.0	10.3	
1996	4 506.2	525.8	11.7	431.9	9.6	85.0	1.9	-	-	8.9	0.20	-	-	3 980.4	88.3	2 928.1	65.0	718.8	16.0	
1997	4 591.8	697.4	15.2	581.3	12.7	106.8	2.3	0.0	0.00	9.3	0.20	-	-	3 894.4	84.8	2 889.5	62.9	649.6	14.1	
1998	4 646.0	889.0	19.1	727.8	15.7	147.8	3.2	0.4	0.01	12.9	0.28	-	-	3 757.3	80.9	2 810.5	60.5	616.9	13.3	
1999	4 665.5	1 042.6	22.3	845.9	18.1	182.2	3.9	0.9	0.02	13.6	0.29	-	-	3 621.8	77.6	2 692.1	57.7	671.0	14.4	
2000	4 694.2	1 199.6	25.6	967.5	20.6	210.4	4.5	0.9	0.02	14.2	0.30	6.6	0.14	3 492.4	74.4	2 618.4	55.8	682.2	14.5	
2001	4 700.5	1 367.8	29.1	1 113.7	23.7	226.1	4.8	0.9	0.02	14.5	0.31	12.7	0.27	3 322.9	70.7	2 507.8	53.4	651.7	13.9	
2002	4 705.0	1 548.8	32.9	1 272.0	27.0	243.9	5.2	1.3	0.03	15.0	0.32	16.6	0.35	3 145.5	66.9	2 407.5	51.2	583.8	12.4	
2003	4 706.0	1 662.3	35.3	1 373.5	29.2	254.4	5.4	1.3	0.03	15.0	0.32	18.1	0.38	3 032.2	64.4	2 341.6	49.8	552.6	11.7	
2004	4 708.7	1 794.8	38.1	1 478.6	31.4	289.5	6.1	3.3	0.07	15.2	0.32	8.3	0.18	2 917.2	62.0	2 305.1	49.0	484.6	10.3	
2005	4 715.3	1 915.8	40.6	1 585.4	33.6	296.1	6.3	8.7	0.2	15.5	0.33	10.1	0.21	2 799.5	59.4	2 205.8	46.8	453.1	9.6	
2006	4 717.9	2 078.5	44.1	1 694.0	35.9	305.2	6.5	44.9	1.0	15.8	0.33	18.6	0.39	2 639.4	55.9	1 905.6	40.4	386.2	8.2	
2007	4 723.1	2 247.5	47.6	1 798.0	38.1	314.4	6.7	95.9	2.0	15.9	0.34	23.3	0.49	2 475.7	52.4	1 838.7	38.9	345.6	7.3	
2008	4 725.4	2 358.0	49.9	1 876.9	39.7	322.0	6.8	118.7	2.5	15.9	0.34	24.5	0.52	2 367.4	50.1	1 784.0	37.8	330.3	7.0	
2009	4 740.2	2 506.4	52.9	1 980.2	41.8	331.2	7.0	149.8	3.2	16.0	0.34	29.1	0.61	2 233.8	47.1	1 685.9	35.6	331.6	7.0	
2010	4 740.4	2 641.1	55.7	2 077.7	43.8	336.5	7.1	172.3	3.6	23.8	0.50	30.8	0.65	2 099.4	44.3	1 586.8	33.5	314.4	6.6	
2011	4 740.0	2 786.0	58.8	2 203.2	46.5	343.3	7.2	184.6	3.9	23.8	0.50	31.1	0.66	1 954.0	41.2	1 465.4	30.9	311.1	6.6	
2012	4 740.6	2 939.7	62.0	2 336.0	49.3	349.3	7.4	198.6	4.2	23.8	0.50	32.1	0.68	1 800.9	38.0	1 319.1	27.8	321.4	6.8	

\* ACOM – Agency for Construction and Operation of Motorways;

\*\* RWMM – Regional Water Management or Marshal.

Source: own study based on reports on the activity of Agricultural Property Stock of the State Treasury for the years 1992 – 2012, Warsaw.

Figure 2  
The level of rent for leased land and land sales prices of  
Agricultural Property Stock of the State Treasury in the years 1992 – 2012



\* Excluding land under buildings (including residential), via selected objects like water.

Source: own study based on reports on the activity of Agricultural Property Stock of the State Treasury for the years 1992 – 2012, Warsaw.

During the analysis of structure and dynamics of changes in number of individual farms in area groups one can notice improvement of territorial structure. Those changes are reflected by around 1.5 times increase in average land size of a farm (from 6.3 hectares in 1990 to 9.3 hectares of agricultural land in 2012). In this period of time there was a decrease of 685 thousands farms and a decrease in farm agricultural land of 77.5 thousands hectares of agricultural land. This trend was mostly connected with the decrease of amount of farm in all territorial groups apart from the farms above 15 hectares of agricultural land. Their number has increased of around 71.3 thousands farms which states for 54.8%. Amongst farms over 15 hectares of agricultural land every eighth farm (26.7 thousands of farms) has the area of 50 hectares of agricultural land. Those farms were mostly created on the basis of properties of State Treasury which had already been cultivated in north and north-west part of Poland in provinces with essential share in agricultural property.

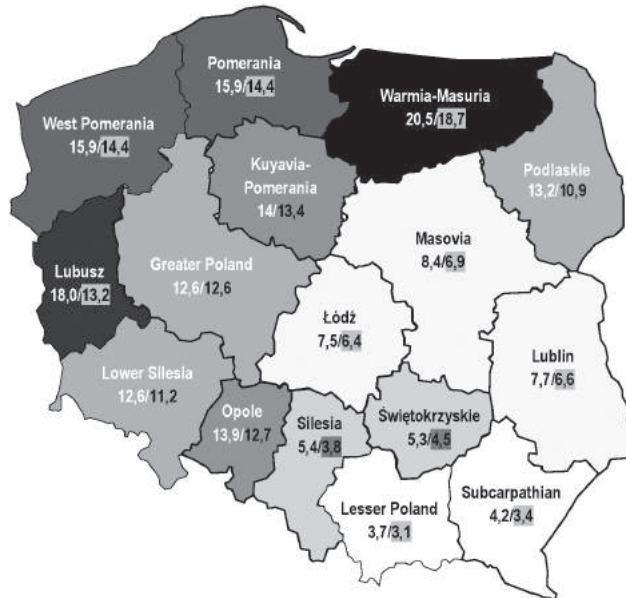
The biggest average area have farms in Warmia and Masuria Province (20.5 hectares), Lubuskie Province (18 hectares), Pomerania and West-Pomerania Provinces (15.9 hectares) and Kuyavia-Pomerania Province (14 hectares). Farms with smaller size could increase mostly as an effect of “dropping-off” smaller individual farm with the small income of land from the APA Stock at the same time (see Figure 3, Table 2). As A. Sikorska (Sikorska 2013, p. 28) indicates, increase of rate of agrarian changes after entering European Union had two causes. First one was connected with increasing competition in agriculture, which caused tension on increasing production scale and

strengthening market positions of agricultural resources producers. As a consequence average size farms reduction became more visible.

The other cause was connected with geographical location of farms and urbanised areas, absorptive labour markets and communication roads which facilitated access to huge agglomerations. Tendencies of changes in shaping the territorial structures and amount of individual farms are being shown for instance by Dzun (Dzun 2005), Kisiel and Lizinska (Kisiel, Lizinska 2001), Niedzielski (Niedzielski 2009), Sadowski (Sadowski 2009), Zegar (Zegar 2014). In Poland significant meaning for creating agrarian structure, has familiar character of farm lands' property, which were transmitted from one gender to another. The process of proprietorial changes in governmental sector of agriculture which was started, enabled transfer of farm lands to the private sector. At principles, lands of The Agricultural Property of the Treasury were managed by lease, enabling creation of large farms and enlarging those already existing ones. Influence of this form has decreased in a period of last 10 years due to buying out leased lands for instance. Dynamics of changes of agrarian structure was influenced by increasing prices of farm lands and leases. Amongst major advantages of managing agricultural properties through lease/buying out one can name possibility of further evolution by increasing production abilities, reducing individual production costs, rational use of possessed resources and capital investment which enabled significant benefits from subventions from European Union.

Figure 3

The average area of agricultural land in farms by voivode ship in 2002 and 2012



The average area of agricultural land in hectares – 2012/2002

Source: own study based on data of the Central Statistical Office.

Table 2

## Private farms in Poland grouped by the area of agricultural land

Years	Land area		Number of private farms in total (in thousands)	With agricultural land area in hectares					With agricultural land area (in hectares)				
	in ths. hectares	on average land area farms* (in hectares)		1-2	2-5	5-10	10-15	15 and above	1-2	2-5	5-10	10-15	15 and above
				in ths. hectares					in percent				
1990	13 399.8	6.3	2 137.5	378.3	750.8	636.3	242.0	130.1	17.7	35.1	29.8	11.3	6.1
1991	13 396.5	6.3	2 137.7	377.2	753.7	635.2	241.7	129.9	17.6	35.3	29.7	11.3	6.1
1992	13 408.4	6.3	2 143.7	381.1	756.7	634.8	241.4	129.7	17.8	35.3	29.6	11.3	6.1
1993	13 418.8	6.2	2 148.8	383.6	758.9	635.0	241.5	129.8	17.9	35.3	29.6	11.2	6.0
1994	13 579.5	6.9	1 967.3	378.0	663.2	543.4	224.0	158.7	19.2	33.7	27.6	11.4	8.1
1995	13 819.9	6.7	2 047.6	428.8	690.3	545.2	219.5	163.8	20.9	33.7	26.6	10.7	8.0
1996	14 259.5	7.0	2 041.4	462.2	667.6	520.8	217.2	173.6	22.6	32.7	25.5	10.6	8.5
1997	13 936.5	6.9	2 008.3	439.2	691.0	503.1	206.2	168.8	21.9	34.4	25.1	10.3	8.4
2000	15 456.0	8.2	1 880.9	448.2	613.6	447.7	185.7	185.8	23.8	32.6	23.8	9.9	9.9
2002 <sup>a</sup>	14 858.0	7.6	1 951.7	516.8	629.5	426.5	182.5	196.4	26.5	32.3	21.9	9.4	10.1
2005	14 005.0	7.9	1 782.3	446.8	585.1	388.2	167.6	194.6	25.1	32.8	21.8	9.4	10.9
2007	14 418.0	8.0	1 804.1	422.5	614.0	399.9	166.4	201.3	23.4	34.0	22.2	9.2	11.2
2008	14 442.0	8.0	1 806.5	428.5	603.6	412.0	164.4	198.0	23.7	33.4	22.8	9.1	11.0
2009	14 453.0	8.2	1 765.9	413.3	596.6	390.5	166.4	199.2	23.4	33.8	22.1	9.4	11.3
2010 <sup>a</sup>	13 660.4	8.8	1 558.4	342.2	519.3	351.5	152.2	193.3	22.0	33.3	22.6	9.8	12.4
2011	13 892.0	8.4	1 651.7	391.8	563.5	341.8	158.9	195.7	23.7	34.1	20.7	9.6	11.8
2012	13 477.3	9.3	1 452.9	286.7	472.0	349.1	143.7	201.4	19.7	32.5	24.0	9.9	13.9

\* on average land area farms above 1 hectares

<sup>a</sup> Date of the Agricultural Census

Source: own study based on data of the Central Statistical Office



## Conclusions

Since early 90's the process of proprietorial changes in governmental sector of agriculture has created new possibilities of changes in agrarian structure. Currently it is being carried out by the Agricultural Property Agency, which was given full ownership rights of agricultural property of the State Treasury. The outcome of the research indicates on essential influence of property changes in governmental sector of agriculture on shaping of agrarian structure. It should be highlighted that this process has two directions. On one side it can be connected with decreasing of the amount of farms and overtaking lands from other family-run farms, and on the other side it can be connected with transfer of farm lands of State Treasury, which lead to development of existing farms and creation of large farms.

There have been huge historical diversifications of agrarian structure in Poland. It is reflected by the strong demand on farm lands in the areas with small supply of this land to offer by Agricultural Property Stock of the State Treasury. The biggest part of the state property in agriculture was in north and north-west part of Poland, where over 2.65 million hectares of land has been incorporated from four provinces (West Pomeranian Province, Province of Warmia and Masuria, Lower Silesia Province and Greater Poland Province), which consists of 55.9% of total Stock of APA.

As a result of its own activity, The Agency has permanently brought into cultivation 3.01 million hectares of lands out of 4.74 million hectares, of which 2.34 million through sale. Out of remaining in the Stock, 1.32 million hectares (27.8%) is being leased. Analysis of the structure and dynamics of changes in amount of individual farms, states that there has been improvement of land structure, which is reflected in decrease of 685 thousands (to the level of 1.45 million) in amount of farms and increase of average area of a farm by 150% (from 6.3 hectares in 1990 to 9.3 hectares of agricultural land in 2012). This trend has been noticed in all area groups apart from the group of farms above 15 hectares of agricultural land. Its number has grown to 201 thousands, and every eighth farm in this group has the area of more than 50 hectares of agricultural land. Those farms have been mainly created on the basis of the agricultural properties of State Treasury which had already been brought into cultivation, mostly in north and north-west part of Poland. At the same time smaller farms were increasing their land mostly because of the "dropping out" of other individual farms. Some may expect that this trend of structural changes will continue because of essential size of the Stock of APA and the priorities of agricultural policy which are determined by chosen formal-legal solutions which lead to full privatisation of agricultural lands. Seeing the farm land as a good location of a capital which will continuously bring financial benefits (direct payments from European Union) will stimulate changes in agrarian structure in next years.

(1) Statistical Yearbook of Agriculture 1993.

(2) Act from 19th October 1991 about management of agricultural property of State Treasury, with later changes. (Dz. U. from 1991 number 107 position 464).

(3) Act from 19th October 1991 about management of agricultural property of State Treasury, with later changes. (Dz. U. from 1991 number 107 position 464).

- (4) Dz.U. from 1945 number 3, position 13 Announcement of Minister of Agriculture and Agricultural reforms from 18th January 1945, about announcement of homogenous text of the decret of Polish Committee of National Liberation from 6<sup>th</sup> September 1944 about delivering agricultural reform.
- (5) Dz.U.07.231.1700 it is article 6.1 of Act from 19th October 1991 about management of agricultural property of State Treasury.
- (6) Dz.U.07.231.1700 it is article art. 25 and 25 of Act from 19th October 1991 about management of agricultural property of State Treasury.
- (7) According to article 2 of Act about creating agricultural policy “homestead means homestead as it is defined in Civil Code with the area not smaller than 1 ha of farm land.
- (8) Dz. U. from year 2011 number 233, position 1382.
- (9) Dz. U. from year 2012, position 208.
- (10) Family-run farm described in article 5 Act 1 from 11th April 2003 about creation of agricultural policy (Dz. U. Number 64, position 592, with later changes)

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Kaspars Steinbergs, Renāte Cane

## CRISIS MANAGEMENT AND COMMUNICATION AT FILM STUDIOS IN LATVIA

The existence of every company, organization or even whole industry can be jeopardised by a crisis situation, which can arise due to a wide range of internal and external environmental factors. Quite often, crisis situations affect those industries and companies whose activities are largely affected by external factors. One example of such industries is the Latvian film industry, which to a great extent is dependent on the availability of public funding for making films and carrying other audio-visual projects. A substantial reduction in public financing of film industry in 2009 created a crisis-like conditions within the industry as a whole and in most of the related companies as well. This article analyses crisis management and communication in the Latvian film industry as a whole and in its individual companies. There are also statistical data analysed on the amount of public funding and its impact on the number of films made. Also the overall long-term crisis situation in film industry is analysed. In order to give an analysis of the situation in film industry companies six semi-structured interviews have been conducted. This allowed to determine the causes of the crisis, its impact on business activities of those companies, management and communication processes during crisis. The study showed that the cause of the crisis was almost exclusively not receiving of public funding by Latvian film studios and thus a failure to implement their film projects. In such situations the work of the studio manager and the internal communication are of the essence. The results of the interviews showed that such situations can be successfully overcome if there have been good pre-crisis relationships developed, reputation and good work results provided. The most important part of internal communication during a crisis is to provide open and complete information on previous work done by the company. If external communication is very important during crisis situations for the industry as a whole, then it is not so important for individual companies. It was also concluded that such crisis situations create a creative crisis, and taking into account the specifics of Latvian film studios, the studio director's personal crisis communication replaces the crisis communication of the company. Finally, it was concluded that the Latvian film industry long-term crisis, which was resulted from the reduction of public funding could be considered as systematic failure of strategy within the industry.

**Key words:** crisis management, crisis communication, film industry, public funding.

### Krīzes menedžments un komunikācija Latvijas filmu studijās

Katra uzņēmuma, organizācijas un pat veselas industrijas pastāvēšanu var apdraudēt krīzes situācijas, kuras var izraisīt vesela virkne iekšējās un ārējās vides faktori. Krīzes situācijām bieži ir pakļautas tās industrijas un to uzņēmumi, kuru darbību būtiski ietekmē ārējie faktori. Viena no šādām industrijām Latvijā ir filmu industrija, kuras uzņēmumu darbība lielā mērā ir atkarīga no pieejamā publiskā finansējuma filmu un citu audiovizuālo darbu projektu īstenošanai. Būtiskais valsts finansējuma filmu industrijai samazinājums 2009. gadā radīja krīzes apstākļus gan visā industrijā kopumā, gan lielākajā daļā tās uzņēmumu. Šajā rakstā tiek analizēta krīzes situāciju vadība un komunikācija Latvijas filmu industrijā kopumā, kā arī atsevišķos tās uzņēmumos. Tiek analizēti statistikas dati par publiskā finansējuma apjomu un tā ietekmi uz radīto filmu skaitu, raksturojot ilgtermiņa krīzes situāciju filmu industrijā kopumā. Krīzes situāciju analīzei filmu industrijas uzņēmumos, tika veiktas sešas daļēji strukturētās intervijas, noskaidrojot krīzes cēloņus, ietekmi uz uzņēmumu darbību, kā arī vadības un komunikācijas

procesus krīzes situācijās. Pētījuma rezultātā tika konstatēts, ka gandrīz vienīgais krīzes cēlonis Latvijas filmu studijās ir publiskā finansējuma nesapemšana kāda filmu projekta neīstenošanai. Šādās situācijās būtiskais ir studijas vadītāja darbs un iekšējā komunikācija. Interviju rezultāti parādīja, ka šādas situācijas ļauj sekmīgi pārvarēt pirms krīzes izveidotās attiecības, reputācija un paveiktā darba rezultāti. Krīzes iekšējā komunikācijā svarīgākais ir atklātas un pilnīgas informācijas sniegšana uzņēmuma darbiem. Ja industrijas krīzes situācijās ārējā komunikācija ir ļoti būtiska, tad uzņēmumu krīzes situācijās tas nav būtisks faktors. Tika arī secināts, ka šādas krīzes situācijas rada arī radošo krīzi, un, ņemot vērā Latvijas filmu studiju specifiku, lielākoties studijas vadītāja personīgā krīzes komunikācija aizstāj visa uzņēmuma krīzes komunikāciju. Noslēgumā tiek secināts, ka Latvijas filmu industrijas ilgtermiņa krīzi, ko izraisa publiskā finansējuma samazināšana, var uzskatīt par sistēmisko kļūdu industrijas vadībā un stratēģijā.

**Atslēgas vārdi:** krīzes vadība, krīzes komunikācija, filmu industrija, publiskais finansējums.

### **Антикризисное управление и коммуникация на латвийских киностудиях**

Существованию каждой компании, организации и даже целой индустрии может угрожать кризисная ситуация, которую может вызвать целый ряд внутренних и внешних факторов. С кризисными ситуациями часто сталкиваются индустрии и компании, на чью деятельность значительно влияют внешние факторы. Одной из таких отраслей в Латвии является киноиндустрия, чья деловая активность в значительной степени зависит от наличия государственного финансирования для реализации кино- и других аудиовизуальных проектов. Значительное сокращение государственного финансирования киноиндустрии в 2009 году создало кризисную ситуацию в индустрии в целом и в большинстве её компаний. В статье анализируется управление кризисными ситуациями и коммуникация в латвийской киноиндустрии в целом, а также в некоторых её компаниях. Анализируются статистические данные об объеме государственного финансирования и количестве созданных фильмов, характеризующие долгосрочное управление кризисными ситуациями в киноиндустрии Латвии. Для анализа кризисных ситуаций в киноиндустрии были проведены шесть полуструктурированных интервью, чтобы выяснить причины кризисов, их влияние на хозяйственную деятельность киностудий, а также процессы управления и коммуникации в кризисных ситуациях. Исследование показало, что почти единственной причиной кризиса латвийских киностудий является неполучение государственного финансирования для реализации кинопроектов. В таких ситуациях важна работа руководителя студии и внутренняя коммуникация. Результаты интервью показали, что отношения, установленные до кризиса, репутация и результаты деятельности позволяют успешно преодолевать такие ситуации. Во внутренней коммуникации во время кризиса самым главным является предоставление открытой и полной информации. Если внешняя коммуникация в киноиндустрии в кризисных ситуациях очень важна, то в отдельно взятых киностудиях это не является важным фактором. Был также сделан вывод, что кризисная ситуация приводит и к творческому кризису. Принимая во внимание специфику латвийских киностудий, личная коммуникация руководителя студии во время кризиса заменяет, главным образом, всю кризисную коммуникацию компаний. В заключение делается вывод, что долгосрочный кризис латвийской киноиндустрии, вызванный сокращением государственного финансирования, можно считать системной ошибкой в руководстве индустрией и в ее стратегии.

**Ключевые слова:** антикризисное управление, коммуникация в кризисных ситуациях, киноиндустрия, государственное финансирование.

## Introduction

Crisis as an integral part of the modern business concerns all industries and companies (Fearn-Banks 2010). This article analyses crisis situations in the Latvian film industry and its companies. The Latvian film industry depends heavily on state subsidies to be able to realise film projects, thus a significant decrease of financing may contribute to spreading of the crisis both throughout all industry and particular companies (Steinbergs 2014). Nevertheless an insufficient state funding cannot be the only crisis-promoting factor. As it is distinguished in the crisis management literature, review of which is given in the next section, a crisis situation can be triggered by a variety of inner and outer environment factors. Evaluation of the reasons of the crisis in Latvian film industry companies, and analysing the processes of crisis management and communication were the aims of this study. Film industry, similarly to other media must consider the effect of crisis on the communication with an audience and the link between creativity crisis and company or industry crisis. In the investigation of the crisis situation in the Latvian film industry companies, it is also taken into account that most of these companies are “one man businesses”, where film director is also a producer and studio manager (Juris Podnieks Studio 2011). In such case, the communication crisis of the manager of a film studio relates to the communication of the studio and vice versa. Accordingly, the film studio owners’ and managers’ personal crisis perception and communication are analysed in this article.

The article consists of five sections. The first deals with the theoretical aspects of crisis management and communication; the second reports on the methodology of the research; the third provides a review of the financial situation of the Latvian film industry and its impact on the work of the film studios; and the fourth forms the results of the interviews with the film studio owners and managers. The main findings are reflected in the fifth or the conclusion part.

## Crisis management and communication

A crisis is a serious event that occurs suddenly, often unexpectedly, and calls for a fast reaction. To understand what a crisis is and what its possible influence may be, different stances of several authors will be reviewed. Several well-known authors assess a crisis from the viewpoint of business management, stating its negative influence on the operation and processes of the organisation to be the most essential points, as well as threats to its existence and material losses. For defining a crisis more expressively, specialists often emphasise the characteristics of a crisis – suddenness, uncertainty, insecurity and doubt. For example, Seeger, Sellnow and Ulmer define organizational crises as “specific, unexpected, and non-routine events or series of events that [create] high levels of uncertainty and threat or perceived threat to an organization’s high priority goals” (Seeger et al. 2003).

Similarly to the mentioned above, such public relations classics as Cutlip, Center and Broom define a crisis while assessing its negative influence on the operation of an organisation as a whole. They emphasise uncertainty as a characteristic of crisis,

stating that it imposes restrictions on the immediate capacities of the organisation: “a low-probability, high-impact events that threaten the viability of the organisation and it’s characterised by ambiguity of the cause, effect, and means of resolution, as well as by a belief that decisions must be made swiftly” (Cutlip et al. 2000).

Still, a great amount of specialists, especially those who assess a crisis from the angle of public relations problems, believe that an organisation should review its priorities and strategies, and that the most essential loss after a crisis is the loss of reputation. Reputation should not be viewed as a factor separate from other essential factors that regulate the work of an organisation – financial data, client, employee satisfaction etc. Instead, reputation should be viewed as the sum total of all these things and thus the crisis also has to be ascribed to all the factors taken together.

One of the keenest defenders of this view is Andrew Griffin, who defines crisis as an “acute risk for reputation” (Griffin 2009). That is, crises occur unexpectedly, they draw focused attention and the organisation is blamed for everything. Kathleen Fearn-Banks, a crisis communication researcher, also defines crisis by viewing its impact on the organisation as a whole, and notes the harm it does to reputation, which she calls an organisation’s “good name”. “A crisis is a major occurrence with a potentially negative outcome affecting the organisation, company or industry, as well as its publics, products, services, or good name. A crisis interrupts normal business transaction and can sometimes threaten the existence of the organisation” (Fearn-Banks 2010).

W. Timothy Coombs, the author of many academic books and publications with focus on crisis communication, defines crisis as a sudden and unexpected event that threatens to disrupt an organization’s operations and poses both a financial and a reputational threat. Crisis can harm stakeholders (community members, employees, customers, suppliers, stockholders) physically, emotionally and/ or financially. Coombs proposed Situational Crisis Communication Theory (SCCT) that provides an evidence-based framework for understanding how to maximize the reputational protection afforded by post crisis communication. This theory identifies how key facets of the crisis situation influence attributions about the crisis and the reputations held by stakeholders. SCCT research has identified three crisis clusters based upon attributions of crisis responsibility by crisis type: (1) the victim cluster has very weak attributions of crisis responsibility (natural disasters, workplace violence, product tampering and rumour) and the organization is viewed as a victim of the event; (2) the accidental cluster has minimal attributions of crisis responsibility (technical-error accident, technical-error product harm and challenge) and the event is considered unintentional or uncontrollable by the organization and (3) the intentional cluster has very strong attributions of crisis responsibility (human-error accident, human-error product harm and organizational misdeed) and the event is considered purposeful. SCCT models the crisis situation and provides an evidence-based set of guidelines for using crisis response strategies that can benefit crisis managers and their organizations (Coombs 2007).

The authors of this article see conceptual likenesses in the aforementioned definitions of crisis – a crisis is defined as a serious threat to the processes in an organisation, involved parties or an industry as a whole, and often the outcome predicted

is negative. It leaves a severe impact on the development of the organisation and can endanger the existence of an organisation. Although definitions may vary greatly, most definitions of crisis are characterized by three elements:

- a) surprise element;
- b) threat to the organisation;
- c) short time for making decisions.

However, one must remember – for a crisis to occur, many (or at least several) negative aspects have to coincide simultaneously. One aspect is not a crisis. Particularly emphasizing, a crisis occurs if the processes are not managed and controlled; however, if the processes are being controlled on an ongoing basis, a crisis can be predicted and therefore avoided.

Regardless of the fact that a crisis usually intensifies suddenly and it is difficult to prognosticate a precise time of its occurrence, there are several indications that make it possible to forebode the approach of a crisis. For example, it can be the fact that a current aggravation of a situation is very important to an organisation (more important than similar situations before) and is threatening the successful development of the company or even its existence.

Gilpin and Murphy define Complexity theory and its perspective on crisis communication. A complexity view suggests that, rather than imposing tight crisis planning parameters, with most crisis situations it may be more effective to understand the contexts in which they are embedded and then work with the multiple possibilities presented by those contexts. Certain features of the complexity theory – dependence on history, instability, nonlinearity, and self-organization – constrain the ability of organizations to exercise control over these patterns. Complexity theory acknowledges the non-linearity and holistic nature of crises, which often have no clear start or end points, emerging instead from larger contextual patterns and relationships. Complexity offers a framework for understanding not only those crises precipitated by a single organization but also more diffuse crisis situations that emerge as a result of dense interconnectedness, ranging from food safety to beleaguered world financial markets, from terrorism to natural disasters. Complexity offers a framework for advances in conceptualizing stakeholders, studying the emergence of issues and crises, and tracking reputation across media and across national borders (Gilpin, Murphy 2010).

The complexity of a crisis is determined by several factors:

- uncertainty and lack of in-depth information about the incident which is subjacent to the crisis situation;
- very rapid and unpredictable progress of the situation;
- lack of means and different resources (for example, qualified specialists – PR, law etc.) needed for an operative and effective solution of the situation, which can lead to loss of control (Lehtonens et al. 2011).

Cutlip et al. divide crises into the following, when viewed from the angle of timing:

- a sudden crisis;
- a ripening crisis;
- a long-term crisis (Cutlip et al. 2000).



A sudden crisis is the most dangerous type of crisis – it occurs so suddenly and unexpectedly, that there is hardly any or no time for research or planning. The examples of such crises are airplane crashes, bomb threats, fires, the sudden death of a government official etc. Such cases need a timely developed plan, which is coordinated with all executives and provides precise instructions on how each executive should take action; this can prevent possible disturbances, uncoordinated actions, procrastination and other problems.

In case of a ripening crisis there is more time to explore the situation and plan measures. However, it must be considered that such crises after a long period of ripening can expand at the speed of lightning. The examples of such crises are long-term dissatisfaction of employees, abuse of official power, incompetence or overload of decision-making officials etc. The most difficult task in such a situation is to convince the top-level management of the need for adjusting actions, before the crisis reaches its critical phase.

A long-term crisis can last for months and even years, even though the management does everything to liquidate it. Most frequently such crises are connected to reputation problems and may be caused by a gossip or wrong assumptions established in the consciousness of the society, and public relations specialists are incapable of controlling them. Outspoken denials and simplified countermeasures are often not able to interrupt the spread of a harmful situation.

The key to effective crisis management is to be ready before the crisis occurs. Crisis management consists of different methods, used both for reacting to a crisis and for understanding it. For example, it is important to recognize the basic causes in order to establish what scenarios result into crises. Accordingly, this helps to engage the necessary response mechanisms, which can either help to avoid crises or to make it as easy as possible to overcome them. Crisis management also includes a crisis management plan. When an unexpected event occurs, there is little time to think and even less time to plan, however without a successfully implemented, methodical crisis plan the events can turn out unfavourable for the organization. Therefore, a situation-appropriate, effective and powerful crisis management plan helps to defend the reputation of an organisation, brand or the place in market, and also contributes to the maintenance of clients', employees' and partners' loyalty to the organisation and its management.

Otto Lerbinger believes that planning should begin with the definition of objectives, which this plan is supposed to achieve:

- to address uncertainty during the crisis by establishing the principal guidelines of the initial reaction towards a crisis situation. This can be achieved by defining communication procedures and responsibilities;
- to provide guidance for crisis management team;
- to provide communication guidelines to spokespeople in the company who during crisis time will communicate with the media and audiences directly involved;
- to evaluate the company's resources that might be of use in a crisis situation (Lerbinger 2011).

In turn, Fearn-Banks incorporates a definition of the objectives into the crisis communication plan. In her opinion, the crisis management plan shall be developed by incorporating a substantial amount of different instructions. Therefore, crisis communication plan could be developed as an independent piece of crisis management document and is intended to facilitate public relations professionals in better management of a crisis situation (Fearn-Banks 2010).

Originally crisis communication gained research interest as a variable in crisis management, however due to public relations and communication researchers, nowadays crisis communication has become the central object of crisis management research, putting emphasis on such crisis communication tasks as reputation protection and management. These functions in crisis management belong to crisis communication, and Kathleen Fearn-Banks also emphasises this role, stressing that effective crisis management includes crisis communication, which can not only maintain the reputation and credibility of an organisation, but even improve it. Fearn-Banks defines crisis communication as a dialogue. "Crisis communication is a dialogue between the organisation and its public during and after the negative event. Strategies and tactics for dialogue are created in order to lessen the harm done to the image of an organisation." In addition, she recommends to break down involved audience into the following categories that would facilitate determining easier communication sequence and provide compliance in a crisis situation:

- 1) enabling public (determines crisis management and actions): authorities, decision-makers, stakeholders, owners, investors, etc.;
- 2) functional public (perform technical instructions, tasks): employees, unions, suppliers, vendors, consumers, etc.;
- 3) normative public (indirectly involved in crisis actions): trade associations, professional organizations, competitors, etc.;
- 4) diffused public (indirectly linked to the crisis): the media, neighbours of the physical plant, etc. (Fearn-Banks 2010).

The strategy of crisis communication can comprise different tools, yet one of the most effective is a crisis communication plan, which helps to ensure an effective collaboration with media, whose task is to provide a factually accurate and objective representation of the situation in the mass media. In the opposite case, many years or even decades may be required to change the public opinion into the necessary direction.

Coombs considers that the general goal of crisis communication is to prevent or lessen the negative effects of a crisis. In turn, crisis management serves to protect constituents, organizations, industries, and the environment from harm. Crisis management is not one "thing". Rather, it is a set of factors that form a process – crisis management process, which can be divided into three parts: pre-crisis, crisis event, and post crisis. The three parts are related to one another; they are not stand-alone elements (Coombs, Holladay 2010).

One of the specific features of crises is that during a crisis the organisation is often the focus of attention for mass media and the society; furthermore, the media can take the role of either "friend" or "foe". This equally applies to all three periods of a

crisis. Efficient and strategically targeted work with information constitutes a successful crisis communication.

During the pre-crisis phase crisis communication is focused on early risk identification and its reduction. This model involves vigilance thereby facilitating decision-making and crisis prevention processes (Ray 1999). By using biology analogy, these pre-crisis statements provide stakeholders with information on potential crisis, therefore allowing them to develop safeguarding mechanisms – some sort of immunity from backlash and negative representation of the existing crisis in the media (Coombs, Holladay 2010). The pre-crisis phase is also the preparation phase, therefore it is often seen as more important than the actual crisis phase. During the preparation phase the task of crisis communication is to develop a communication plan and provide an evaluation of communication strategies and tactics.

During the crisis phase the main tasks of communication are to determine how and what needs to be communicated. The basic criteria for a way how to communicate are: rapid response, avoiding silence, accuracy and consistency. In turn, content or strategic suggestions are based on three main tasks: preparation of information on ways how to physically and psychologically cope with crisis, as well as reparation of reputation (Heath, O’Hair 2010).

Recovery after crisis can also be called a confidence regaining phase with the public which would also mean the resumption of normal communication. However, initially during the post-crisis period communication should be slightly proactive. Often during the crisis the company is not able to prepare detailed information for all stakeholders right away. Therefore, it makes a promise to prepare the additional information when the acute crisis phase will be over. Promises must be fulfilled, therefore a more proactive approach is needed in order to prepare additional information and present it to all stakeholders (Lehtonens et al. 2011). Additional information includes statements on the recovery process of the company, on measures taken to prevent the repetition of the crisis, results of crisis expertise carried out and reports made, etc. Each of the target groups has its own interests. For example, investors want to know what impact the crisis will have left on their profits, whereas the employees will be more interested in how the crisis will affect their future activities. Those affected by the crisis will be more interested in what steps the company intends to take to prevent the repetition of the crisis. And the media will mostly be interested in the remainder how successful the overall recovery process in the company is. This communication of the organisation must be focused on restoring their confidence (Harvard Business School Press 2004).

Crisis communication strategy development is already a developed PR theoretical direction. Practitioners are adapting various theories which have their roots in communication sciences. What strategy will the company choose will be determined by the objectives set to ensure successful crisis communication.

## Methodology

The analysis of the crisis situation in the Latvian film industry consists of two parts: first a brief industry statistics data analysis is given, and then the results of the interview analysis with industry company managers are reflected.

Industry statistics include the data from the *National Film Centre* on funding of the film industry and the *Central Statistical Bureau* data on created film amount during the period from 1995 – 2013. Those data allow to describe the situation in the Latvian film industry properly, because first of all similarly to the film industries of other European countries, state subsidies are essential for the Latvian film industry in order to realize the film projects (Morawetz et al. 2007). Secondly, the amount of created films shows the funding spending efficiency and the efficiency of the work of the studios. These two factors enable to evaluate the situation in the industry in general, as well as identify the overall crisis situations.

Six semi-structured interviews were carried out during the research – with film studio managers, producers and film industry experts. The interview included questions on studio crisis situations, their causes, and steps for overcoming them as well as internal and external communication in these situations, and related problems. The length of the interviews was 30–60 minutes. Studio managers, producers and experts were chosen based on whether they have worked in the Latvian film industry for at least the last 10–15 years, and come from different types of film studios: studios which mostly work only with documentary, animated or feature films, studios, whose main source of financial support comes from state subsidies and studios which have differentiated sources of income.

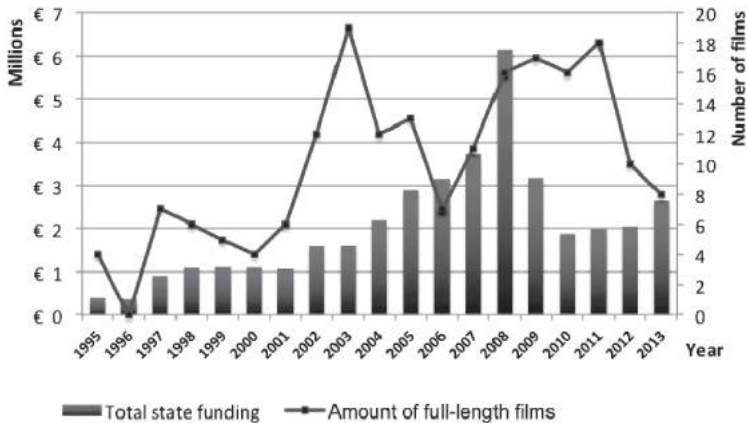
An overview was prepared for each interview and five categories describing communication and crisis management of the film studio owners and managers were identified using grounded theory methodology.

### Long-term crisis of the Latvian film industry

When evaluating Latvian cinema from a crisis viewpoint, one can surely declare that over its whole existence (more than 110 years), the most important and enduring crisis began around 1990 and is still enduring with certain increases and declines. There are several causes for the long-term crisis of the past 15–20 years in the Latvian film industry.

Firstly, as it is shown in Figure 1, during this time, especially the first ten years, film industry received very little state funding, therefore the industry was not only on the level of surviving minimum, but for several years even below it. Until 2002 subsidies had changed in the margins of 1 million Euros, and only afterwards they rose to 6 million for the film industry as a whole per year. This was connected to the overall economic growth that followed Latvia's joining the European Union and a following increase in budget receipts and expenditures. However, this level of subsidies only remained until 2008 when, due to the world financial crisis and local economic problems the amount of subsidies declined again, creating a crisis situation for many companies.

Figure 1  
**Total state funding and amount of produced full-length films (1)  
 in Latvia (1995–2013)**



Source: authors' calculation on the base of data of the Nacionalais kino centrs 2015; LR Central Statistical Bureau 2015.

However, the availability of financing has only a partial impact on the number of films being made. For example, in the early '00s (especially in 2003) there was a considerable rise in the number of full-feature films recorded, even though the financing in the previous years had been critically low. The limited number of films made can be attributed to several factors, one of them is the fact that the first film directors' class who were trying to finish their first full-feature films in financially challenging conditions, graduated from the *Latvian Academy of Culture* in 1997 (Perkone et al. 2011). During that time, several films were finished that were commenced in the 90s, and for some time suspended due to the lack of sufficient financing. Films made during these financially difficult times were mostly documentaries with low technical and creative quality. Overall, it created the conditions in which most films were not of a particularly high quality and thus never reached cinemas. The films received bad reviews from both audience and politicians. For example, at the end of 2002 then Prime Minister Einārs Repše proposed to cut state financing for films entirely (Prokopova, Araja 2002).

The number of films produced each year is also connected to the timing of the national film awards ceremony *Lielais Kristaps*, organized every other year since 2001 (Gilde Film Studio 1998) and it serves as an encouragement for filmmakers to complete their projects before the nominees are named.

However as with all medium and small-sized countries, the existence of the Latvian film industry is only possible with a support from the state. Similar to other EU countries, state funding is necessary to allow co-production in international filmmaking projects as well. However, if these finances cannot be allocated to a certain Latvian film studio, it cannot become a co-producer and copyright holder of the film. Besides, in comparison to a lot of film industries in different European Union countries, there

is fairly little interest from private investors and sponsors in the film industry in Latvia, thus the amount and availability of state funding is of vital importance to the existence and development of the Latvian film industry.

This aspect is emphasised by the narrow Latvian market and restricted language area, which prevents from regaining the finances invested in the film industry. An important role is played by the low purchasing ability of Latvians – with the increase of cinema ticket prices and cinema maintenance costs, the vast majority of Latvian cinemas without the aid of state and municipalities was forced to go bankrupt. Therefore, Latvian audience cannot be habituated to regularly watching national cinema. Finally, the situation was also influenced by the overly rapid rise of inflation level, which was notable from 2003 to 2008, meaning that the increase in subsidies should be viewed in correlation with inflation.

The long-term crisis situation in the Latvian film industry was also influenced by rather unstable political situation in the country, which stimulates often government (and culture minister) changes; every culture minister arrived with their own priorities, and cinema was rarely amongst them.

These and many other important factors, mainly often incompetence of film industry officials, as well as the inability of film professionals themselves to identify and successfully solve the above-mentioned problems, did not allow the Latvian cinema to step out of crisis for more than 15 years. The first positive features in the situation began to develop in the middle and later '90s, when the industry started recovering from the shock triggered by constitutional change and the following depression – the Latvian Academy of Culture began to train young cinematographers, therefore new people entered the industry, there was active foreign film institution contact acquiring and Latvian films started to take part in the international circulation, also the local film environment began to settle. However, altogether the crisis of Latvian cinema still has not been overcome.

### **Crisis communication and management of film studios**

In interviews five categories describing the communication and crisis management of the film studio owners and managers were: crisis situations of film studios, the role of employees, confidence and reputation, communication with audience and society, personal perception of crisis. In the subparagraphs of this section each of the above-mentioned categories is described.

#### *Crisis situations of film studios.*

Most of the studio managers and producers interviewed stated that crisis situations occur when a certain filmmaking project is not allocated a state funding, which creates problems with the financial flow and inability to pay off fixed costs such as rent, phone bills, and salaries. Such situations require optimisation and cost reduction: halting the production of the filmmaking project, letting employees go, decreasing salaries, and also seeking fast means for acquiring finances, such as advertisement making, collection of debts for outstanding bills. However, as is typical for crisis situations, sometimes there is not enough time for sorting problems and, after solving one problem, others appear.

“When we let people go, we need to do more of the work, our reactions slow down, we miss unpaid bills, penalty charges grow etc.” (Director-producer, *Fa Filma*).

Altogether the situation in the Latvian film industry is characterised by insufficient state subsidies for filmmaking projects and large competitiveness among studios regarding this funding. Therefore, the chances for receiving funding are influenced by the ideas and quality of projects and the ability of meeting administrative criteria. Communication skills in pitching events are important, as well as the ability to convince the expert committee about the idea, its uniqueness, capacity and commercial success. Studio producers who have these convincing skills are able to acquire funding even when state subsidies are greatly decreased, and vice versa. A small amount of state funding available for filmmaking projects is a constant fact in Latvia with the exception of 2008. Thus crisis situations in film studios, which occur after not receiving funding for a new film project, are to a great extent influenced only by the ability of the studio management to persuade about their ideas and projects. This is characterised by the expression of chief editor of magazine *Kino Raksti*: “(...) if the only problem is funding, it’s not a crisis. It’s the problem of a freelance artist.”

#### *The role of employees.*

In crisis situations the support from employees and mutual trust with the management are crucial. Considering the specifics of crisis situations in the Latvian film studios, it is important to explain the situation to the employees, such as possible salary cuts or the standstill of a project. In crisis situations the most important aspect for internal communication is openness, provision of complete information, practical support and mutual trust, which can only be achieved if they have developed and existed before the crisis.

The manager of a large animation studio explains how the employees were kept in the studio when a freshly opened branch of a foreign studio tried to lure them by offering better salaries and conditions: “(...) my communication was talking personally to these few people and inviting them to hear me out when I stated that this company would not remain in Latvia for more than two years. It lasted three, even though they had great ambitions and great salaries. Therefore we couldn’t compete with them financially. The more honest you are, the stronger you are.” (CEO, *Rija Films*)

#### *Confidence and reputation.*

Internally in the industry, as well as among collaboration partners (such as the *National Film Centre*), the results of previously realised projects and the overall reputation of a studio are also crucial. Successful and timely realisation of previously funded projects is an important factor when allocating new funding, thus the crisis situations regarding lack of funding can be averted. Reputation and confidence can be created by the quality of previous works, the relationships established with employees, collaboration partners and other stakeholders.

“Trust is very important, it is difficult to develop, but very easy to kill. With public relations I understand openness and honesty, no lying to anyone in any situation. The best communication is action. Not talking, but action!” (Producer, *Animācijas Brigāde*).

The reputation and confidence are also very important for a studio in crisis situations, which occur, for example, due to lack of financial means, and they are not possible to overcome in a short period of time. Such situations require cost cutting, maintaining collaboration partners and seeking new collaboration partners. The positive reputation of a studio is developed by orientation towards long-term collaboration with all the interested parties instead of trying to gain as much benefit as possible in the short term. As already mentioned, the quality of works realised is also a positive catalyst for the reputation of a studio. This is well characterised by the following from a film studio CEO.

“We started with relationships, with international recognition, our films started to enter the world and participate in festivals. Work needs to be of good quality; one cannot take it easy but has to maintain the reputation. This was our bonus, which helped overcome all the problems. We tried to work so that our output is of high quality (...)” (CEO, *VFS Studio*).

*Communication with audience and society.*

Crises in studios do not directly influence their communication with audience, however similarly to situations with employees and collaboration partners; the process of communication in the time of pre-crisis is vital. This communication needs to be honest, open and fair too, because a successful marketing campaign can achieve a large audience; however their disappointment will mean trouble to gain audience for the next film. This was best characterised by the director and producer of several significant Latvian films.

“Each film can be shown from different aspects and can be differently communicated to an audience, but for god’s sake without lying to him; otherwise he will immediately get frostbite” (Director-producer, *Fa Filma*).

If we use this terminology, some previously created Latvian films have “frostbitten” local audience, because it has been already a long time since their interest in Latvian films is low and their opinion – critical, often related to disappointment in director’s work and films created by the studios previously. Moreover, several conflicts have occurred and continue to occur inside the industry while the studios compete for funding and few studios get into conflict with government institutions and public organisations too, especially the *National Film Centre*. As the former director of the *National Film Centre* and current manager of a film studio points out, this has an unequivocal influence on the public face of the industry.

“All internal conflicts, for example, regarding unfinished films, ownership of old films, evaluation on (national film award) *Liels Kristaps* and other things should not be addressed publicly, because that diminished the overall impression about the industry. Of course, there are things which need to be stated publicly, but there are some that belong to the working process and should remain internal” (Producer, *Studio Centrums*).

The audience disappointment in previous films and externally visible internal conflicts of the industry surely creates negative ground in situations when state financial



crisis is pressing and it becomes impossible to convince the government to not perform such large budget cuts on the film industry. A certain magic circle is created: in the beginning of 90s, the critically insufficient funding did not allow creating mainstream films, which caused a lot of audience disappointed in local cinema. A slight increase in subsidies created new studios and competition increased among them regarding filmmaking project funding. This competition creates internal industry conflicts and their publicity damages the overall reputation of the industry. As a result, when politicians make decisions regarding the overall amount of funding, especially in the times of crisis, questions raise whether funding is required at all. As stated by the chief editor of *Kino Raksti*:

“Such crises with funding cuts would not occur when film studios would not be the main that need Latvian cinema. If we had demand from the public, then the politicians would know that cinema needs that money, because the public needs that cinema”.

#### *Personal perception of crisis.*

Personal perception of the crisis by the manager of the studio, leading producer or director is among essential in crisis communication. Of course, the perception of a crisis situation is influenced by previous experience and the reviewed internal and external trust and reputation of the studio. If crisis situations connected to not receiving funding have already been experienced several times during the existence of the studio, then one can agree with the director and producer of the studio *Fa Filma* that “uncertainty about tomorrow has become an everyday occurrence and you don’t fear it any more”. Nearly all the interviewees pointed out that a crisis is a development-improving factor that requires a search for other film-making project funding means, collaboration opportunities outside Latvia and differentiation between filmmaking projects. Of course, it is not always easy to get along with the first stage of the crisis, not always there are sufficient financial means and time resources for attracting new collaboration partners and projects, however most interviewees made a similar conclusion to the one by CEO of the studio *Rija Films*:

“(...) any crisis is in the head. [Most producers currently think] only about the opportunity to get funding, and that’s it. But he [the producer] can create that funding, he can create work positions. It is not communication; it is the ability to be smart in general”.

## Conclusions

The Latvian film industry is largely dependent on the state subsidised funding, which has been at a low level over the past 20 years, with a small, but noticeable increase trend in 2006–2008. This has created a long-term crisis situation in the film industry as a whole, which largely influences the development of crisis situations in each film studio of Latvia. However, the statistical data analysis showed that a small amount of funding does not always reflect on the amount and international acclaim of films made locally. Therefore, it can be agreed that crises connected to decreases in

funding have a smaller impact on the studios, which have diversified their work, completed projects in good quality and with a focus on long-term collaborations, and have been openly and honestly communicating with their employees, collaboration partners and the audience and society. Very important are leadership skills and crisis perception of the lead producer or director of the film studio. Internal ability to percept a crisis situation with calm mind and ability to assure the employees and other stakeholders of crisis management and successful negotiation of such situation – these are very important factors of crisis communication. Crisis situation because of the lack of funding in film studios in many situations led to creative crisis, and in such cases a way out of crisis was much harder or even unsuccessful.

Although we conclude that such crises both at the level of companies and industry cannot be fully regarded as the situations that match the definitions viewed in the literature analysis of this article. These situations are more likely to be considered as systemic failures of the state funding and both the industry and company strategies in general. Of course the decrease of funding or its absence can cause crises (in other industries, too), but given, that it was mentioned as almost the only factor of the crisis, we believe it reflects the failures of the strategic management.

In further research crisis situations in different film industries should be analysed to compare the situation in Latvia with the situation in other countries, especially in the countries where state funding for film projects is so important in the development of this industry.

(1) According to the *Central Statistical Bureau*, full-length films are animation films and documentaries longer than 50 minutes and feature films – longer than 60 minutes.

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## SOCIĀLĀ PSIHOLOĢIJA

Margarita Nesterova, Svetlana Ignatjeva, Aleksejs Ruza

### ADAPTATION IN LATVIA OF SCALES OF PERSONAL AND GENERAL BELIEF IN A JUST WORLD

Adaptation of PBJW and GBJW scales in Latvia that is connected with linguistic and sociocultural features of their use is revealed in the present article. The analysis of questionnaire's particular indicators and the structure of factors is made. The aim of the research was to analyze the validity, reliability and standardization facilities of BJW questionnaires. To study the belief in a just world (BJW) Dalbert's questionnaire (1999) "Personal Belief in a Just World" (PBJW ( $\alpha=0.72$ )), and Dalbert, Montada, Schmitt's questionnaire (1987) "General Belief in a Just World" (GBJW ( $\alpha=0.65$ )). For the adaptation procedure of GBJW and PBJW surveys questionnaires of 800 participants were selected from 5 various groups: female prisoners ( $n=166$ ); male prisoners ( $n=201$ ); males not put on trial ( $n=226$ ); English philology students of Daugavpils University ( $n=98$ ); random law-obedient male and female sample ( $n=103$ ). Cranach's Alpha criterion results range from 0.67 to 0.832 that indicates quite high consistence of separate questions of the questionnaire. Two-factor structure verifies the results of the previous researches and suggests that it is necessary to distinguish between general and personal belief in a just world for the researches on the just world. In addition, the results revealed that personal belief in a just world is assessed higher than general one. On the basis of the performed test the linguistically adapted version of the questionnaire can be recommended for usage within various social groups, including both law-obedient respondents, and imprisoned respondents.

**Key words:** belief in a just world, adaptation, factor analysis.

#### Personīgās un vispārējās ticības taisnīgai pasaulei skalu adaptācija Latvijā

Rakstā atspoguļota personīgās ticības taisnīgai pasaulei un vispārējās ticības taisnīgai pasaulei skalu adaptācija Latvijā, kas saistīta ar tās izmantošanas lingvistiskajām un sociokulturālajām īpatnībām. Veikta aptaujas instrumenta atsevišķo indikatoru, kā arī faktoru struktūras analīze. Pētījumā piedalījās 800 respondenti no 5 dažādām grupām: sievietes, kas atrodas ieslodzījumā ( $n=166$ ); vīrieši, kas atrodas ieslodzījumā ( $n=201$ ); vīrieši, kas nav saukti pie kriminālatbildības ( $n=226$ ); Daugavpils Universitātes angļu valodas filoloģijas studējošās ( $n=98$ ); nejausā likumpaklausīgo vīriešu un sieviešu izlase ( $n=103$ ). Pētījumā tika izmantots Dalberta aptaujas instruments (1999) "Personīgā ticība taisnīgai pasaulei" (PTTP ( $\alpha=0.72$ )) un Dalberta, Montada, Šmita aptaujas instruments (1987) "Vispārīgā ticība taisnīgai pasaulei" (VTTP ( $\alpha=0.65$ )). Aptaujas validitātes pārbaudei tika pielietoti papildus subjektīvie ārējie kritēriji, kas ietvēra sevī ticību taisnīgumam un taisnīgai pasaulei, kā arī attieksmes kritēriji, kas skar apmierinātību ar dzīvi, emocionālā stāvokļa novērtējumu, attieksmi pret likuma ievērošanu, uzticību cilvēkiem, vainas atzīšanu, spēju piedot un ticība dievam. Pētījuma mērķis bija izanalizēt aptauju par ticību taisnīgai pasaulei validitāti, ticamību un standartizācijas iespējas. Kronbaha-Alfa kritērija rezultāti atrodas diapazonā no 0.67 līdz 0.832, kas norāda uz diezgan augstu atsevišķu aptaujas jautājumu saskaņotību. Taču izslēdzot atsevišķus jautājumus no aptaujas instrumenta, to kopējā saskaņotība var nedaudz samazināties, tomēr paliekot pietiekami augstā līmenī: ne zemāk par

0.637 VTTP un ne zemāk par 0.763 PTTP. Divu faktoru struktūra apliecina iepriekšējo pētījumu rezultātus, un norāda, ka pētījumos jānošķir vispārējo ticību taisnīgai pasaulei un personīgo ticību taisnīgai pasaulei. Turklāt, rezultāti pārādīja, ka personīgā ticība taisnīgai pasaulei kopumā tiek vērtēta augstāk. Pamatojoties uz veikto pārbaudi lingvistiski adaptētā aptaujas instrumenta versija, tā var tikt rekomendēta izmantošanai dažādās sociālajās grupās, ieskaitot gan likumpaklausīgos respondentus, gan respondentus, kas atrodas ieslodzījumā.

**Atslēgas vārdi:** ticība taisnīgai pasaulei, adaptācija, faktoranalīze.

### **Адаптация в Латвии шкал общей и личной веры в справедливый мир**

В предлагаемой статье представлена адаптация шкал общей веры в справедливый мир и личной веры в справедливый мир, связанная с языковыми и социокультурными особенностями ее использования в Латвии. Проведён анализ как отдельных индикаторов, так и факторной структуры теста. Проанализированы валидность, надёжность и возможности стандартизации теста. В исследовании участвовали 800 респондентов из разных групп: женщины, которые находятся в заключении ( $n=166$ ); мужчины, которые находятся в заключении ( $n=201$ ); мужчины, которые не привлекались к уголовной ответственности ( $n=226$ ); студентки английской филологии Даугавпилсского Университета ( $n=98$ ); случайная выборка мужчин и женщин ( $n=103$ ). В исследовании использовался опросник Далберта (1999) «Личная вера в справедливый мир» (ЛВСМ ( $\alpha=0.72$ )) и опросник Далберта, Монтады и Шмитта (1987) «Общая вера в справедливый мир» (ОВСМ ( $\alpha=0.65$ )). Для проверки валидности опросников были использованы дополнительные субъективные внешние критерии – такие, как вера в справедливость и справедливый мир, а также критерии отношения, которые включают в себя удовлетворённость жизнью, оценку эмоционального состояния, отношение к соблюдению закона, доверие к людям, признание вины, способность прощать и веру в бога. и Целью исследования является анализ валидности, достоверности и возможности стандартизации опросников веры в справедливый мир. Результаты критерия Альфы-Кронбаха находятся в диапазоне от 0.67 до 0.832, что указывает на достаточно высокую согласованность отдельных вопросов опросников. Кроме того, при исключении отдельных вопросов из опросников их общая согласованность может понизиться, при этом оставаясь на достаточно высоком уровне: не ниже 0.637 для ОВСМ и не ниже 0.763 для ЛВСМ. Двухфакторная структура подтверждает результаты предыдущих исследований и указывает на необходимость разделять общую и личную веру в справедливый мир, причём результаты исследования показали, что личная вера в справедливый мир оценивается выше. На основании проведённой проверки лингвистически адаптированную версию теста можно рекомендовать для использования в исследовательских целях в разных социальных группах, включая законопослушных респондентов и респондентов, которые находятся в местах лишения свободы.

**Ключевые слова:** вера в справедливый мир, адаптация, факторный анализ.

## **Introduction**

One of the most topical problems in the modern rapidly changing world are representations of moral values and social norms prevailing in the society that largely determine the tendencies of mutual relationships and the general emotional state, and behavioural tendencies in different everyday situations. Several authors stress that the perception of justice is one of the most important components of everyday life for nearly every individual, because every individual wants to get what he or she deserves and to be treated justly from the others, as well as to be able to trust the justice of

others (Schmitt et al. 2010). The results of several researches (Dalbert 2001; Maes, Schmitt 2004) suggest that there are individual differences in the perception of justice that are influenced by emotional and behavioural reactions on injustice and life experience. One of the prevailing approaches to individuals' representations on justice is belief in a just world. Lerner (Lerner 1965), the founder of the just world hypothesis, asserts that people need the belief in a just world to be sure that everybody gets what he or she deserves and deserves what he or she gets. This one-dimensional model described people whose BJW was the reason they held to their opinion that "good" people always are rewarded with good fate/fortune; whereas "bad" people receive punishment as consequences of their actions; thus primary research on the belief in a just world focused on victim derogation, for example, victims of crime or accident had enlarged burden of responsibility (Lerner 1980; Lerner, Miller 1978).

Recently the positive psychological influence of the belief in a just world on individual has gained more attention emphasizing that belief in a just world has the adaptive function (Furnham 2003), (Dalbert 2009) and helps individuals to maintain psychological balance and sense of wellbeing (Dalbert 2001). The first attempts to study the individual differences in the belief in a just world appeared with Belief in a just world scale developed by Rubin and Peplau (Rubin, Peplau 1975) that was criticized due to its heterogeneity (Furnham, Procter 1989). The results of several researches (Hafer, Olson 1993; Dalbert 1999; Lipkus et al. 1996; Be'gue, Bastounis 2003) verified that it is necessary to distinguish between the general belief in a just world, when people in general receive what they deserve, and personal belief in a just world that is expressed in just treatment to the individual, as the latter has wider adaptive functions and the individual has tendency to maintain personal belief in justice (Dalbert 1999, 2009). Several authors (Lerner, Miller 1978; Furnham, Procter 1989; Hafer, Olson 1993; Dalbert 1999), updating the issue on the differences between the general and personal belief in a just world, assert that the distinction must be made between personal and general belief. Researchers believe that the more personal is injustice experience, the more threatening it is and the more it will be denied, for example, injustice and discriminations will be more strongly denied in own group than in other (Dalbert, Yamauchi 1994) and own discrimination will be more strongly denied than the discrimination of the whole group (Taylor et al. 1990). Therefore Dalbert (Dalbert 1999) asserts that general belief in a just world and belief in justice of own fate should be separated, and individuals support more the personal belief in a just world than the general belief. Several scales were developed on the basis of the differentiation between the just world constructions that distinguish between personal and general belief in a just world. Lipkus and his colleagues (Lipkus et al. 1996) in his two-dimensional just world model offered one of the first scales that determined the differences between the belief in a just world for self and for others stating that belief in a just world for self is more strongly linked to the psycho-social adaption indices and therefore is more important for the prediction of psychological wellbeing. 6-point General belief in a just world scale developed by Dalbert, Montada and Schmitt (Dalbert et al. 1987) is relatively widely used to study the general belief in a just world; in turn, Personal belief in a just world scale developed by Dalbert (Dalbert 1999) is used to study the personal belief in a just world.

Recently the belief in a just world as the predictor of socially acceptable behaviour has gained more attention (Otto, Dalbert 2005; Correia, Dalbert 2008). In the same way the correlation between the belief in a just world and social responsibility (Bierhoff 1994) and commitment to just means (Cohn, Modecki 2007; Hafer 2000; Sutton, Winnard 2007) was established. Several researches (Dalbert 2001; Otto, Dalbert 2005; Dalbert, Filke 2007) revealed that belief in a just world has adaptive functions indicating the personal contract and obligation to behave justly, thus ensuring the confidence that individuals will be treated just and that they will not become the victims of unpredictable conditions, and giving a conceptual opinion for the individual that helps to interpret own life events rationally. On the basis of the test results of these functions researchers (Dalbert, Stoeber 2006) came to the conclusion that belief in a just world serves as an important personal source that helps prisoners to reduce the expressions of hostility in the form of intensified behaviour and strengthens the sense of social adaptation; in other words, belief in a just world allows to control prisoners' processes of aggressive behaviour and attempts to increase their social inclusion; in addition, offender's personal belief in a just world can be an important precondition for the development of the inner motivation to support socially acceptable norms of behaviour in future (Dalbert, Filke 2007).

The aim of the present research was to adopt GBJW and PBJW scales to the conditions in Latvia to give an opportunity to use these scales in different social groups, including prisoners.

The adaptation of questionnaires is necessary to ensure its adequate use in new conditions that are connected with language and sociocultural peculiarities.

## Participants

For the adaptation procedure of GBJW and PBJW surveys questionnaires of 800 participants were selected from 5 various groups (Sample 1): female prisoners (n=166); male prisoners (n=201); males not put on trial (n=226); English philology students of Daugavpils University (n=98); random law-obedient male and female sample (n=103).

To test whether the psychometric characteristics of the questionnaire are dependent on testing situation structures of factors and separate validity indicators of survey scales that were acquired during the survey in prison (373 participants – sample 4) and at liberty (487 participants – sample 5) were compared.

Besides, sensitiveness of separate parameters of the questionnaire towards participants' gender and age was analyzed. 318 males (sample 2) and 482 females (sample 3) took part in the research.

Respondents' age varied from 18 to 74 years, half of them were not more than 28 years old. For the analysis of the influence of the age on separate parameters of the questionnaire 4 age groups were distinguished: from 18 to 22 years (n=258), 23 to 30 years (n=207), from 31 to 40 years (n=169) and more than 41 years old (n=166).

The structure of sample's age and gender, as well as the legal status of respondents is reflected in Table 1.

The linguistic adaptation of the questionnaire was made in the sample (n=49) within the age group from 19 to 21 years where participants were asked to fill in the questionnaire in the English and, in a month time, in the Latvian language.

### Analysis of BJW indicators

To study the belief in a just world (BJW) Dalbert's questionnaire "Personal Belief in a Just World" (PBJW ( $\alpha=0.72$ )) (Dalbert 1999), that contains 7 questions, and Dalbert, Montada, Schmitt's questionnaire "General Belief in a Just World" (GBJW ( $\alpha=0.65$ )) (Dalbert, Montada, Schmitt 1987), that contains 6 questions, were used. All questions were assessed with 6 point scale (Likert scale) from 1 (totally agree) to 6 (totally disagree).

Table 1

#### Sample structure

Gender	Legal status	Age Groups				Total
		18-22	23-30	31-40	41+	
Female	Prisoners	30	58	41	37	166
	Law-obedient	118	15	7	12	152
	Total	148	73	48	49	318
Male	Prisoners	32	65	62	48	207
	Law-obedient	78	69	59	69	275
	Total	110	134	121	117	482

BJW indicators are reflected in Table 2. Means (M) and Standard Deviation (SD) are gained from the generalized sample (Sample 1).

Table 2

#### Descriptive statistics of GBJW and PBJW indicators

Item		Sample 1 N=800	
		M	SD
1	2	3	4
GBJW_1	I think basically the world is a just place.	3.21	1.34
GBJW_2	I believe that by and large people get what they deserve.	3.82	1.34
GBJW_3	I am confident that justice always prevails over injustice.	3.40	1.43
GBJW_4	I am convinced that in the long run people will be compensated for injustices.	3.99	1.37
GBJW_5	I firmly believe that injustices in all areas of life (e.g. professional, family, politics) are the exception rather than the rule.	3.62	1.28
GBJW_6	I think people try to be fair when making important decisions.	3.64	1.27
PBJW_1	I believe that by and large, I deserve what happens to me.	3.92	1.35

Sequel to Table 2 see on p. 81



*Sequel to Table 2*

1	2	3	4
PBJW_2	I am usually treated fairly.	3.77	1.15
PBJW_3	I believe that I usually get what I deserve.	3.65	1.26
PBJW_4	Overall events in my life are just.	3.49	1.25
PBJW_5	In my life injustice is the exception rather than the rule.	3.79	1.21
PBJW_6	I believe that most of the things that happen in my life are fair.	3.82	1.22
PBJW_7	I think that important decisions that are made concerning me are usually just.	3.67	1.18
		<b>GBJW</b>	21.6 5.15
		<b>PBJW</b>	26.1 5.91
		<b>Paired Samples Test (Sig.)</b>	Sig.<0.0001

The indices of indicators vary from 1 to 6 and for the half of participants do not exceed 4 points in all cases, except the first question (GBJW\_1). The indicator GBJW\_1 half of the respondents assessed not higher than 3 points. The average indices vary from 3.21 (GBJW\_1) to 3.99 (GBJW\_4).

Almost all GBJW indicators, except GBJW\_5, are sensitive to gender; in addition, female indices are higher. The conditions of the survey influenced only the indicator GBJW\_6, indices of the imprisoned participants are much lower. The 6<sup>th</sup> question is sensitive also to the age, the highest indices 3.85 are within the age group from 18 to 22 years, and decrease to 3.42 for those participants who are more than 40 years old.

The average indices of PBJW indicators vary from 1 to 6 and for half of the participants they do not exceed 4 points. The average indices vary from 3.49 (PBJW\_4) to 3.92 (PBJW\_1).

Only PBJW\_5 and PBJW\_6 indicators are not sensitive to gender; in all the other cases females demonstrate higher level of personal belief in a just world.

All indicators are sensitive to the conditions of the survey, the average indices for the imprisoned participants are lower and these differences are statistically significant. Indicators PBJW\_3 and PBJW\_7 are sensitive to age, the older are the participants, the lower are the indices.

### **Analysis of the structure of the questionnaire's factors**

To analyze the structure of the questionnaire's factors exploratory (research) factor analysis was performed within the generalized and separate samples that allows to consider the influence of the survey conditions and participants' peculiarities. The factor analysis within various samples was performed according to one scheme: selection of factors with principal component method and subsequent Varimax-rotation (Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization).

Kaiser-Meyer-Olkin Measure of Sampling Adequacy is equivalent to 0.87, in the generalized sample and all the other cases it stays higher than 0.85 that indicates the usefulness of factor analysis to analyze the structure of the questionnaire. The factor

analysis allowed confirming BJW two-factor structure. The distinguished factors conform to GBJW and PBJW.

The factor structure remains while carrying out factor analysis in various samples. The highest factor loadings are related to indicators PBJW\_6, PBJW\_4, PBJW\_3 (PBJW factor); GBJW\_3, GBJW\_4, GBJW\_5 (GBJW factor). The lowest factor loadings on the corresponding factors and the highest sensitiveness to testing conditions expressed the indicators PBJW\_5 and GBJW\_2.

Table 3 reflects what percentage of summary variance explains each of BJW factors. In all cases the highest percentage of the summary variance (from 25% to 28%) is explained with GBJW factor. PBJW factor explains 18% to 20% of summary variance.

### Analysis of reliability and validity of the questionnaire

To determine the reliability two different approaches are used:

1. Reliability – stability characterizes the stability of the results in time. Reliability – internal consistence characterizes the consistence of questionnaire's items.

Table 3

#### Factor Loadings for the Two Factor Model of the General and the Personal Belief in a Just World Scale

Item	(1)	(2)
(1) I think basically the world is a just place.	0.56	
(2) I believe that by and large people get what they deserve.	0.51	
(3) I am confident that justice always prevails over injustice.	0.77	
(4) I am convinced that in the long run people will be compensated for injustices	0.68	
(5) I firmly believe that injustices in all areas of life (e.g. professional, family, politics) are the exception rather than the rule.	0.59	
(6) I think people try to be fair when making important decisions.	0.53	
(7) I believe that, by and large, I deserve what happens to me.		0.67
(8) I am usually treated fairly.		0.61
(9) I believe that I usually get what I deserve.		0.72
(10) Overall, events in my life are just.		0.73
(11) In my life injustice is the exception rather than the rule.		0.37
(12) I believe that most of the things that happen in my life are fair.		0.79
(13) I think that important decisions that are made concerning me are usually just.		0.71
Explained variance after rotation	26%	19%
$\alpha$	0.71	0.81
Factor correlation	0.507	

To determine the reliability – stability of the results in time retest of one sample was performed in a month time. The results of the two surveys were compared using the analysis of the correlation coefficients of the corresponding indicators.

The average correlation between the results of GBJW test and retest is 0.716; in turn PBJW – 0.712. Taking into consideration that 0.5 is an acceptable retest reliability coefficient, PBJW and GBJW questionnaires indicate high enough level of stability in time.

To determine the reliability – internal consistence of the questionnaire's items, Cranach's Alpha, Spearman-Brown Coefficient and Guttman Split-Half Coefficient were used.

Cranach's Alpha criterion results range from 0.67 to 0.832 that indicates quite high consistence of separate questions of the questionnaire.

Another method that tests the internal consistence of the questionnaire is the consistency analysis of split forms. In this case, the assessment of measurements consistency is made with the Spearman-Brown equivalent form Coefficient (consistency index) and Guttman Split-Half Coefficient. The consistency index of GBJW questionnaire (Spearman-Brown Coefficient) is 0.676, Guttman Split-Half Coefficient is 0.672. For PBJW questionnaire Spearman-Brown Coefficient – 0.760, Guttman Split-Half Coefficient-0.740.

The validity indicates the conformity of the questionnaire to the testing aim, as well as to what degree its components correspond to the problem studied.

The validity of the questionnaire as the conformity to external criteria was performed through the analysis of correlation between separate GBJW and PBJW indicators and subjective external criteria that reflect participants' belief in justice and a just world in general. Despite the quite small correlation, all of them are direct and statistically significant.

To assess the quality of linguistic adaptation of the questionnaire the students of English philology was offered to go through the testing procedure twice, at first, in English, than in Latvian. All correlations are direct and statistically significant. The average correlation between the results in GBJW factor is 0,631 and PBJW – 0,641. The comparison of the average results in the groups of linguistic adaptation did not reveal indicators that are sensitive to the language of testing.

### **Determination of GBJW and PBJW aggregated indices**

GBJW and PBJW aggregated indices can be gained through

- 1) summarization of corresponding indicators;
- 2) exploratory factor analysis;
- 3) confirmatory factor analysis.

The first variant, provided by the authors of the scales (Dalbert 1999), (Dalbert, Montada, Schmitt 1987), from the realisation point of view is the simplest one, but it does not consider factor differences of separate indicators.

While the second variant, in contrary, considers factor contribution of the all indicators, including those with low factor loadings.

The third variant, obviously, is the most precise; it allows considering the coefficients of separate indicators in the structure of factors. In this case, the calculation of factors is done according to the formula that is derived through the confirmatory factor analysis:

$$\text{GBJW} = \text{GBJW}_1 + 0,99 * \text{GBJW}_2 + 1,35 * \text{GBJW}_3 + 0,99 * \text{GBJW}_4 + \\ + 0,76 * \text{GBJW}_5 + 0,77 * \text{GBJW}_6 + \text{ER}$$

$$\text{PBJW} = \text{PBJW}_1 + 0,8 * \text{PBJW}_2 + 1,03 * \text{PBJW}_3 + 1,05 * \text{PBJW}_4 + \\ + 0,57 * \text{PBJW}_5 + 1,15 * \text{PBJW}_6 + 0,96 * \text{PBJW}_7 + \text{ER}$$

However, the average indices of factors from the first and the third variant do not have statistically significant differences that allows to use for the factor analysis the variant provided by the authors of the questionnaire.

There is a correlation between GBJW and PBJW factors. According to the Spearman correlation coefficient significant average correlation 0.508 was found.

For better understanding and further interpretation the standardization of factor assessment is essential. Standard values are divided according to normal division with zero average and variance equal to 1.

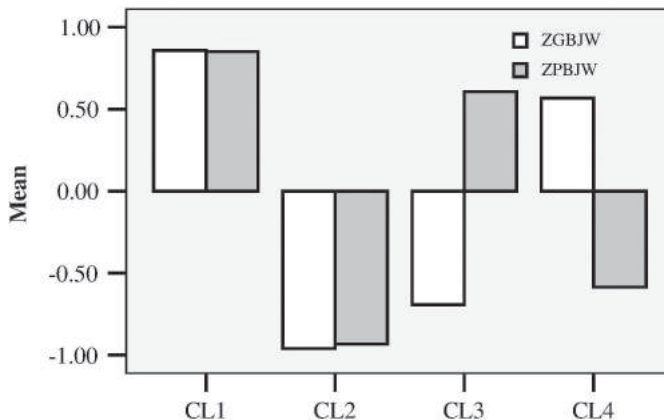
It is convenient for comparative analysis of standard assessment of different indices or one and the same index within different participants' groups and it is necessary for the further cluster analysis. Standardized indices of factors allow to classify participants according to each factor depending on their level of belief (whether it is lower or higher than average). However, this phenomenon, and it is reflected in the Scatter diagram, has two-factor nature. Two-stage cluster analysis performed by SPSS allows distinguishing two to four homogeneous clusters (see Figure 1) depending on the sample and the parameters of classification. Qualitatively these clusters can be described as following:

- CL1. GBJW and PBJW in general higher than average
- CL2. GBJW and PBJW in general lower than average
- CL3. GBJW lower, but PBJW higher than average
- CL4. GBJW higher, PBJW lower than average

The first and the second clusters are more heterogeneous and contain 68% of participants, in turn, the third cluster 15% and the fourth 17%.

Figure 1

Average indices of GBJW and PBJW factors in distinguished cluster groups



Average indices of GBJW and PBJW factors in all distinguished cluster groups have statistically significant differences. Average indices of GBJW and PBJW factors in the first and second cluster groups do not differ significantly and do differ significantly in the third and fourth cluster groups. In the first and second cluster groups significant direct correlation was found, in the third and fourth cluster there is no correlation between the factors.

## Conclusions

The results of the research confirm the original assumption that GBJW and PBJW questionnaires are useful for various social groups and conform to sociocultural standards in Latvia. Two-factor structure verifies the results of the previous researches (Dalbert 1999) and suggests that it is necessary to distinguish between general belief in a just world and personal belief in a just world for the researches on the just world; in addition, the results revealed that personal belief in a just world is assessed higher than general. The correlation between the indicators of GBJW and PBJW and subjective external criteria that are connected with the belief in justice and just world in general was found. In addition to the examined subjective external criteria there can be used such relative criteria as satisfaction with life, assessment of emotional state, attitude to compliance with law, trust in people, admission of guilt, veniality, belief in God; in addition, these relative criteria are more often statistically significantly linked with PBJW that indicates the high validity of this questionnaire.

In the framework of the present article it was not planned to analyze the belief in a just world within various groups of respondents; however, four distinguished cluster groups advance a perspective for the further content analysis of these groups and the psychological interpretation of the results in the context of Latvia, paying special attention to the peculiarities of imprisoned participants' belief in a just world.

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# ZINĀTNISKĀ DZĪVE

## KONFERENCES UN SEMINĀRI

Sasa Drezgic, Vera Boronenko

### INTERNATIONAL SCIENTIFIC CONFERENCE/ROUND TABLE “REFORMS TOWARDS MORE DECENTRALIZED GOVERNMENTS AND RELATED PROBLEMS OF SUBSTANTIAL EFFECTS ON FISCAL CONSOLIDATION EFFORTS”

International conference/round table “Reforms towards more decentralized governments and related problems of substantial effects on fiscal consolidation efforts” was organized on July 6, 2015 by the Faculty of Economics University of Rijeka (EFRI), Center for Local Economic Development (CLER) and POL-LOC initiative. This conference/round table has been supported in part by the Croatian Science Foundation under the project “Tax Policy and Fiscal Consolidation in Croatia” [8174] and the University of Rijeka under the project “Porezni sustav i ekonomsko-socijalni odnosi hrvatskog društva” (13.02.1.2.02.).

Participants of this conference/round table were representatives of the EFRI – *Dr. Helena Blažić, Dr. Saša Drezgic, Dr. Ana Štambuk*, as well as international representatives – *Dr. Paolo Fedele* (University of Udine, Italy), *Prof. John Franzke* (University of Potsdam, Germany), *Dr. Vladimir Klimanov and Dr. Anna Mikhaylova* (Institute for Public Finance Reform, Russia), *Mr. Uroš Pinterič* (University of Trnava, Slovakia), *Dr. Jelena Stanković and Dr. Marija Džinić* (University of Niš, Serbia). Participation of *Dr. Vera Boronenko* (University of Daugavpils, Latvia) in this conference/round table has been supported by the the Marie Curie FP7-PEOPLE-2011-COFUND program – NEWFELPRO (The new International Fellowship Mobility Programme for Experienced Researchers in Croatia) within the project “Rethinking Territory Development in Global Comparative Researches (Rethink Development)”, Grant Agreement No. 10.



Moderator of the conference/round table was *Dr. Saša Drezgić*, Director of the Center for Local Economic Development. The main target group of this event were students-participants of the Jean Monnet EFRI Summer School 2015.

The conference/round table consisted of two parts – the first part was related to revenue and expenditure aspects of fiscal consolidation. Second part was devoted to the wider effects of fiscal consolidation on local economic development. The participants gave presentations and discussed on the following issues:

- 1) effects of fiscal consolidation on local government revenue and expenditure policies:
  - local government revenues: what tax structure of local governments dominates in countries presented? what tax reforms (taxes) should be promoted to support fiscal consolidation? relation of fiscal autonomy and fiscal consolidation; intergovernmental fiscal relations (central – local cooperation/conflict);
  - local government expenditures: what expenditure structure is favourable in terms of fiscal consolidation? local expenditure policy issues (pork barrel, rent-seeking etc.); efficiency of local government spending;
- 2) fiscal consolidation effects on local economic development:
  - fiscal consolidation promotes (de)centralisation?
  - financing capital investment under fiscal consolidation pressure;
  - relevance of strategic and capital planning for local economic development;
  - fiscal consolidation and local democracy (voters' participation);
  - observations on empirical evidence on effects of fiscal consolidation.



*Participants of the conference/round table (from right to left):  
Dr. Paolo Fedele (Italy), Prof. John Franzke (Germany),  
Dr. Vladimir Klimanov and Dr. Anna Mikhaylova (Russia)*



All participants presented the local governments' financial systems as well as fiscal consolidation efforts in their countries – Croatia, Italy, Germany, Latvia, Russia, Serbia and Slovakia, finding many similar features and challenges in this area. Participants and audience of the conference/round table have discussed also the pros and cons of value-based and area-based property taxation in developing and transition economies concluding that value-based taxation could be too complicated and related to high administrative costs for those countries.



*Moderator of the conference/round table Dr. Saša Drezgić concludes main findings of the discussion*

## AIZSTĀVĒTIE PROMOCIJAS DARBI

Jelena Lonska

### ASSESSMENT OF TERRITORIAL STATE OF DEVELOPMENT IN LATVIAN REGIONS



*Author of the thesis  
Dr. oec. Jelena Lonska*

#### **Relevance of the topic and state of the research:**

The relevance of the topic is related to the fact that the progressive experience of the world is still not being used in Latvia in the field of evaluation of the territorial state of development (1). After the performed analysis of Latvia's practice in evaluation of territorial state of development, the author of the doctoral thesis believes that Latvia has stopped at the second stage of the evolution of the tools for evaluation of territories' state of development, wherein only the objective indicators are analyzed, ignoring the inhabitants' subjective evaluations of life in a specific territory, the significance of which is evident in the research carried out both in Latvia and the rest of the world.

In order to evaluate the level of territory development, different countries apply the objective – economic and social (non-economic) – indicators. For last twenty years, in the global research practice in this field is prevails the view that in the course of time the society has already matured for a new approach to evaluation of territorial development: the emphasis has to be switched from the evaluation of objective economic productivity and social well-being to measuring the overall well-being, including the subjective well-being of people (Stiglitz et al. 2009). A sufficiently well-rounded evaluation of development requires a set of indicators describing a territory from as various aspects as possible. The evaluation indicators' system has to incorporate economic aspects, social aspects and subjective indicators of development, i.e., satisfaction with life and subjective well-being of people residing in the territories. Development has to be viewed from the perspective of both, the reached level and the ongoing positive or negative changes. Consequently, a great significance is attached to the search of such territorial state of development evaluation tools that would fully and comprehensively characterize territories' development and would be applicable in comparing the development levels of different territories.

Throughout the world officially acknowledged and alternative methodologies and indices to establish territorial state of development are being used. They comprise various indicators describing territorial state of development, intended for measuring and comparing both separate territories within countries and the state of development

of countries to each other or in relation to the previous years: Index of Sustainable Economic Welfare (Stockhammer et al. 1997; Jackson 2007), Genuine Progress Indicator (Talberth et al. 2006, 2007; Cobb et al. 1999), Sustainable Society Index (van de Kerk, Manuel 2012), Index of Wellbeing of Nations, Country-by-Country Life Quality and the Environment (Prescott-Allen 2001), Physical Quality of Life Index (Morris 1979), economist association's "Economist Intelligence Unit's" Quality of Life Index (The Economist Intelligence Unit 2005), Human Development Index (UNDP 2011; Mahbub ul Haq 1995; Klugman 2009), Happy Planet Index (Abdallah et al. 2012), Bhutan Gross National Happiness Index (Ura et al. 2012), Switzerland's Sustainable Development Indicator System (Willi et al. 2012), Great Britain's Sustainable Development Indicators (Hall et al. 2010a, 2010b), OECD Better Life Index (OECD 2011), Australian National Development Index etc.

A certain methodology for calculating the level of territorial development has also been present in Latvia for already seventeen years: Territorial Development Index and Territorial Development Level Change Index (Cabinet of Ministers of the Republic of Latvia 2010). Concurrently to the official methodology, Latvia's scientists and researchers constantly offer alternative methodologies and indices for measuring the level of territorial development: a methodology created by Ltd. "Konsorts" for evaluation of the regional development level (2011), Development Level-Rate Matrix of Latvia's Cities by A. Vītola and Z. Hermansons (2010), Index of Latvia's Inhabitants' Life Quality, elaborated by the Strategic Analysis Committee (2006), SRDA's Regional Development Indicator Module (2012).

The doctoral students of Latvia's higher education institutions have also repeatedly focused on the evaluation of Latvia's regions state of development. During the last five years, several dissertations have been presented in Latvia, for instance, in Riga Technical University I. Judrupa's thesis called "Evaluation of the Competitiveness of Latvia's Regions", where the factors affecting competitiveness of planning regions of Latvia and their interrelations have been researched, in addition, a complex assessment system for evaluation of the regions' competitiveness has been elaborated (Judrupa 2011), in the Latvia University of Agriculture the S. Čingule-Vinogradova thesis called "Evaluation of the Potential and Development Directions of Southern Latgale", in which an analysis of the potential of Latvia's Southern Latgale region has been carried out and national economy development directions have been elaborated (Čingule-Vinogradova 2011), in the Latvia University of Agriculture the thesis of V. Vespers called "Evaluation of Regional Development", where the existing evaluation system of Latvia's regional development has been assessed and the alternative territory development index for planning regions has been elaborated (Vesperis 2012), in Daugavpils University E. Račko's thesis called "Evaluation and Potential of Increase of the competitiveness of Latvia's Regions in the European Union", where the methodology of the integral indicator of the competitiveness of Latvia's statistical regions calculation has been elaborated and the main directions of increasing the competitiveness of the regions have been determined (Račko 2013). The researches usually deal with the analysis of only one stage of the territorial development process, such as competitiveness (Judrupa 2011; Račko 2013), or the development process is viewed in the framework of only one region (Čingule-Vinogradova 2011). V. Vesperis offered for use an alternative

index of territories' development, however, this newly created index showed the level of the development of Latvia's regions that is actually similar to the evaluation results obtained in accordance with the methodology officially applicable in Latvia. However, a major part of the existing regional researches fail to emphasize the significance of subjective indicators in the evaluation of the level of territorial development. The author of the doctoral thesis believes that so far there is no clear conceptual solution found neither in Latvia nor the rest of the world to what is a developed territory and in accordance to which methodology it can be asserted that, for example, the region of Riga is more developed than the region of Kurzeme.

Considering the topicality of the theme and the previous research experience in the field, the author of the doctoral thesis offers to evaluate the state of development of Latvia's statistical regions (2) basing on the structural scheme of the evaluation of territorial state of development, the indicators of which are aimed at the HUMAN as the territories' main agent of economic activity and determining the level of his/her objective and subjective well-being in a specific territory. Exactly this kind of scheme would conform to the modern theoretical elaborations and tendencies of research practice in the world.

Developing the structural scheme of the territorial state of development evaluation, the author of the thesis relies on a comparatively new direction of economic science – Developmental Economics and its theoretical findings that explain, “what is a developed territory” and “what indicators witness the level of development” (Todaro, Smith 2011; Thirlwall 2011), on the world's scientific practice in the researched field (Arrow 1951; Lewis 1955; Sen 1970; Sen 1983; Goulet 1975; Krugman 1991; Stiglitz 1994; Rostow 1960; Robinson 1996; Johnson 1966), as well as uses such modern economic elaborations as conception of the competitive advantages of territories (Porter 1990), creative class theory (Florida 2002, 2003), evaluation of territories' state of development with subjective indicators (Easterlin 1974; Ingelhart, Foa 2008; Layard 2005; Kahneman, Deaton 2010; Veenhoven, Hagerty 2006; Diener, Biswas-Diener 2002; Bjørnskov, Gupta, Pedersen 2008; Dolan, Peasgood, White 2008).

From the point of view of the Developmental Economics in the basis of territories development lies the conception of the human development; in accordance with it a territory can be considered to be developed only when the effective and sustainable economic growth experienced in the territory facilitates the broadening of human opportunities, the realization of their economical and political rights and freedoms, as well as satisfaction of material and intellectual needs of the current and future generations. In accordance with this conception, a developed nation is the final aim of a territory's development, and the economic growth is the tool to reaching this final aim. Thus, *result of development of any territory, i.e., the state of development, can be judged by its inhabitants' common well-being objective and subjective indicators*, that have been included in the structural scheme of evaluation of territorial state of development, elaborated by the author. The author of the thesis emphasizes two conceptual aspects of the scheme:

- 1) all the traditional economical, technological and other indicators (the state of infrastructure, industrial production etc.) used in the evaluation of territorial state of development are not absent in this scheme, but rather they are viewed through

- humans, i.e. they have to transform into indicators of human well-being. If such transformation does not take place, in this case according to the methodology of Developmental Economics such a territory cannot be considered to be developed.
- 2) the newly elaborated structural scheme of evaluation of territorial state of development does not provide for calculation of the integrated index of territorial state of development, but it works with six separate elements of the scheme according to which territorial state of development can be characterized. It is based on the qualitative approach to the evaluation of territorial state of development, so called pluralistic paradigm of territorial development which provides for parallel existence of different kind of natures of development (“qualities”) in the global world, instead of one quantitative scale application for all the territories to be researched, as it happens in the framework of quantitative (evolutionary) paradigm of territorial development (Boronenko, Lonska 2013).

The author stresses that separation of terms “development” and “state of development” is principally important in the methodology of evaluation of territorial level of development. The result of territory development as a process is methodologically defined as territorial state of development, therefore the author in her work emphasizes exactly the measurable result of development process – territorial state of development.

**Hypothesis of the research:** the result of evaluation of territorial state of development depends on the paradigm used in the process of evaluation.

**The object of the research:** statistical regions of Latvia, **the subject of the research** – the state of development of the statistical regions of Latvia.

**The aim of the research** is on the basis of the theoretical guidelines of Developmental Economics to elaborate and approbate the instrument, corresponding to the level of the modern world (3), for evaluation of the state of development of Latvia’s regions.

**The tasks of the research:**

- 1) to analyze the theoretical and methodological aspects of territorial development; determine and view the elements of the territorial development process from the viewpoint of economics; on the basis of the human development conception to develop the methodological basis for evaluation of territorial state of development, and on its basis – a structural scheme of evaluation of territorial state of development;
- 2) to research the world’s experience in evaluation of territorial state of development and substantiate the significance of the subjective indicators’ application in this process; to view the history of application of territorial state of development evaluation tools; assess the tools of evaluation of territorial state of development applicable in the world in accordance with the chronology of their emergence;
- 3) to study the officially applicable and elaborated alternative indices of territorial state of development evaluation in Latvia and analyze their methodological basis; to perform an empirical approbation of the structural scheme elaborated by the author for evaluation of territorial state of development in Latvia’s statistical regions.

**The used scientific methods:**

- 1) monographic method – for the development of theoretically methodological base of the research;

- 2) logical analysis and synthesis method – for a description of territorial development as a process by graphically depicting results in functional models;
- 3) monographic, analysis and synthesis method – for the development of the structural scheme of evaluation of territorial state of development, basing on the work elaboration foreruns and theories of the economic science;
- 4) the method of statistical information analysis– for determining the values of basic indicators of the structural scheme of territorial state of development evaluation in the regions of Latvia;
- 5) survey method – to assess the subjective indicators of territorial state of development;
- 6) data processing with SPSS program – for the quantitative analysis of data acquired during the survey;
- 7) the model of V. Zapf for classification of territories according to the results of their state of development evaluation.

**The informative basis of the research** consists of scientific works published by the representatives of the Developmental Economics, publications of Latvian and foreign scientists on the topic of the thesis, namely, on the significance of indicators of subjective well-being of humans when evaluating the territorial state of development, human capital conception, theory of competitiveness of countries, knowledge economy, creative class theory; the indices developed by the world class organizations (UN, OECD, Economist Association, New Economics Foundation et al.) and their published reports on the development level of the world's countries (among them "The Economist Intelligence Unit's quality-of-life index", "Human Development Report", "Happy Planet Index", "OECD Your Better Life Index"), indices and sets of indicators of territorial development elaborated by various countries of the world (among them Switzerland's MONET indicator system, UK Government Strategy Sustainable Development indicators, Bhutan Gross National Happiness Index, The Australian Unity Wellbeing Index), Regulations of the Cabinet of Ministers of the Republic of Latvia and other normative acts on the Procedure of the Territorial Development Index Calculation, State Regional Development Agency's annual report on the "Development of Regions in Latvia", the available information on alternative tools elaborated in Latvia for evaluation of the level of territorial development, statistical material from the database of the Central Statistical Bureau of the Republic of Latvia, data from the statistics of the Centre for Disease Prevention and Control of Latvia's National Health Service on health care in Latvia, data from the survey carried out among the Latvia's inhabitants by the research center Ltd. "SKDS".

**Scientific novelty of the doctoral thesis:**

- 1) the description and analysis of the process of territorial development based on the conceptions of Developmental Economics;
- 2) defining the terms similar to development, their conceptual separation and determination of their relation to the development process, as well as conceptualization of the term "territorial development" and its definition from the perspective of Developmental Economics;

- 3) definition and substantiation for the use of the term “territorial state of development” and its introduction into the scientific circulation;
- 4) elaboration of the conceptual substantiation of the final aim of territorial development, focused on humans living in the territory;
- 5) elaboration of the structural scheme of territorial state of development evaluation for the assessment of territorial state of development, complying with the modern theoretical elaborations and research practice tendencies.

**Practical significance of the doctoral thesis:**

- 1) analysis of the instruments used in the world and in Latvia for evaluation of territorial state of development;
- 2) empirical approbation of the elaborated structural scheme of territorial state of development evaluation on the statistical basis of Latvia’s regions;
- 3) empirical analysis of Latvia’s regions’ state of development as a result of which new knowledge on evaluation of territorial state of development is obtained and the role of subjective indicators shown.

**The thesis is composed of three chapters:**

The first chapter called “Theoretical and Methodological Aspects of Evaluation of the Territorial State of Development” deals with the analysis of historical development of the knowledge on the research of territories and the conclusions on the entry of territorial development process as a research object into economic science, it provides conceptual definitions of the elements of the territories’ development process in the economic science and deals with the operationalization of this process, it provides a research on territories state of development from the perspective of Developmental Economics, as well as elaboration of the methodological basis for the evaluation of territories state of development, which conforms with the modern international scientific level.

The second chapter “World’s Experience in Evaluation of the Territorial State of Development” views and systematizes the process of evaluation of territorial state of development indicators, provides substantiation for the use of subjective indicators in evaluation of territorial state of development, as well as reveals the strengths and weaknesses of the objective and subjective indicators of territorial state of development and provides a review and analysis of tools of evaluation of territorial state of development in the world’s practice.

The third chapter “Empirical Assessment of the State of Development of Latvia’s Regions” studies the alternative indices officially used and elaborated in Latvia to evaluate the territorial state of development and analyzes their methodological basis, describes the structural scheme of evaluation of territorial state of development elaborated on the methodological basis of evaluation of territorial state of development that was elaborated in the first chapter, on the basis of the scheme the state of development of Latvia’s statistical regions is being empirically evaluated.

**Main conclusions:**

1. The origins of the concept “territorial development” can be found in the antique geography. In the turn of the 19<sup>th</sup> and the 20<sup>th</sup> centuries as a result of geographical

differentiation to the physical and social, emerged regional studies of social, economical, political and humanitarian profile, where lies the origin of a new science. In the middle of the 20<sup>th</sup> century under the influence of the political and economical global processes in the science of geography emerged geoeconomics (later – geopolitics), which along with the economic science facilitated the formation of a new direction of economics – regional economy. Moreover, in the middle of the 20<sup>th</sup> century also emerged a new direction of economic science – Developmental Economics, which studies the issues of inequality, poverty and countries' development.

2. In accordance with the findings of the Developmental Economics, the territorial development is viewed as a process having a certain result (aim): the process of development itself is a quantitative growth of territorial capital, while the measurable qualitative result reached in this process is territorial state of development. There are two approaches of the territorial development process analysis: quantitative, in accordance with which a territory (society) develops gradually undergoing certain stages of development, and the qualitative or paradigm of pluralistic development, which essentially believes that every of the cultures (civilizations) existing in the world has its own, different from the others and unique course of development. These approaches do not exclude, but supplement each other, allowing performing a more detailed and complete analysis of the development process.
3. The structural basic elements of the process of territorial development are attraction, competitiveness, growth and state of development of territories. The process of development begins with attraction and maintaining the resources necessary for the development, et al., a territory becoming more attractive. Then the territory becomes competitive, by turning the comparative advantages of the attracted resources into competitive. Efficient and profitable use of competitive resources ensures a territory with economic growth, when the existing resources are accumulated and increased and when as a result of advised resource distribution politics there is an increase in the general well-being of population, what is the final aim of the territorial development process – state of development of territories.
4. Analyzing the concept of development in the territorial framework, it is evident that the concept “territorial development”, opposite to such a similar concepts as “growth”, “progress”, “evolution” etc. have several features, differing the concepts from the others, et at. (1) territorial development is a process related to the specific territory; (2) territorial development is a purposeful process of changes with direction, et al., the process aimed at reaching a specific goal; territorial development process consists of several structural elements, (4) territorial development is a social and economic process.
5. In the historical course of tools for evaluation of the territorial state of development evolution in the world it is possible to distinguish 3 stages: (1) the stage of objective economic indicators (17<sup>th</sup> century); (2) stage of objective economic and objective non-economic (social) indicators (1830s, rebirth – 1960s); (3) stage of objective (economic and non-economic) and subjective indicators (1980s). In Latvia the officially applicable indices include both economic and non-economic, but only



- objective indicators, complying with the second stage of tools for territorial state of development evaluation.
6. The most widely used in the world tools for evaluation of the territorial state of development can be divided into four groups, depending on the type of indicators they include: (1) the containing objective economic indicators (Index of Sustainable Economic Welfare; Genuine Progress Indicator), (2) the containing objective (economic and social) indicators (Sustainable Society Index, Index of Wellbeing of Nations, Physical Quality of Life Index, etc.), (3) the containing objective (economic and social) and subjective indicators (Human Development Index, Happy Planet Index, ESAO “Your Better Life Index”, etc.) (4) the containing only subjective indicators (exceptions) (Bhutan Gross National Happiness Index, Australian Unity Wellbeing Index).
  7. The first official methodology of calculation of Latvia’s Territorial Development Index (TDI) was elaborated by the Latvian Institute for Statistics in 1997: the districts and towns of the republic could be evaluated according to 9 statistical indicators, and the civil parishes and towns of the districts – by 6 statistical indicators. Since 2000 a TDI has been calculated: for regions summarizing 8 statistical indicators, for civil parishes – 6, and towns – 4. In 2009 the methods of TDI calculation were adopted to the new administrative territorial division of Latvia, i.e., counties, republic-level towns and planning regions. In 2010 Latvia started to calculate two indices describing the territorial development: the Index of Territorial Development Level (TDLI) and Territorial Development Level Change Index (TDLCI).
  8. An active work in Latvia takes place in relation to the development of alternative tools for territorial state of development evaluation: Support to Regional Development Index developed by “Konsorts” Ltd., the EU project implemented by the SRDA regarding the development of the Regional Development Indicator Module, the Alternative Index of Territorial Development offered by the doctoral student of the LUA V. Vesperis, the Development Level-Rate Matrix of Latvia’s Cities elaborated by Z. Hermansons and A. Vitola, provided for the evaluation of the level of social and economic development and tendencies of Latvia’s biggest cities, and the Life Quality Index developed by the Strategic Analysis Committee.
  9. Exploring the officially used and alternative indices offered for application, it is possible to conclude that the methodological basis of evaluation of the territorial state of development used in Latvia does not correspond with the global scientific level in this field, since it fails to include subjective indicators, ignoring the subjective assessments of population in the specific territory, the topicality of which indicate also the studies carried out in Latvia.
  10. The structural scheme of the evaluation of the territorial state of development elaborated in the framework of the doctoral thesis is based on the Developmental Economics, the Conception of Human Development, Happiness Economics’ scientific insights on people’s subjective well-being, Human Capital Conception, M. Porter’s Theory of Competitive Advantage of Nations, conclusions of “knowledge-based economics”, as well as R. Florida’s Creative Class Theory. Elaborating the scheme the author methodologically based on the finding that a territory can

be considered to be developed when the number of population is constantly growing and the population is materially provided, healthy, highly educated, accepts spiritual values and is satisfied with life. This tool for evaluation of the territorial state of development consists both of objective and subjective indicators, conforming to the modern theoretical elaborations and tendencies of research practice in the world.

11. The basic elements of the structural scheme of the territorial state of development evaluation are as follows: (1) changes in the number of population, (2) people's material prosperity, (3) people's health, (4) people's education, (5) people's attitude towards spiritual values, (6) people's overall satisfaction with life. The basic indicators are aimed at determining the Human's existence and his/her objective and subjective well-being. The author emphasizes two conceptual aspects:
12. All the traditional economical, technological etc. indicators applicable in evaluation of the territorial state of development (infrastructure, industrial production etc.) are not absent in this scheme, but rather they are viewed through a human;
13. The newly elaborated structural scheme of evaluation of territorial state of development does not provide for calculation of the integrated index of territorial state of development, but it is provided for comparison of separate indicators of the scheme elements in the territories to be researched.
14. Analyzing the values of the chosen basic indicators for empirical approbation of the structural scheme of territorial state of development, the author of the thesis comes to conclusion that it is not possible to highlight only one of the statistical regions of Latvia according to its highest or lowest level of development. It is only possible to assert that the development of the regions of Latvia is qualitatively different and this phenomenon must be viewed from the point of view of pluralistic paradigm, stressing the functional effectiveness of every region in the functioning of all the united country of Latvia.

#### **Statements and findings:**

1. The topic of territorial development is well-studied by the papers of Latvian scientists, especially in relation to the economical growth of territories. However, the result of the territorial development process and its evaluation until now was researched insufficiently. The research problem of the thesis is formed by the fact that the greatest part of the researchers and scientists analyzing the territorial development do not separate the process of development itself from the state of development – the result achieved in the development process. On the basis of methodology of the Developmental Economics the thesis provides a definition that territorial state of development is the objective and subjective well-being of the population residing there, and it cannot be evaluated by taking into account objective social and economic indicators, which are the same, according to which can be concluded that a territory is developed (pluralistic paradigm of territorial development).
2. In the hypothesis of the research the author on the basis of world's progressive practice in evaluation of territorial state of development assumed that the result of territorial state of development depends on the paradigm to be used in the process of evaluation.

3. To prove the hypothesis, the author in the process of the thesis elaboration analyzed the history of knowledge related to the research of territories and drew conclusions regarding the entrance of territorial development process as an object of research in the economic science, conceptually defined the elements of territorial development process in the economic science and provided a description and analysis of the process, as well as studied the territorial state of development from the perspective of Developmental Economics, elaborating the methodological base of territorial state of development evaluation, corresponding with the modern international scientific level.
4. Implementing her research, the author viewed and systematized the process of indicators of territorial state of development evaluation, provided justification of subjective indicators application in territorial state of development evaluation, revealing the strengths and weaknesses of the objective and subjective indicators in territorial state of development evaluation, as well as performed review of tools for territorial state of development evaluation and analysis in the world practice.
5. Proving the hypothesis of the thesis the author justified by the approbation of the elaborated structural scheme for territorial state of development evaluation, empirically evaluating the state of development of the statistical regions of Latvia and showing that applying the qualitative paradigm of territorial state of development evaluation, it is not possible unequivocally to highlight only one of the statistical regions of Latvia according to its highest or lowest level of development, as it is done according to the official territorial state of development evaluation methodology in Latvia, evaluating the territorial state of development of Latvia's regions according to TDLI/TDLCI, when the quantitative approach of territorial state of development evaluation is used. In case of Latgale region, which according to TDLC/TDLCI calculations is placed as the last among the Latvia's statistical regions according to their state of development, there are quite high indicators of population's subjective satisfaction with life and attitude towards spiritual values, what is an integral part of territorial state of development. Consequently the aim of the thesis – on the basis of the theoretical the theoretical guidelines of Developmental Economics to elaborate and approbate the tool, corresponding to the level of the modern world, for evaluation of the state of development of Latvia's regions – was reached, the tasks of the thesis are completed and the hypothesis is proven.

(1) Russian – «развитость», Latvian – “attīstītība”, German – “Entwickeltheit” (ELDO 1995: 46). Within the framework of this thesis, “territory development” is understood as the level of territories' development attained during the process of territories' development, i.e., the final result of the development process, which is measurable.

(2) According to the methodology of regional economy both the countries and the internal regions of the countries are defined as a territory (Boroņenko2009).

(3) Namely, the use of objective and subjective indicators as well as acknowledging the crucial significance of territories' competitive advantages in evaluation of territories' state of development.

Aivars Stankevičs

## THE ROLE OF THE HIGHER EDUCATION IN THE INCREASING OF PERFORMANCE OF A REGION



*Author of the thesis  
Dr. oec. Aivars Stankevičs*

### **The choice of the theme: substantiation, arguments and motives:**

Long-term economic growth is closely connected with technological progress and innovation, considering innovation as a process of “creative destruction”. It should be noted that, in the policy planning documents of the Latvian Republic, a new paradigm of regional policy is defined (i.e. “Regional Policy Guidelines 2013–2019): it emphasises the role of creativity and innovation in regional development and, in particular, its importance in promoting territorial competitiveness, visibility and people’s welfare. The availability of new technologies, knowledge and skills become extremely significant, when production is shifting to its higher value added segments and knowledge-intensive products and services. The development of science-intensive industries, which promotes regional development, is based on the use of unique resources and conditions of each region. At the same time, it comes out to be clear that the knowledge gap can be bridged by such players as technology transfer centres, regional business incubators, innovation centres, higher educational establishments, innovation-promoting public organizations, public-private partnerships, whose work is connected with innovative approaches, etc. This is this close link of innovation policy with economic development that determines the necessity to define the new role of higher education in increasing economic performance.

Until the 19<sup>th</sup> century higher education was traditionally associated with the accumulation and transfer of knowledge to future generations. 19<sup>th</sup> century Industrial Revolution marked a new stage in the development of higher education – a transition from learning to research, namely a creation of new knowledge. The turn of the 21<sup>st</sup> century and the subsequent transition to a postindustrial society and then to a neoindustrial one determined a new mission of higher education – direct involvement of higher education into socio-economic development of territories. At present, the change of the mission of higher education requires to seriously reconsider not only the role of higher education institutions as such, but the very interaction of all public and higher education institutions as well. Today, it is not possible to consider higher education institutions just as establishments that develop and transfer specific knowledge and skills to students. Higher education is no longer perceived as a personal benefit of some individuals; it is viewed as the main resource required for the development of knowledge society, which is based on collective public-private partnership, and as a

factor of regional performance (AcadTerm). Nowadays, higher education institution should be considered as an element of change and an agent that does not just stimulate and encourage the interconnection of learning, research and innovation: it should be considered as a necessity to develop knowledge and innovation infrastructure, which could ensure this interrelation and a transfer of knowledge into economy. What factors determine a performance of a region and how they affect the system of higher education – is a question the author of the present doctoral thesis is trying to answer, offering solutions for the development of higher education policy to ensure a greater role of higher education in the increase of regional performance.

The theoretical and methodological basis of the doctoral research: the works by the classics of Economics – J. M. Keynes, F. Quesnay, A. Lösch, K. Marx, A. Marshall, W. Petty, D. Ricardo, A. Smith, and other opinions, connected with the theme of the doctoral thesis, were analysed and used.

In the doctoral thesis, the findings of many other recognised economic theorists and experts, educational researchers and experts are used – M. Agranovich (М. Агранович), W. Christaller, E. A. Hanushek, E. F. Heckscher, W. Isard, S. S. Kuznets, W. F. Launhardt, A. Madison, J. Mincer, B. G. Ohlin, M. E. Porter, T. A. Reiner, L. Shpakovskaya (Л. Шпаковская), J. H. Thünen, A. Weber, L. Vosmana (L. Wößmann), etc.

It should be noted that many excellent Latvian scientists and practitioners have contributed significantly to the consideration of the issues on the Latvian regional economic development and performance and the ones on the development, quality and efficiency of higher education system: V. Boroņenko, J. Borzovs, A. Cīrule, J. Dzelme, L. Jermolajeva, O. Lavriņenko, J. Lonska, V. Meņšikovs, L. Paņina, A. Rauhvargers, B. Rivža, V. Rocēns, Ģ. Rungainis, A. Sannikova, E. Vanags, D. Viksne, T. Volkova, A. Zobena, etc. However, in the Latvian scientific space, it is hard to find a fundamental research devoted to the links between higher education system and regional economic development, growth, competitiveness, performance, etc.<sup>1</sup>

**The object** of the Doctoral Thesis: countries of the world<sup>2</sup> and Latvian regions.

**The subject** of the Doctoral Thesis: regional performance and the role of higher education in it.

**The hypothesis** of the Doctoral Thesis: the role of higher education in increasing regional performance depends on the stage of regional economic development.

**The aim** of the Doctoral Thesis: to determine the role of higher education in increasing regional performance in Latvia.

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<sup>1</sup> In this respect, only V. Rocēns's doctoral thesis can be mentioned (2012) "Competitive Environment in Higher Education, Economic Efficiency and National Economic Growth", in which the influence of higher education system on economic growth has been studied. However, this work, elaborated in the field of Management Sciences (sub-branch – Education management), did not explore the regional aspect of this influence.

<sup>2</sup> In order to achieve the aim of the doctoral thesis all the reference territories – countries and internal regions of a country – will be considered as regions, as in Economics a region is a territory with specific economy. According to this definition, a country can be called a region.

**The objectives of the Doctoral Thesis:**

- to analyse the concepts of region and regional performance presented in Economics, as well as to elaborate a methodological basis to detect regional performance and factors that influence it;
- to explore the processes of globalization and internationalization in the modern higher education system at the EU level, as well as to analyse the developments of the Latvian higher education system and its place in the European higher education area;
- to empirically explore the role of higher education in the world's and Latvia's regional performance, as well as to explore the availability of higher education resources and the degree of their activation and capitalization and their specificities in Latvia's regions.

**The methods used to achieve the objectives set in the Doctoral Thesis:**

- descriptive, analytical, synthetic and logically-constructive methods have been used to identify region and significance of regional performance in Economics;
- correlation analysis and methods for linear regression analysis, as well as classification of the stages of economic development, elaborated at the World Economy Forum, have been used to identify empirically the role of higher education in regional performance;
- to define the situation and the trends in the Latvian higher education system, statistical analysis of the data has been used and interviews with the experts of the Latvian higher education system have been conducted;
- cartographic and graphical methods have been used for tangible visualisation of the obtained results.

**The materials used to achieve the objectives of the Doctoral Thesis:**

Theoretically and methodologically the Doctoral Thesis is based on the works by Latvian and foreign scientists in the field of Regional Economics, Latvian and foreign scientific studies on the economic aspects of higher education system and its linkage with regional socio-economic development.

The empirical analysis presented in the Doctoral Thesis is based on Eurostat regional data, regional data from the Central Statistical Bureau of Latvia, reports on Latvia's higher education prepared by the Ministry of Education and Science of Latvia, the *World Economic Forum's Global Competitiveness annual reports* and other materials with statistical and empirical data.

The interviews with experts, who are occupied in the sphere of higher education, can be considered a significant source of information:

- Dr. habil. med. **Jānis Vētra**, Chairman of the Council of Higher Education, Professor of Riga Stradiņš University, who has long been both Rector of Rīga Stradiņš University and Chairman of Rectors' Council;
- Dr. oec., prof. **Tatjana Volkova**, Vice-Chairman of the Council of Higher Education, former Rector of BA School of Business and Finance and Chairman of Rectors' Council;
- Dr. habil. sc. pol., Dr. iur. **Tālavš Jundzis**, a Vice-President of the Latvian Academy of Sciences, Director of Law College, who also is Member of the Board of the

Latvian Association of Colleges (previously – Chairman of Board) and Professor of Latvian University;

- Dr. sc. ing. *Anatolijs Melnis*, previously – Assistant Director of the Department of Science and Higher Education in LR Ministry of Education and Science, at present – Senior Expert of Higher education, science and innovation department in LR Ministry of Education and Science, who has been actively developing the Latvian higher education policy and accompanying legislation;
- Dr. habil. paed. *Tatjana Koķe*, *Vice-Rector* for Education, Rīga Stradiņš University, former *Minister* of Education and Science (2007–2010), Parliamentary Secretary of Ministry of Education and Science (20006–2007), State Minister of Higher Education and Science, Republic of Latvia (1999);
- Dr. habil. med., prof. *Jānis Gardovskis*, Rector of Rīga Stradiņš University;
- Dr. habil. philol., prof. *Dace Markus*, Rector of Rīga Teacher Training and Educational Management Academy;
- Dr. oec., prof. *Marga Živitere*, Rector of Graduate School of Information Systems Management;
- Dr. paed. *Jānis Rozenblats*, Director of Riga Technical College, Member of Board of the Latvian Association of College (previously – Chairman of Board);
- Dr. phys., prof. *Arkādijs Vocišs*, former Rector of Baltic International Academy, who has long been a Chairman of the *Association of Latvian Private Higher Education* Institutions.

Structurally, the Doctoral Thesis has three chapters:

- The first chapter of the Thesis “*Theoretical and Methodological Aspects of Region and Regional Performance*” explores the concepts of region and regional performance and their conceptual significance in Economics, as well as the theoretical and methodological basis of the process of economic regionalization, and economic globalization processes that influence regional performance;
- The second chapter “*Higher Education as One of The Factors That Influences Regional Performances*” presents the analysis of the processes of globalization and internationalization in the European space of higher education, the development of the Latvian higher education system in its long-term context, and the empirical research of the role of higher education in the enhancement of the performance of world regions;
- The third chapter “*Empirical Research of The Role of Higher Education in The Performance of Latvian Regions*” displays the analysis of the understanding of region in the Latvian education system, as well as the empirical research of the level of activation and capitalization of higher education resources in Latvia’s regions and the experts’ opinion about the role of higher education in the performance of Latvia’s regions;
- The *conclusions* summarise the main findings, as well as the problems and their possible solutions.

The scientific novelty of the Doctoral Thesis:

- conceptualization of the concept of regional performance and elaboration of a methodological basis for the study of its conditions;

- study of the linkage of higher education with regional performance within regional economy;
- critical evaluation of the role of higher education in enhancing regional performance.

**The practical novelty of the Doctoral Thesis:**

- global empirical evaluation of the factors that may potentially influence regional performance;
- the defined role of higher education in regional performance, applying international research data;
- preparation of recommendations for the development of the Latvian higher education policy, taking into account the regional specifics of Latvia.

**Theses for defence:**

1. In Economics, regional performance can be measured by the average GDP per capita;
2. In the global economic space, regions are at different stages of development, and each stage has its own factors that determine regional performance;
3. Access to the latest technologies influences regional performance more than higher education;
4. Provision of Latvian regions with higher education resources differs, but the level of the use of these resources does not differ much.

**General findings:**

The issues connected with higher education system have been studied by Latvian scientists in rather different ways, while its connection with regional economic performance has been relatively little studied, at least at the level of basic research. The economic dimension of the research problem is generated by the fact that, regardless the topicality of higher education, in the process of which new knowledge and skills are received, particularly in relation to the development of knowledge economy, in Latvia, one can observe a relatively low economic efficiency from specialists with higher education that does not enhance economic performance in Latvia's regions.

On the basis of the methodology of regional economics, the author of this thesis has examined the role of higher education in enhancing regional performance in terms of resources-assets-capital approach. On the basis of this approach, it can be argued that each region has its own resources of higher education, which it activates (introduces into the economic cycle) and capitalizes them (commercializes, drawing added value from them).

Therefore, in the hypothesis of the present research, on the basis of both the modern research by Latvian economists, devoted to the economic aspects of higher education, and the research results of world regional economy, the author has stated that the role of higher education in enhancing regional performance depends on the stage of the economic development of a region.

To prove this hypothesis, the author of the thesis has analysed the theoretical and methodological aspects of regional economy, investigated the topical issues of higher education system and modern challenges in the EU and Latvia, and studied the role of



higher education in enhancing the performance in the world and Latvia's regions at different stages of economic development. The research hypothesis has been proven, using the data of the World Economic Forum on more than 100 regions of the world and applying the method of multi-factor analysis.

Hence, the aim of the doctoral thesis – to determine the role of higher education in enhancing regional performance in the world, the EU and Latvia – has been achieved. The research has demonstrated that today the regional performance at the stages of economic development Latvia's regions are at, is conditioned by an ability of a region to attract talented people and by the availability of the latest technologies, rather than by higher education. The author has developed a number of recommendations for the higher education policy in Latvia, considering the possibilities of how, with the help of a cluster of higher education, to attract talented people and the latest technologies into the regions, which in its turn will enhance regional economic performance.

**Main conclusions:**

1. The formation of regional studies within the economic theory is connected to the idea of territorial division of labour, which appeared in the works by A. Smith. However, up to the end of the 19th century, territorial factor was completely ignored in economic theory. In the 1950s, the study of the issues of regional economy developed in many countries. In 1954, at W. Isard's initiative, in the United States there was established Regional Science Association.
2. At present, regional economy is actively institutionalising in the European research area, in particular: new international organizations and different regional research networks are established, research projects in the field of regional studies are implemented, fundamental investigations are published and international scientific conferences in the field of regional economy are organized.
3. The term "region, which is used in scientific literature, is characterized by polysemy, i.e. ambiguity. Its content depends on which aspect of life in a region is actualised in this or that way. It is an economic region, which is a part national territory marked by specific economy.
4. The basic concept of the present study is regional performance, which the author defines conceptually and interprets empirically in terms of economic science. Methodologically regional performance is region's economic productivity and ability to produce a product – productivity, output, results of economic activity, and GDP per capita is an indicator of regional performance.
5. Economic conditions of regional performance can be studied by resources-assets-capital approach, which is based on the following theoretical methodological guideline: in a result of their effective use the resources available to a region can be transformed into regional assets, which, in their turn, can give the region socio-economic returns, i.e., turning into regional capital – a precondition for its performance.
6. The methodological novelty of the present study is a consideration of the role of different factors that influence regional performance, taking into account the stage of the economical development of a region not only in general as it was in classical and neoclassical economic theories. Classifying the stages of regions' economic

development, the author took into account the approach of the World Economic Forum, having singled out three basic stages – factor-driven stage, efficiency-driven stage and innovation-driven stage.

7. Because of Latvia's relatively low technological readiness and availability of the latest technologies, specialists with higher education cannot realize their full professional potential in Latvia.
8. A clearly positive role of higher education and education in general in the development of modern economy has been discussed and even criticized in two recently issued collections of research articles: "The Knowledge Economy and Lifelong Learning: A Critical Reader" (Livingstone, Guile, 2012) and "Educating for the Knowledge Economy: Critical Perspectives" (Lauder et. al., 2012). These collections of articles summarise and systematise different research experience received in the analysis of economic relations between education and knowledge.
9. The methodological basis of the present thesis is also based on the fact that, at present, the role of higher education in enhancing regional performance cannot be considered as unambiguously positive. One of the explanations of this ambiguity can be found within regional economics – diversity of stages of regional economic development with different performance-determining factors.
10. Nowadays, higher education institutions with their intellectual and institutional, but sometimes with their financial potential and diversified range of offered services become one of the most influential global "players", participating in both decision-making and opinion-making and contributing into the regional performance.
11. Education with its significant potential also is a part of the global market, where, nowadays, different learning providers compete, offering a wide range, though at present not always qualitative and relevant to the time of services, and globally competing for the main target audience of higher education – potential students.
12. Despite the current achievements in the development of Latvian higher education system, a number of higher education experts have noted a number of problems, which can become the major risk factor for the existence of the system itself and its sustainability. They are: funding shortages, poor quality and poor commercialization of the results of scientific research.
13. For empirical study of the role of higher education in regional performance based on the data of global research (more than 100 regions) there were selected indicators that characterize the higher education system of a region, the level of its technological development, and the ability of a region to attract and retain highly educated and talented people. The analysis was carried out in accordance to three stages of regional economic development, in three periods of time – 2005, 2009 and 2013 (in order to prove that the results obtained are stable).
14. The results of the research showed that each stage of regional economic development out of the three mentioned ones is determined by various (different) factors. For example, the indicators that characterize higher education system influence regional performance only at the lowest stage of regional economic development, and only simultaneously with the factor of technological development.
15. At the innovation-driven stage and at the transition stage to it, where Latvia has been since 2009, new factors "are involved into the game" – the ability of a

region to retain and attract talents. It has been found that regions, which are able to attract and retain in their economies talented and highly educated people, have a better performance compared to those regions, which have a relatively high level of higher education development (the proportion of students and in terms of quality).

16. All Latvia's regions have higher education resources – higher education institutions, research institutions, state and private funding, academic staff, population with higher education, etc. the statistical analysis of the data showed that, despite the fact that Latvia's regions are ensured with the above mentioned higher education resources is uneven, in all Latvia's regions higher education resource is activated and capitalized relatively at the same level.
17. Analysing the location of higher education institutions in Latvia's regions, it can be concluded that regardless the fact that there are a lot of affiliated branches in the peripheral regions, it is Riga region (the only Latvia's region at the innovation-stage and, in this region, there is the centre of Latvian higher education cluster), which is able to attract talented people, in this way effectively capitalizing the higher education resources of all Latvia's regions in order to increase its performance.
18. Among the experts of Latvian higher education system, there is no one unified opinion, whether the current Latvian higher education system and its principles promote Latvian economic performance and how effectively higher education system at present uses the resources that are available to it. And the most important – there is no unified opinion on what should be in these fields.
19. To promote a faster development of regional performance, regional economic planners should be guided by the stage of the economic performance of each specific region in order to understand what makes a driving force of regional performance, in the given period of time, – quantitative indicators of higher education, quality of higher education or any other factors, such as higher education together with the region's technological readiness. Such an approach would allow to use the available financial resources of a region in a more efficient way.

Rets Renemanis

## SOCIO-ECONOMIC ASSESSMENT OF LATVIAN ONCOLOGY SYSTEM IN THE CONTEXT OF THE EUROPEAN REGIONS



*Author of the thesis  
Dr.oec. Rets Renemanis*

### Topicality of the subject:

As one of the core values, health is the basis for one's quality of life and the well-being of families and society. In general, about 30% of all deaths in the world are premature, where people lose their lives at a working age. Since the reasons for early mortality and the loss of working ability are in most cases related to various health risks, by minimising their impact one is able to increase the working-age people's life expectancy and quality, thus improving the natural growth and promoting employment in the country (National Development Plan 2014–2020 2012: p. 37). At the beginning of the 21st century, current socio-economic processes in Latvia, as well as the long-term trends (aging population, declining working-age population and increased economic dependency) have increasingly brought to attention the issues of quality of life and public health. At the same time, good public health is the foundation of sustainable social and economic development of any country.

Since increase in the birth rate is very slow and the rapid immigration of labour force is causing some serious social problems, it is important to improve public health and prolong the working age to ensure long-term economic and social development of Latvia. Maintaining and improving health is a shared responsibility of society, each individual and the state through the realisation of policies of various sectors of the national economy. The topicality of the study is related to the priority nature of the health sector, as evidenced by a number of strategic planning documents of Latvia. The Latvian National Development Plan 2007–2013 states that health is one of the core human values and the basis for one's quality of life and well-being, as well as the well-being of one's family (Latvian national... 2006). Similarly, the Latvian National Development Plan 2014–2020 specifically states that it is necessary to implement targeted and effective health-promoting and risk-limiting measures, improve the accessibility and quality of healthcare services by providing timely disease diagnostics and faster initiation of treatment (National Development Plan... 2012). In addition, the list of national medium-term priorities includes the goal to extend the number of healthy life years of the Latvian population and prevent premature death by maintaining, improving and restoring health, including improved access to healthcare services (Informative report on Latvian Strategic Development... 2010; Public Health Guidelines 2011; Public Health Strategy... 2010).

The life expectancy of the population has been included by the United Nations in the Human Development Index calculations as one of the three components of the

index. The World Health Organisation frequently calculates and internationally compares the indicators of healthy life expectancy by country.

The topicality of the Thesis is also demonstrated by the fact that public health (including prevention, treatment, diagnostic tools and methods) is one of the priority directions of science in Latvia (Cabinet of Ministers Order No. 594 2009). Therefore, research in the field of healthcare economics is particularly topical. In addition to the above, it should be emphasised that promoting the health of population is receiving increasing attention both in Latvia and Europe. Disease significantly reduces the quality of life of individuals and their families and results in various costs, mainly the loss of labour capacity due to absence from work and disability. Good health, in turn, increases social, economic and human capital.

Thus, healthcare is one of the strategic sectors of the economy that guarantees population reproduction and enhances the quality of human capital, social guarantees, etc. Economic analysis of the healthcare sector is also necessary because healthcare resources have always been and will be limited, while the needs for medical services are very diverse and will always exceed the existing financial capacity of the state. Moreover, the uneven development of the healthcare sector and the oncology system in particular, is largely due to socio-economic problems of the society, mainly due to significant differences in income levels in different population groups. This is often why people have uneven access to both medications and treatment in general (treatment methods and techniques), which consequently contributes to the spread of oncologic diseases and a growth in the number of oncologic patients, especially in the advanced stages of the disease. Latvian healthcare sector must use the economic knowledge of how to manage and improve the medical assistance process more actively. Issues with effective management of existing limited resources are attracting the attention of healthcare sector specialists at all levels, especially in light of the consequences of the economic crisis of 2008. Both international and national statistical data shows that in the last few years there has been a significant deterioration of Latvian healthcare indicators. According to the World Health Organisation's (WHO) classification, Latvia is characterised as a country with a markedly low birth-rate and high adult mortality in productive age, which in turn causes major economic losses (World Bank Report 2010).

Also, the Euro Health Consumer Index (EHCI) ranked Latvia in one of the last places in 2013. The annual EU healthcare overview ranked the Latvian healthcare system in the 32nd place out of 35, which means that Latvia is competing with Serbia and Romania (Euro Health Consumer... 2013). Therefore, the author of the Thesis has conducted an economic analysis of the Latvian oncology system as a healthcare branch in the context of ES NUTS 2 regions in order to determine the position of Latvia among the EU countries, familiarise himself with the experience of other countries and consider the possibilities to adapt their experience for Latvia.

Oncologic diseases is one of the most serious threats to human health and one of the leading causes of death worldwide, including Latvia, and the rate of tumours among the causes of death is 13% worldwide and 20.6% in Latvia. Since 2011, cancer has surpassed heart disease as the leading cause of death in the world. In 2012, there were 14 million diagnosed cases of cancer in the world. The number of new

cases of cancer in the world within five years has increased by 11%, reaching 14.1 million cases last year, while the number of breast cancer cases has increased by a fifth. Malignant breast cancer is the most common cause of death in women in the world – in 2012 there were 522 thousand of such cases (World Cancer Report 2014). Malignant tumours play a significant role among morbidity indicators. Besides, 50% of the people who get sick are of working age, and there are more and more young people who get sick (Latvian healthcare statistics yearbook 2011; Statistical data for the year 2011: oncology 2012). Despite the progress in the field of medical technology and pharmaceuticals and an increase in the annual state funding for the treatment of oncologic patients, the mortality rate due to cancer each year is increasing, and a cost-intensive treatment of diseases is not yet able to ensure a significant increase in life expectancy in Latvia. The number of primarily diagnosed cancer patients in Latvia since 2000 has increased with each year, and the mortality rate has a tendency to grow.

6.5% of the total healthcare costs in Europe and 5% in the world are currently spent on the treatment of oncologic diseases (Health at a Glance: Europe, 2013). In Latvia, malignant tumours are the second most common cause of death after cardiovascular diseases. Approximately 75% of all cancer patients die from complications caused by tumours. In addition, the rate of advanced-stage disease cases here is higher than in other European countries, since in 50%–60% cases the tumour is found as late as in stage 3–4 (Statistical data for 2011: oncology 2012).

As the population ages, the incidence of malignant tumours is expected to grow. The development of the oncology system in Latvia is unacceptably slow, stemming from the lack of funding and the insufficient public interest in acquiring the latest generation treatment methods, including medication. Due to the experience and a high level of preparedness of Latvian professionals, it is possible to achieve the average life expectancy of patients in Latvia, which is comparable to the EU and USA levels, but people who are diagnosed with cancer in Latvia have much fewer possibilities to enjoy life of equivalent quality and duration as in developed countries. So, the inability of the oncology system to respond to the increasing incidence of malignant tumours is mainly due to public administrative and economic reasons.

#### **State of research in this field:**

Development of the theoretical and methodological framework is based on fundamental and applied research in economics and health economics theory, as well as the medical field in the area of socio-economic problems. The author has collected research on the topic performed by scientists from Latvia, the European Union, USA and other countries. The study uses and analyses the results of works of foreign scientists (Nolte E., Ezzati M., Figueras J., Grossman M., Bloom, Brummand M., Murray C., Salomon J.A., Mathers C.D., Lopez A.D., Jourmard I., Hoeller P., Monden Ch., Xu K, Sak-sena P.) dedicated to studying the economic aspects of healthcare, the problems of integrative use of the quality of life concept, and touching the economic analysis issues in this area. The main findings of the aforementioned studies are continually developed by contemporary scientists, including representatives of Latvian economic science: G. Brīģis, A. Grīnfelde, J. Krūmiņš, V. Krūmiņš, S. Mežinska, V. Silis, I. Zijeva

and others. Healthcare economics theoretical issues have been addressed in the works of many foreign researchers: Haycox A., Fogel R.W., Costa D.L., Malek M., Phillips C., Gold M.R., Arrow K., Kernic D., Воробьев П.А., Кучеренко В.З., Семенов В.Ю.

In the period following the economic crisis in 2008, the media started an intense debate on the administrative and economic aspects of healthcare, and this issue has been addressed by many practitioners and researchers. However, the socio-economic aspects of this field have not yet been sufficiently scientifically studied and grounded.

**Research object:** Latvian healthcare sector and the oncology system as the sub-sector in the context of the European regions (countries) (1).

**Research subject:** Socio-economic regularities and factors of the Latvian oncology system in the European regions (countries).

**Research goal** is, by evaluating the socio-economic aspects of the Latvian oncology system in the context of the European regions (countries), to identify the socio-economic factors causing substantial damage to individuals and society as a whole due to disability-adjusted life years (DALY).

**Research objectives:**

- 1) To analyse specifics of the healthcare sector's economic functioning;
- 2) To analyse the Latvian oncology system's economic framework and evaluate the Latvian oncology system's socio-economic condition in the context of European regions;
- 3) To perform a complex socio-economic evaluation of the Latvian oncology system in the context of quality of life by using the disability-adjusted life year (DALY) method, results of surveys of experts and the Latvian population and the statistical analysis of the sector's socio-economic indicators;
- 4) To develop recommendations for the improvement of the oncology system development to ensure the implementation of an oncologic disease control programme in Latvia.

**Research hypothesis:** Several socio-economic factors are causing significant damage to individuals and the society in Latvia as a whole as a result of disability-adjusted life years (DALY), thus creating DALY volume and structural differences among the European regions.

**The Doctoral Thesis information base and methods used:**

The legal and institutional framework of the research is based on Latvian laws and regulations, Latvian healthcare sector's and oncology system's planning and internal documents, as well as a set of methodological guidelines, instructions and materials, information of the Republic of Latvia Ministry of Health, the Health Inspectorate (including their predecessors – the Centre of Health Economics and the Health Payment Centre) and the Centre for Disease Prevention and Control (which has partially taken over the functions of the reorganised National Health Service) and other documents. The research information base consists of the Public Health Agency's Latvian health and healthcare indicators database (DPS), Latvian Cancer Registry data, GloboCan, European health for all (HFA-DB) World health statistics databases, European School of Oncology (ESO), European Cancer Organization (ECCO), International Union

Against Cancer (UICC), World Health Organization, OECD Health Data and International Medical Services (IMS) data, as well as studies and reports of international health organisations such as the European Health Report, The World Health Report, Health at a Glance, Euro Health Consumer Index Report, World Health Statistics Report.

In order to provide a conceptual analysis of the Latvian oncology system, the Thesis uses not only secondary data (previously conducted research data analysis, summary statistical data and document analysis), but also primary data (surveys of experts and population), which allowed to form a wider view on the research objectives and describe the situation as a whole and in-depth by analysing both the administrative, economic and social aspects of the sector.

The following methods were used in the theoretical and methodological parts of the paper:

- 1) The monographic method, which allows for the use of existing scientific knowledge and theories and an objective interpretation of data and information obtained during the author's research;
- 2) The abstract logical method was used by compiling, systematising, synthesising and analysing the performance indicators, general condition, development opportunities and challenges of the healthcare sector and the oncology system;
- 3) The system analysis method, to form a systemic view of the sector's socio-economic functioning characteristics.

Methods used in the development of the practical part:

- 4) The document analysis method was used for the evaluation and interpretation of regulations and planning documents of the sector and the oncology system;
- 5) Methods of statistical analysis were used for the collection and grouping of information, calculation of indicators, determining the relationship between individual characteristics, formation of dynamics rows, determination of proportional and percentage relationships between various indicators of the object, and for the identification of statistical data and their collection in a standard form, and for the comparative analysis of this data;
- 6) The graphical method was used to visualise data used in the paper and to graphically visualise the correlations;
- 7) The expert survey method was used to clarify the hypothesis and to study and supplement the interpretation of the socio-economic processes of the oncology system;
- 8) The survey method was used for the acquisition of primary data regarding problems of the oncology system in the view of the population.

Processing of data and calculations were performed with the help of computer applications MS Excel and SPSS. The descriptive research method was used to describe the knowledge acquired during the theoretical and empirical research.

The choice of the topic is based on the author's many years of professional experience in the field, as well as the dangers and widespread prevalence of oncologic diseases in Latvia.



**The scientific novelty of the thesis:**

- 1) The Thesis is dedicated to a new trend in science – healthcare economics, which has not been studied in-depth in Latvia, emphasising the oncology system as one of the healthcare sub-sectors.
- 2) For the first time in the history of Latvian science, the economic basis for the oncology system has been studied based on the internationally recognised disability-adjusted life years (DALY) method.
- 3) Development solutions for the oncology system were offered based on the current data analysis and economic interpretation, as well as the author's own extensive practical experience.

**Practical application in the national economy:**

- 1) The research results have made it possible to assess the situation in the Latvian oncology system. Recommendations were developed which might contribute to the development of the system and the understanding of its participants of the current processes, as well as contribute to a successful operation of the national oncologic disease control programme in Latvia.
- 2) The research results and recommendations developed may be used for updating and improving the oncology system's strategy, developing recommendations and creating an analytical basis for taking well-grounded and effective decisions in the sector. The research findings can be used in further research in the fields of healthcare economics, management and policy, as well as in the process of improving medical institutions and the oncology system.
- 3) The research results can be used to deepen the knowledge of functioning theoretical approaches of healthcare economics and the healthcare economic elements in the Latvian healthcare sector, which is important to healthcare specialists, especially to managers of different levels.

The structure of the Thesis is built according to the research goals and objectives defined by the study logic. The Thesis consists of an introduction, three main chapters, a conclusion, a bibliographic list and annexes. The first chapter of the Thesis analyses the healthcare sector's socio-economic functioning regularities and theoretical approaches to its assessment, as well as describes the reasoning for the importance of the health component in the concept of quality of life. Based on the study of theoretical and empirical sources, the author explains the importance of health as a component of well-being and quality of life. This chapter also identifies methods for assessing the healthcare sector's socio-economic functioning. The second chapter of the Thesis analyses the Latvian healthcare sector and oncology system's performance indicators in the context EU countries and highlights the problems and challenges of the Latvian oncology system based on an in-depth statistical analysis of the industry data. In the third chapter of the Thesis, the development opportunities and prospects of the oncology system have been evaluated, and the system challenges have been highlighted by analysing expert assessment results included in the survey, results of the population survey and data analysis performed previously. An in-depth socio-economic assessment of the oncology system has been performed based on the DALY method. The conclusion formulates the theoretical and empirical findings and conclusions of the Thesis, high-

lights development prospects of the researched industry and provides practical recommendations and suggestions that focus on improving the performance indicators of the oncology system contributing to improved quality of life of oncology patients.

**Abstracts to be defended:**

- 1) Economic research of the healthcare sector today is methodologically based on the evaluation of the quality of life of patients and the society as a whole.
- 2) Poor healthcare sector and oncology system performance indicators largely depend on early diagnosis opportunities and the system's socio-economic operating conditions.
- 3) The loss of DALY resulting from oncologic diseases in Europe and Latvia is significant; it prevents the full use of the economic potential of labour force and is associated with a number of general and specific socio-economic factors: lack of information, lack of resources both in households and the healthcare sector as a whole, neglecting one's health and the lack of motivation in patients.

**Main conclusions:**

- 1) Health of inhabitants (not less than GDP, investments' volume, capacity of army etc.) is one of the main criteria of a state's well-being and quality of life. That is why healthcare sector is strategic one in Latvian economy. Taking into consideration actual demographic tendencies (especially the ageing of population), healthcare sector requires more intensive state financial support, sometimes even at the expense of other sectors of Latvian economy – for instance, at military sector's cost.
- 2) Healthcare economics offers the methodology of socio-economic assessment of the healthcare sector. Healthcare economics is relatively new subunit in the economics, however there are some economists in Latvia who realize economical analysis of the healthcare sector in different contexts, but nobody till now has been studied the functioning of the oncology system based on the theories and conceptions of healthcare economics, perceiving health and life of oncological patients as economic category.
- 3) Studies of the development of the interdisciplinary concept of quality of life have proven that the assessment of the healthcare sector and its subsystems must be comprehensive, taking into account not just the results of clinical efficacy, but also the socio-economic efficiency of healthcare services which can be measured with the following methods:
  - cost of illness analysis, CA;
  - cost-effectiveness analysis, CEA;
  - cost minimization analysis, CMA;
  - cost-benefit analysis, CBA;
  - cost-utility analysis, CUA.
- 4) The healthcare sector's economic importance has been recognised both in the EU strategic documents (Europe 2020, the Tallinn Charter) and Latvian planning documents (e.g. Public Health Guidelines, Latvian National Development Plan 2007–2013, National Development Plan 2014–2020). However, the poor industry indicators (average life expectancy and healthy life expectancy, healthcare con-

- sumer index, quantity of disability-adjusted life years (DALY)) also confirm the quality of life challenges in the field of healthcare, including oncology.
- 5) By studying the DALY method comprehensively, it was found that this method can be used to evaluate the integral burden of disease in separate healthcare subsystems (including also oncology system) and the sector as a whole, taking into account the burden on the economy created by mortality and the loss of working ability (including disability). The total number of DALY as a result of premature death and illness determines the differences in health condition between oncology patient population and the “perfectly healthy” population.
  - 6) The public health indicators in Latvia continue to decline and they are among the worst in the EU. Healthcare is not directed at ensuring the quality of life and promoting the survival of patients. In the EU, in 2010, the average life expectancy at birth was 80.2 years, in Latvia – 73.8 years, which is the second lowest in the EU after Lithuania. The remaining life span of Latvian population after reaching 65 years of age is one of the lowest in the EU.
  - 7) The indicator of healthy life expectancy is used to compare the burden of disease and its changes over time among various countries. In Latvia, healthy life expectancy is 53.5 years, which indicates that there is a relatively large period of life spent with health issues of different type and degree. Looking at the figures, it can be concluded that changes in life expectancy in Latvia are increasingly affected by the health condition and viability of the working-age population.
  - 8) Malignant tumours in Latvia are the second most common cause of death after heart and circulatory system diseases. In 2012, 3340 people out of 100000 were sick with cancer and an average of 295.7 people died. In 2012, more than 11.5 thousand new cases of cancer were registered and there were in total 68138 oncology patients in Latvia. About 50% of all the patients were of active working age. Over the last decade, no significant improvements have been achieved to reduce the population mortality rate, including diseases that could be detected early and treated.
  - 9) A study conducted by Latvian Public Health Agency shows that 98.6 thousand potential life years were lost in 2012 due to deaths of Latvian residents below 64 years of age. Future losses to the state can be measured as 304 million lats. By contrast, the losses due to mortality caused by oncology diseases in Latvia were 2098 years, of which 918 years were in women, causing losses to the state in the amount of 6.2 and 2.7 million lats respectively.
  - 10) An important healthcare quality and efficiency indicator is its accessibility to people (both the financial, territorial and specialist accessibility). There is inequality in the health industry in Latvia due to socio-economic factors, as evidenced by the different health indicators of various people groups. The EHCI index shows that the accessibility of services in Latvia is low. The accessibility of general practitioners and oncologic therapy waiting times are worse. Meanwhile, one of the reasons for late detection of oncologic diseases is the insufficient accessibility of healthcare services.
  - 11) The Latvian healthcare budget in 2012 was 466.4 million lats or approximately 9.6% of the total state budget and 3.1% of GDP. Treatment costs of oncology

patients are covered by the state. However, there are many more patients than the treatment budget. Another significant challenge for Latvia is that there are many patients with advanced stages of disease who require cost-intensive treatment. Insufficient and poorly structured funding significantly worsens the situation in the healthcare sector and this reduces the opportunities for people to use healthcare services in a quality and accessible way.

- 12) Latvia is among the countries with the highest patient co-payments in Europe. Additionally, the co-payments are not in proportion to the person's income, which significantly limits the accessibility of healthcare services for low-income people groups (Transforming...2004). In 2009–2010, Latvia ranked 3rd after Bulgaria and Greece, in terms of the share of private payments in healthcare, which accounted for 36.1%. This is a critically high figure, especially considering the low income level and poor paying ability of the Latvian population.
- 13) The author's analysis shows a direct link between the life expectancy of the population and healthcare costs. Latvia, along with Lithuania, are in the group of EU countries where people's life expectancy and healthcare costs are at a lower level, while in the majority of EU countries with high income levels both these indicators are higher. In Latvia, total expenditure and state healthcare expenditure per person is the third lowest in the European Union.
- 14) During the year, an average of 14 million cases of oncologic disease was diagnosed in the world. Increase in the number of cancer patients is also due to an increase in the total population of the world, as well as increased life expectancy. Despite the progress in the field of medical technology and pharmaceuticals, morbidity and mortality due to malignant tumours constitutes a significant public health problem, and it is associated with substantial healthcare costs (diagnostics, treatment, palliative care, rehabilitation).
- 15) Each year approximately 275 thousand women develop breast cancer and each year 88 thousand women die from breast cancer. In the EU countries, breast cancer is the leading cause of death in women between ages 35 and 59. In 2009, standardised breast cancer mortality rate in the EU-27 countries accounted for an average of 23.1 deaths per 100000 people.
- 16) In Latvia, breast cancer is the most common newly-registered cancer diagnosis in women (1097 new cases of disease registered in 2012). In Latvia, the incidence of breast cancer is increasing both in absolute numbers and per 100000 residents. In 2012, 54.1 people out of 100000 residents were ill with breast cancer, whereas in 30.1% cases these were working-age women (15–59 years). This is due to the low quality of care and limited access to diagnostic services. Mortality from breast cancer is also due to the fact that malignant tumours are often diagnosed in the last stages (stage 3–4). A negative aspect in Latvia is the fact that survival rates in patients with breast cancer have not improved. In relation to malignant tumours with high morbidity and mortality rates, it has been shown that adequate population screening may ensure timely diagnosis and significantly reduce mortality.
- 17) In Europe, 2511091 potential life years are lost due to breast cancer, in Latvia – 11135, in Lithuania – 15778, and in Estonia – 6177, which represents approximately 26.5% of the total DALY indicator in Latvia for oncologic diseases. It

was also found that in Latvia and Lithuania, in comparison with other EU countries, greater loss of potential life years was associated with cases of premature death – 8679 and 12354 years respectively. Thus, by ensuring timely diagnosis and high-quality, affordable treatment, the mortality rates can be significantly reduced, thereby improving patient survival, quality of life and reducing the loss of DALY in general.

- 18) The author's empirical research data processing and interpretation showed that 36.7% respondents noted that they had not received any information on breast cancer. Besides, the majority of respondents had received information from the mass media rather than the oncology system or the general practitioners' network. Similarly, the experts pointed out that there is a communication problem between the agents involved in the sector, and one of the most important challenges in the industry is people's own negligence toward their health.

#### **Problems and proposals for their solutions:**

**1st problem:** In Latvia, socio-economic consequences of the disease burden are not assessed comprehensively or taken into account in public policy planning and implementation.

#### **Proposals for solutions:**

- 1) Healthcare researchers should carry out regular system inspections and data collection and analysis in order to obtain comparable information on health and the healthcare sectors in the EU, ensure the exchange of best practices in the field of healthcare on the European level, as well as ensure that this information is distributed to the public.
- 2) The Ministry of Health, the National Health Service, in cooperation with the Ministry of Economy, and/or research institutions should perform timely and regular monitoring of the socio-economic indicators of the healthcare sector and separate sub-sectors, as well as perform an assessment of the impact on the economy by using the DALY method, based on a uniform internationally comparable methodology (for example, DALY), by supplementing, adjusting and updating the existing Latvian health and healthcare indicators database (DPS) in order to ensure the collection of comparable data in the context of the EU.

**2nd problem:** Latvian population is poorly informed about the principles of operation of healthcare and the possibilities of the oncology system, as well as the economic costs associated with treatment and potential loss of working ability.

#### **Proposals for solutions:**

- 1) The Ministry of Health and its subordinate institutions should, through diverse communication networks, timely and purposefully inform potential patients and the general public both regarding the possibilities of diagnostics and treatment of oncologic diseases and their treatment options, and their impact on the quality of life and preservation of working ability, by promoting the importance of preventive measures (for example, information campaign "your health, your responsibility"). This will, in turn, improve the communication between the parties of the sector and improve the accessibility of information, as well as public awareness about their health as a value and the need to look after it.

- 2) The Ministry of Health should facilitate a greater involvement of the institute of general practitioners in solving problems of the oncology system, particularly in the area of diagnostics and prevention, including by encouraging general practitioners to actively inform their patients about the diagnostic options of oncologic diseases and treatment options, as well as promote awareness of self-examination techniques and early signs of disease.
- 3) The Ministry of Health should develop and implement common guidelines for the functioning of the oncology system, which should clearly define the actions to be taken by diagnosing and prescribing palliative care for oncologic patients, indicating the range of responsibilities, functions and actions of all system participants (oncologists, gynaecologists, general practitioners and patients) during the process. This will ensure timely diagnostics and treatment of oncologic diseases, as well as information about health hazards and the importance of preventive examinations for early diagnostics of malignant tumours, which will lead to reduced lethality and disability rates.
- 4) Ministries of Health and Welfare, in cooperation with the Ministry of Education and Science should promote the cooperation between the state, NGOs, doctors and educational institutions, in order to raise public awareness of health as a value and ensure education of the public, including ensuring mandatory integration of the issues of cancer prevention and early diagnostics possibilities in training courses of all educational levels (e.g. within the health education subject), by also including the information on modern cancer diagnostic and treatment methods, so that from an early age people would be better informed and involved in the preservation and promotion of their health (including engaging in physical activity and consuming a healthy diet). Provide diverse information about the benefits of involvement in screening programmes and the necessity of early diagnosis of tumours by establishing comprehensive informative and educational measures and at the same time developing accessibility of the necessary diagnostic services.

**3rd problem:** The performance indicators of the Latvian healthcare sector and oncology system among the EU countries are relatively low, oncologic diseases (particularly breast cancer) are detected in advanced stages (stage 3–4), resulting in significantly greater loss of DALY for individuals and society as a whole.

**Proposals for solutions:**

- 1) The Ministry of Health should optimise the healthcare sector and palliative care options in particular by ensuring the accessibility of specialists and extending the functions of general practitioners in order to improve the accessibility of care components for oncologic patients, including the opportunity to perform diagnostic procedures, chemotherapy and dynamic observation closer to the patient's place of residence, at local multi-profile hospitals and day clinics, thereby reducing the loss of DALY at the expense of YLD (years of life lived with a partial or complete loss of working ability).
- 2) The Ministry of Health should improve the accessibility of the oncology system and facilitate a faster commencement of treatment by making it possible to detect cancer in the early stages while visiting a general practitioner or undergoing mam-

mographic examination in a timely manner, including the involvement of the institute of family practitioners, creating an oncology system of comprehensive prevention, diagnostics and treatment based on common guidelines which are expected to reduce the share of disease detected in advanced stages and reduce the mortality rate from oncologic disease, thereby improving DALY and average life expectancy figures, as well as individual components of the ECHI index. Review and improve the preventive health screening programmes to ensure that they are implemented according to available funding and the needs of the population.

- 3) Find possibilities to increase funding for reimbursable medicines for oncologic patients with the aim of ensuring a wider use of innovative medicines in the treatment of oncologic disease, thereby providing better quality treatment, and increasing patient survival rates and quality of life.
- 4) The Ministry of Health should improve the oncology system's funding mechanisms by increasing public aid to the sector and changing priorities of resource distribution in favour of supporting preventive and diagnostic measures, as advanced stages of disease require cost-intensive treatment. Also, improve the affordability of healthcare and oncology system services by gradually reducing the share of private co-payments in the sector and developing alternative sources of financing: by expanding public funding and involving insurance funds.

(1) According to methodology of regional economics, countries can be defined as regions (Boroņenko 2009)

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