Great Britain Journals Press

Print ISSN: 2515-5784
Online ISSN: 2515-5792
DOI: 10.17406/LJRHSS

London Journal of Humanities and Social Science

Volume 26 | Issue 4 | Compilation 1.0

IN THIS ISSUE

COMPILED IN UNITED KINGDOM

MULTILINGUAL

GREAT BRITAIN JOURNALS PRESS

London Journal of Humanities and Social Science

General Catalogue

Volume 26 Issue 4 2026

EDITION

Digital Journal

Released digital issue assembled for the public journal archive.

REGISTER

LJRHSS / 26.4

Compiled issue register prepared by Great Britain Journals Press.

PUBLICATION DOSSIER

LJRHSS - Section

Humanities and social science register for archival, interpretive, and interdisciplinary scholarship.

PUBLISHER

Great Britain Journals Press
United States

ISSUE RECORD

LJRHSS Volume 26 Issue 4

CIRCULATION BASIS

This compiled issue file is distributed for archive, cataloguing, review, and citation continuity. Individual article records retain their own article-level rights and metadata.

Oversight and Review Route

Editorial review in LJRHSS weighs source fidelity, conceptual framing, historiographic or theoretical positioning, and the readability of quotations, notes, and translated material.

PRIMARY ROUTE

Editorial Office, Great Britain Journals Press
journalspress.com

For the current handling chain, consult the issue registry and journal management records.

Issue Prospectus

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Issued on behalf of Great Britain Journals Press.

Issue Register

Great Britain Journals Press

London Journal of Humanities and Social Science
General Section

Article Record

Beyond Q1 Mandates: Metrics, Peer Review, and the Political Economy of Doctoral Research Certification

RESEARCH FINGERPRINT

IDENTIFIER
LJRHSS-226361

PEER REVIEW
Double Blind

SIMILARITY CHECK
Perplexity AI and iThenticate

ACCESS
Open Access

LANGUAGE
English

PRINT ISSN
2515-5784

ONLINE ISSN
2515-5792

EDITION

ABBREVIATION
LJRHSS

VOLUME
26

ISSUE
4

YEAR
2026

KEY DATES

RECEIVED
2026-03-17

ACCEPTED
2026-03-23

ONLINE PUBLISHED
2026-05-25

PUBLISHED
2026-06-26

CATALOGING

CROSSMARK DOI
10.34257/LJRHSS226361UK

LCC CLASS
LB2369, LC67, Z286

CORRESPONDENCE

AUTHORS & AFFILIATIONS

Dr. Thanakit Ouanhlee ¶*

¶ Thipsamai Research Institute, California Intercontinental University, United States

ABSTRACT

This article critically examines the growing institutional requirement that doctoral and postdoctoral researchers publish their work in Q1-ranked academic journals as a condition of degree completion or academic advancement. Drawing on the philosophy of science, the sociology of knowledge, higher education policy, and the political economy of publishing, the article interrogates three interconnected problems. First, it analyses the institutional logic by which universities have progressively outsourced their own research quality-assurance function to commercially operated journal-ranking systems, tracing this shift to the metrics-based accountability frameworks that emerged globally from the 1980s onward. Second, it challenges the epistemological assumptions underpinning the Q1 certification model, arguing that quartile rankings measure citation-based institutional prestige rather...

Full abstract continues on the metadata continuation sheet.

Index Terms: academic publishing • article processing charges • bibliometric governance • doctoral education policy • epistemic authority • global academic inequality • journal quartiles • new public management • peer review epistemology • research evaluation systems

FUNDING
This research received no external funding

CONFLICTS
The author declares no conflicts of interest. No financial or personal relationships exist that...

AI USAGE
No generative AI was used for analysis or results.

HOW TO CITE
Ouanhlee (2026). Beyond Q1 Mandates: Metrics, Peer Review, and the Political Economy of Doctoral Research Certification. London Journal of Humanities and Social Science, 26(4), 1-16. DOI: 10.34257/LJRHSS226361UK

ACCESS ONLINE

METADATA CONTINUATION

AUTHOR CONTACT QR LEDGER

Dr. Thanakit Ouanhlee¶*

FULL CONFLICT OF INTEREST STATEMENT

The author declares no conflicts of interest. No financial or personal relationships exist that could have influenced the design, conduct, or reporting of this study.

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ARCHIVAL RECORD

LJRHSS · Vol 26 · Issue 4 · 2026

Article ID LJRHSS-226361 · DOI 10.34257/LJRHSS226361UK

Print ISSN 2515-5784 · Online ISSN 2515-5792

 CROSSREF DOI 10.34257/LJRHSS226361UK

RESEARCH ARTICLE

Beyond Q1 Mandates: Metrics, Peer Review, and the Political Economy of Doctoral Research Certification

Dr. Thanakit Ouanhlee¶*

AFFILIATIONS

¶ Thipsamai Research Institute, California Intercontinental University, United States

Abstract

This article critically examines the growing institutional requirement that doctoral and postdoctoral researchers publish their work in Q1-ranked academic journals as a condition of degree completion or academic advancement. Drawing on the philosophy of science, the sociology of knowledge, higher education policy, and the political economy of publishing, the article interrogates three interconnected problems. First, it analyses the institutional logic by which universities have progressively outsourced their own research quality-assurance function to commercially operated journal-ranking systems, tracing this shift to the metrics-based accountability frameworks that emerged globally from the 1980s onward. Second, it challenges the epistemological assumptions underpinning the Q1 certification model, arguing that quartile rankings measure citation-based institutional prestige rather than intrinsic research quality, and that the peer review process, despite its indispensable role, is systemically constrained by reviewer knowledge limitations, availability pressures, and the inherent knowledge asymmetry between specialist researchers and generalist reviewers. Third, it analyses the structural distortion introduced by Article Processing Charges (APCs), which systematically disadvantage researchers from emerging economies and the Global South, thereby embedding financial access as a proxy for research quality within the Q1 corpus. The article develops three original analytical contributions not previously synthesized in the literature: first, a hypothetical comparison between a university-enrolled doctoral candidate and a self-taught independent researcher who achieves the same Q1 publication without institutional enrolment — used as an illustrative sample case to expose the logical contradiction of simultaneously treating Q1 publication as a definitive quality benchmark while requiring institutional enrolment to achieve it; second, a university-as-brand-certifier analogy, which demonstrates that universities outsource their operative quality determination to commercial peer reviewers while affixing their own institutional credential to the outcome; and third, a logical extension argument showing that a Q1 journal publisher offering basic research training could, by the university's own stated criteria, function as a de facto doctoral credential institution — demanding that universities rebuild a substantive, non-commercial account of what doctoral education distinctively provides. The article concludes by proposing an alternative, pluralistic model of research quality certification that restores meaningful institutional responsibility to universities while preserving the independent verification function that external review provides. Policy implications for universities in emerging economies, with particular reference to Thailand and Southeast Asia, are discussed

Keywords: *academic publishing, article processing charges, bibliometric governance, doctoral education policy, epistemic authority, global academic inequality, journal quartiles, new public management, peer review epistemology, research evaluation systems, research quality certification*

Correspondence: Dr. Thanakit Ouanhlee

1 Introduction

The contemporary research university operates within a paradox. On one hand, it claims institutional authority as a producer and certifier of knowledge, conferring doctoral degrees that represent the highest credential in its epistemological hierarchy. On the other hand, it has progressively oriented its quality determination practices around externally operated, commercially driven journal ranking systems - most notably, the Q1 quartile designation derived from Scimago Journal Rankings (SJR), Scopus, and the Journal Citation Reports (JCR) produced by Clarivate Analytics via Web of Science - to the point where institutional and commercial judgments have become difficult to disentangle.

This alignment between institutional practice and commercial ranking systems is not incidental or temporary. It has become structurally embedded in doctoral programme requirements, faculty promotion criteria, institutional research evaluation frameworks, and national research funding allocation mechanisms worldwide (Jayasundara, 2021; McKiernan et al., 2019). Scholars working within the tradition of audit culture critique - notably in the sense developed by Power (1997) and extended to academic contexts by Shore and Wright (1999) - have documented how metric-based accountability mechanisms progressively reshape institutional behaviour, often supplanting substantive professional judgment with quantified proxies that are more administratively tractable than epistemologically defensible.

The Q1 label, denoting that a journal falls within the top 25 per cent of its subject category by impact factor or citation-weighted index, has acquired considerable normative authority in academic life that its architects almost certainly never intended - though the degree of this reliance varies meaningfully across disciplines, where citation cultures differ, and across national systems, where research assessment frameworks are structured differently. Doctoral programmes increasingly advise and, in many institutional contexts, formally require doctoral students to secure a Q1 publication as evidence that their research meets an international standard. University promotion committees treat Q1 publications as the primary currency of academic merit. National research assessment exercises, from the Research Excellence Framework (REF) in the United Kingdom (Bonnell, 2016) to the Performance-Based Research Fund (PBRF) in New Zealand (Anderson et al., 2013) and the research assessment systems operating in Thailand (Rhein & Nanni, 2023), incorporate journal ranking metrics, however indirectly, into their evaluations.

This article contends that this situation deserves sustained critical scrutiny on three distinct but interrelated grounds. The first concerns institutional authority: why have universities increasingly aligned their quality certification practices with commercial publishers, and what does this alignment imply for the integrity of doctoral education? The second concerns epistemology: does the Q1 label accurately reflect research quality, and does the peer review process through which articles earn that label reliably identify the best scholarship in any given field? The third concerns equity: do the financial structures of contemporary academic publishing, particularly the Article Processing Charge (APC) model that dominates Q1 open-access venues, systematically distort the quality signal that Q1 is supposed to transmit, by making publication access contingent on institutional wealth rather than research merit?

These questions are not merely academic. They have material consequences for doctoral students who invest years in original research, only to find that its formal recognition depends on a commercial gatekeeping system of questionable reliability. They have consequences for universities in the Global South (including Thailand, where this article is partly situated), whose researchers face the same publication fees as colleagues at Harvard or Oxford but with a fraction of the institutional financial support. Furthermore, they affect the broader epistemic ecosystem of scholarship. The Q1 canon increasingly shapes which problems researchers study, which methodologies they value, and whose voices they hear.

2 Literature Review

2.1 The Historical Development of Journal Rankings

The emergence of journal impact factors as a measure of scholarly prestige can be traced to the work of Eugene Garfield, whose citation index - developed at the Institute for Scientific Information (ISI) in the 1960s - was originally designed as a bibliographic retrieval tool rather than a quality evaluation instrument (Garfield, 1972). The journal impact factor (JIF), a metric that measures the average number of citations per article published in a journal over two years, was never intended by Garfield himself to serve as a proxy for individual article quality. Indeed, Garfield explicitly cautioned against such applications (Garfield, 2006). The distinction between original intent and subsequent misuse is well documented in the bibliometrics literature. What has received less analytical attention, however, is the question of institutional agency: universities did not merely inherit a distorted tool - they actively embedded it into their governance structures, thereby becoming complicit in institutionalising precisely the misuse Garfield had cautioned against. It is this institutional complicity, rather than the metric distortion itself, that constitutes the central problem this article examines.

From the 1980s onward, as new public management philosophies demanded quantifiable outputs from publicly funded universities, the impact factor was progressively repurposed into exactly the evaluative role its creator had warned against. The Scimago Journal Rankings (SJR), introduced in 2007 by the SCImago Research Group - a consortium of researchers affiliated with the University of Granada and several other Spanish universities operating under the Consejo Superior de Investigaciones Científicas (CSIC) - represented a significant methodological development in bibliometric evaluation (González-Pereira et al., 2010; Mueen Ahmed, 2011). Developed using citation data drawn from the Scopus database, SJR departed from the simple citation-counting model of the JIF by incorporating a PageRank-style algorithm that weights citations differently depending on the prestige of the citing journal (Mueen Ahmed, 2011). The system introduced a quartile classification scheme dividing all journals within a given subject category into four equal-ranked groups, with Q1 designating the top 25 per cent by citation-weighted prestige score (Velásquez & Tocuyo, 2021). What is analytically significant is not merely this technical design, but the speed and uncritical enthusiasm with which universities incorporated Q1 status into hiring criteria, promotion requirements, and doctoral programme regulations - a process that Hicks et al. (2015) describe in the Leiden Manifesto as the transformation of bibliometric indicators from analytical tools into governing instruments. Each step of that institutional adoption represented a further transfer of epistemic authority from the university to the commercial ranking apparatus.

The consequences of this transformation have been extensively documented. The San Francisco Declaration on Research Assessment (DORA), launched in 2012 and now signed by over 20,000 researchers and institutions, explicitly called for the cessation of journal-level metrics as proxies for individual article or researcher quality (DORA, 2024). The Leiden Manifesto similarly argued that the misuse of quantitative indicators has distorted academic incentive structures, rewarding metric optimisation over genuine scholarly contribution (Hicks et al., 2015). Despite these critiques, publication requirements in the Q1 have become stricter in many institutional contexts, particularly in Southeast Asia, the Middle East, and Eastern Europe, where national research policies have embraced bibliometric targets with particular enthusiasm. The persistence of these requirements in the face of sustained critique is itself revealing: it suggests that universities derive administrative and reputational benefits from Q1 alignment that they are unwilling to surrender, regardless of its epistemic costs.

The SJR system's claim to objectivity, however, is considerably more contested than its administrative convenience implies. Three specific limitations deserve attention in this critical review. First, quartile distributions are structurally imbalanced across subject fields: recent research by Kosyakov and Pislyakov (2024) demonstrates that some research areas lack Q1-designated journals entirely, meaning that researchers in those fields are effectively excluded from the Q1 benchmark regardless of the quality of their work - a structural inequity that undermines any claim to universal applicability. Second, there is an important technical inconsistency within Scopus-based metrics that is rarely acknowledged in institutional policy discussions: as Mzhelsky (2023) documents, SJR quartiles and official Scopus quartiles are not equivalent, because official Scopus quartiles are calculated using CiteScore rather than the PageRank-style SJR algorithm, yet institutional policies rarely specify which quartile system they are applying, introducing an ambiguity that further undermines the system's claimed precision. Third, as Hicks et al. (2015) caution, the quartile system necessarily oversimplifies journals whose citation environments, disciplinary norms, and publication cultures differ substantially from the natural sciences context in which impact-factor thinking originated. Taken together, these limitations do not merely constitute technical imperfections in an otherwise sound system; they expose the foundational incoherence of using a commercially constructed, disciplinarily uneven, and internally inconsistent metric as the primary arbiter of doctoral research quality.

2.2 Peer Review: Functions, Limitations, and Critiques

Peer review, in which independent experts evaluate submitted manuscripts before publication, occupies a foundational role in the legitimacy structure of academic publishing. Its origins can be traced to the seventeenth century, when the Philosophical Transactions of the Royal Society began soliciting evaluations of submitted communications from its fellows (Kronick, 1990). The contemporary double-blind peer review model, in which neither author nor reviewer knows the other's identity, became the standard practice in most scientific fields only in the mid-twentieth century (Burnham, 1990). Understanding the limitations of this process is essential to the present argument, because the Q1 quality claim rests directly upon the reliability of peer review as its operative mechanism. If the mechanism is structurally impaired, the quality signal it generates cannot bear the institutional weight universities place upon it.

The theoretical justification for peer review rests on two claims: that independent expert evaluation filters out errors, methodological weaknesses, and unsupported conclusions before they enter the scholarly record; and that this filtering process, aggregated across many journals and many reviews, produces a corpus of published literature that represents the most rigorously validated knowledge available in any field. Both claims have been subjected to sustained empirical scrutiny, with results that are considerably less reassuring than peer review's institutional prestige might suggest.

Studies examining the reliability of peer review have found it to be highly variable. Peters and Ceci (1982) conducted a landmark study in which they resubmitted previously published articles, originally accepted by prestigious psychology journals, with minor modifications and fictitious author names; the same journals that had originally accepted them later rejected most of the articles, largely on methodological grounds. Mahoney (1977) found significant reviewer bias based on whether submitted results confirmed or disconfirmed the reviewer's prior theoretical commitments. More recently, meta-analyses of peer review consistency have found inter-reviewer agreement rates only modestly above chance levels across many disciplines (Bornmann et al., 2010). These findings collectively suggest that peer review functions less as a stable quality filter and more as a variable social process whose outcomes reflect the normative conventions of a discipline, the availability of appropriately matched reviewers, and the particular moment in which a submission is evaluated - a characterisation that carries direct implications for the reliability of the Q1 label as a quality certification instrument.

The limitations of peer review are compounded by what might be termed the knowledge asymmetry problem - the condition in which a researcher who has spent three to five years developing deep expertise in a narrow domain may genuinely possess more detailed knowledge about their specific research question than any available reviewer can claim. This limitation is particularly acute in interdisciplinary, emerging, or highly specialised fields, where the pool of genuinely expert reviewers is small, and journals must rely on reviewers whose expertise only partially overlaps with the submitted work. As Csiszar (2016) observes, peer review functions less as an expert-quality filter and more as a social credentialing process - one whose outputs reflect the normative conventions of a discipline as much as the intrinsic quality of individual contributions. The institutional consequence is significant: when universities require Q1 publication as a doctoral quality standard, they are not requiring engagement with a transparent, stable, or expert-validated criterion; they are requiring participation in a commercially mediated social process whose reliability the empirical literature consistently questions.

2.3 The Political Economy of Academic Publishing

The commercial structure of academic publishing represents one of the most studied and least reformed features of the contemporary knowledge economy. Four major publishers - Elsevier, Springer Nature, Wiley, and Taylor and Francis - account for approximately half of all academic journal articles published globally (Larivière et al., 2015). These publishers generate operating profit margins that consistently exceed those of technology companies, pharmaceutical firms, and consumer goods corporations - Elsevier's reported margins have ranged between 30 and 40 per cent in recent years - in a business model that depends entirely on labour provided free of charge: researchers submit manuscripts without payment, peer reviewers evaluate manuscripts without payment, and editorial boards manage the process without payment, while publishers collect subscription fees or APCs from the same universities whose researchers provided the content (Buranyi, 2025). The relevance of this commercial architecture to the present argument is direct: universities that require Q1 publication as a doctoral credential are, in effect, requiring their students to satisfy the gatekeeping criteria of a profit-maximising commercial sector whose financial interests are not aligned with, and may actively conflict with, the epistemic interests of scholarship.

The transition toward open access publishing, which might have disrupted this model, has largely been absorbed by established publishers through the APC mechanism. Rather than charging readers to access content, APC-based open access journals charge authors to publish. In Q1 journals operated by major publishers, APCs typically range from USD 2,000 to over USD 5,000 per article, with some prestigious journals charging considerably more. The financial burden this places on researchers from institutions with limited funding - including the vast majority of researchers in Thailand, the Philippines, Indonesia, Vietnam, and other Southeast Asian economies - is substantial.

Unpaywall data and analyses by Kwon (2022) and Zhang et al. (2022) confirmed that APC costs are strongly correlated with institutional wealth, and that researchers from low- and middle-income countries are underrepresented in APC-dependent open access journals even after the removal of formal barriers to access. Mekonnen et al. (2021) document the specific disincentives facing African researchers, noting that open-access publication fees in leading journals can amount to approximately half a year's salary for scholars in many African countries, causing many to abandon intended Q1 submissions entirely. The structural implication is not merely one of access inequality but of epistemic distortion: when financial capacity functions as a de facto quality filter within the Q1 corpus, the corpus itself no longer reflects research merit but rather the distribution of institutional wealth. Universities that adopt Q1 requirements without acknowledging this distortion, however, are unwittingly constructing quality certification regimes whose foundations are partly financial rather than purely scholarly.

3 Theoretical Framework

3.1 Mertonian Norms and Their Institutional Corruption

Robert K. Merton's canonical analysis of the normative structure of science identified four institutional imperatives that characterise the scientific community at its ideal: universalism (the evaluation of knowledge claims by impersonal, pre-established criteria irrespective of the claimant's personal attributes); communalism (the shared ownership of scientific findings as a common heritage); disinterestedness (the subordination of personal gain to the advancement of knowledge); and organised scepticism (the systematic scrutiny of all claims before their acceptance into the body of scientific knowledge) (Macfarlane & Cheng, 2008; Merton, 1973).

Before deploying these norms analytically, it is necessary to acknowledge the substantial critiques to which Merton's framework has been subjected. Mulkay (1976) argued that norms describe an idealised ethos rather than scientists' observed behaviour, and that counter-norms (particularism, secrecy, self-interest, and organised dogmatism) are equally present in scientific practice. Mitroff (1974), in his study of Apollo lunar scientists, documented the prevalence of what he termed counter-norms, finding that committed partisanship and resistance to disconfirming evidence were common among elite researchers. More broadly, the sociology of scientific knowledge (SSK) tradition, as developed by Carrier and Bloor (1977) and others, challenged the Mertonian assumption that scientific norms reliably produce objective knowledge, arguing instead that knowledge claims are socially constructed and interest-laden. These critiques are important and cannot be dismissed. Merton's framework is historically situated - articulated in the mid-twentieth-century context of Western academic science - and its application to contemporary, globally mediated, commercially mediated publishing requires explicit qualification. The framework is employed here not as an empirical description of how science actually operates, but as an analytical benchmark: a set of normative commitments that the academic community has itself endorsed as constitutive of legitimate scholarly practice. The value of the Mertonian framework for this analysis lies precisely in the gap it reveals between the normative ideals universities invoke to justify their epistemic authority and the institutional practices they have adopted in relation to commercial publishing.

The contemporary Q1 publication system departs from each of these norms in ways that require careful specification of mechanism, not merely assertion of outcome. Beginning with universalism, the distortion operates through three distinct but cumulative pathways. The first is access to publication: the APC fee structure - typically ranging from USD 2,000 to over USD 5,000 per article in Q1 open-access venues - creates a financial barrier to submission that is structurally unrelated to research quality. A researcher at a well-funded institution whose fees are covered by institutional block grants faces no such barrier; a researcher at a resource-constrained institution in Thailand, Nigeria, or Indonesia may face a cost equivalent to several months of salary. The criterion determining publication eligibility in this pathway is financial capacity rather than epistemic merit. The second pathway is differential visibility: even where researchers from lower-income contexts succeed in publishing, studies by Kwon (2022) and Zhang et al. (2022) confirm that APC-dependent journals systematically underrepresent such researchers, meaning that the Q1 corpus does not represent a universal sampling of quality research but a financially filtered one. The third pathway is downstream citation effects: research that is not published in high-visibility venues receives fewer citations, accumulates less bibliometric capital, and is less likely to inform subsequent Q1 publications - creating a self-reinforcing cycle in which the geographic and institutional concentration of Q1 publication perpetuates itself across research generations. Taken together, these three mechanisms produce a structural violation of the universalism norm that is cumulative, self-reinforcing, and institutionally legitimised by the universities that require Q1 publication as a doctoral standard.

Communalism is undermined when subscription paywalls restrict access to publicly funded research to those whose institutions can afford licensing fees, effectively enclosing a common intellectual heritage within a commercial access regime. Disinterestedness is compromised when the commercial interests of major publishers shape editorial policies, acceptance rates, and strategies for journal proliferation, creating incentive structures in which revenue maximisation and quality certification are not reliably aligned. Peer reviewers are frequently overextended, inadequately compensated, and mismatched to the specialisms of the manuscripts they assess, resulting in evaluations that fall short of the rigour implied by the label ”expert review”. Consequently, organised scepticism - one of science's core self-correcting mechanisms - is meaningfully constrained. The cumulative effect across all four norms is not a marginal deviation from an otherwise sound system, but a systematic pattern of institutional corruption in which each norm is compromised by the same underlying condition: the subordination of epistemic criteria to commercial and financial logics.

3.2 Bourdieu's Field Theory and Academic Capital

Pierre Bourdieu's analysis of the academic field provides a complementary analytical lens. For Bourdieu, the academic field is a structured space of positions defined by differential access to various forms of capital, including economic, social, and cultural capital. He further theorises a distinct category specific to academia, which he terms scientific capital, as an additional dimension shaping that field (Bourdieu, 1975; Bourdieu, 1988). Scientific capital accrues to researchers through recognition by peers and through the institutional consecration of their work - a process that, in the contemporary university, is substantially mediated by publication in prestigious venues.

The Q1 system can be understood within this framework as a mechanism for reproducing existing capital hierarchies. Researchers who begin their careers in well-funded institutions with established publication networks, mentor relationships with editors, and financial resources to cover APCs accumulate scientific capital more rapidly than equally talented researchers who lack these advantages. The Q1 label, presented as a neutral certification of quality, in practice functions as a marker of field position - reflecting not only the intrinsic value of individual contributions but the social and economic capital of their authors' institutional contexts. Bourdieu's concept of symbolic violence is relevant here: the system naturalises its own hierarchies, presenting structurally produced inequalities as the legitimate outcomes of meritocratic evaluation, thereby rendering its own arbitrariness invisible to those who operate within it.

This analysis does not deny that Q1 journals publish excellent research - they manifestly do. It argues, rather, that the excellent research they publish is systematically non-representative of all excellent research being produced, and that the Q1 label therefore provides a biased rather than comprehensive signal of research quality at the global level.

3.3 Epistemological Realism and the Intrinsic Quality Thesis

The claim that research has intrinsic quality - independent of where it is published or how it is certified - rests on a realist epistemological commitment: the view that the world has a determinate character that research can more or less accurately capture, and that methodological rigour, conceptual coherence, empirical adequacy, and theoretical contribution are real properties of research that exist independently of the social processes through which their recognition is mediated.

This position is broadly consistent with scientific realism as developed by Sharpe and Bhaskar (1976), Putnam (2010), and more recently by Chakravartty (2007), and with the critical realist philosophy of social science articulated by Archer (1995) and Sayer (2000). On this view, a research study that employs rigorous methodology, produces accurate and reproducible findings, and makes a genuine contribution to theoretical or practical knowledge possesses these qualities whether it is published in a Q1 journal, a Q3 journal, a preprint repository, or a doctoral dissertation repository. While the publishing venue influences discoverability and social recognition, both of which matter, it neither constitutes nor creates the quality that the research inherently possesses or lacks.

This epistemological position has practical implications for how universities should approach quality certification. If research quality is intrinsic to the work, then the appropriate response to quality assurance is to develop processes capable of directly evaluating that intrinsic quality, not to substitute an indirect proxy measure - quartile ranking - for the thing it is supposed to represent. The realist commitment thus provides the normative foundation for the institutional reform argument developed in the subsequent sections of this article.

4 The University-Journal Certification Divide: Why Universities Abdicated

4.1 The Pre-Metric Era of University Certification

Before the widespread adoption of bibliometric performance metrics in the 1980s, universities exercised their quality certification function through a set of internal mechanisms that were genuinely institutional in character, though not without significant imperfections. The doctoral viva voce examination, particularly in the British and Commonwealth tradition, subjected candidates to scrutiny by examiners selected for their expertise in the dissertation's specific subject area. Research by Tinkler and Jackson (2004) documents the variability inherent in this process: examiner selection practices were inconsistent across institutions, criteria for pass and fail were rarely made explicit, and outcomes were susceptible to the disciplinary assumptions and interpersonal dynamics of individual examination panels. Trafford and Leshem (2008) similarly found that doctoral examination standards were more tacit than transparent, with examiners exercising considerable discretionary judgment that was difficult to standardise or audit. Nevertheless, and with these limitations acknowledged, the viva process possessed one structural feature that general peer review does not: it was specifically configured around the individual research project under examination. Examiners were selected for their proximity to the dissertation's precise intellectual domain, and the examination was conducted through extended dialogue that allowed the candidate to contextualise, justify, and defend choices that a written manuscript alone cannot fully communicate. Whatever its inconsistencies, the examination was at least formally designed to evaluate the specific work in question rather than to apply general disciplinary standards derived from a broader submission pool.

Internal promotion committees, annual reviews, departmental seminars, and collegial discussions all contributed to a diffuse process of quality assessment embedded within academic communities. This system, too, carried well-documented weaknesses that should not be minimised in retrospect. It was susceptible to parochialism, favouring locally prominent scholars and established theoretical orthodoxies over more innovative or challenging contributions (Seglen, 1997). Personal relationships, departmental politics, and institutional conservatism could systematically disadvantage outsiders, early-career researchers, and scholars working in minority traditions. In contexts where women, researchers from the Global South, and scholars from non-elite institutions were already marginalised, internal judgment mechanisms sometimes reproduced rather than corrected existing inequities. Evidence is concrete and specific: Gatwiri et al. (2025) interviewed 23 early-career to senior racially and culturally minoritised academics across 14 Australian universities, finding that peer review functions to "maintain the status quo through valorisation of Western ways of 'knowing.' " Boyalı (2025) characterises these challenges as "structural and multilayered," including biased review processes that result in "othering" of non-Western scholars.

Furthermore, the outcomes of such processes were difficult to compare across institutions, disciplines, and national systems. This limitation became increasingly problematic as academic labour markets and research funding became more internationally competitive. The argument advanced in this article is therefore not that the pre-metric era was epistemically sound and should be restored without modification. It is that the specific function of institutional quality certification - the direct evaluation of scholarly work by contextually informed academic judgment - was more genuinely located within the university than the Q1 publication requirement that has since displaced it, and that acknowledging the imperfections of the earlier system does not weaken the case for reclaiming that function in reformed and more equitable terms.

4.2 The New Public Management Revolution and Metric Capture

The shift to metrics-based accountability in higher education was not an organic academic development. It was a deliberate policy transformation driven by governments applying new public management (NPM) principles - developed initially in Thatcherite Britain and Reaganite America - to the publicly funded university sector. NPM doctrine held that public institutions should be managed according to measurable performance targets, that resource allocation should follow demonstrated output, and that competitive market mechanisms should replace bureaucratic administration wherever possible (Deem et al., 2007; Hood, 1991).

Applied to universities, NPM logic generated an urgent demand for quantifiable research outputs. Publication counts, citation metrics, grant income, and journal ranking categories provided the numerical raw material that performance assessment frameworks required. Universities, facing existential pressure to demonstrate productivity in terms that government agencies and ranking systems could process, restructured their internal incentive systems accordingly - replacing collegial academic judgment with metric-based criteria for hiring, promotion, tenure, and resource allocation.

The consequence, as Shore and Wright (1999) have argued, was the progressive colonisation of academic culture by audit logic - a transformation in which the external performance indicator came to replace rather than supplement internal professional judgment. Researchers learned to optimise for metrics rather than for scholarship; departments learned to recruit for citation potential rather than intellectual distinctiveness; and universities learned to measure research quality by counting Q1 publications rather than by reading and evaluating the research itself.

4.3 Institutional Conflict of Interest and the Supervision Paradox

One argument frequently advanced in defence of the Q1 publication requirement is that external peer review provides an independent check on the potential conflict of interest inherent in institutional self-certification. A doctoral supervisor who has invested years in a student's development may, the argument runs, be too personally and professionally invested to evaluate the finished dissertation with full critical rigour.

This argument has genuine merit as far as it goes, but it proves considerably less than its proponents suggest. The conflict-of-interest concern in doctoral assessment is already addressed - imperfectly but substantively - by existing examination structures: external examiners in the British viva tradition are precisely independent of the supervising institution; dissertation committees in the American and European traditions typically include members from outside the immediate supervisory relationship; and oral defence panels provide a forum for questioning that is at least partly independent of supervisorial investment.

The Q1 publication requirement does not so much solve the conflict-of-interest problem as displace it. The question becomes: whose conflict of interest is preferable - a supervisor's investment in their student's success, or a commercial publisher's investment in maintaining a prestigious and profitable journal brand? There is no obvious reason why the latter is epistemically superior to the former, and several reasons - including the financial incentive structures associated with APC revenue and journal prestige maintenance - to suppose it may be epistemically inferior.

4.4 The Edward-Robert Thought Experiment: A Test of Institutional Logic

The internal contradiction of the Q1-centric certification model can be made fully visible through a concrete thought experiment. Consider two individuals, Mr Edward and Mr Robert, who arrive at the same Q1 publication by entirely different routes.

Mr Edward enrols in a doctoral programme at an accredited university. He completes structured coursework, attends research seminars, receives sustained supervision from senior academics, develops a dissertation over three to five years, submits to an oral defence before a panel of professors, and ultimately publishes his research in a Q1 journal as a condition of degree completion. Upon satisfying all these requirements, the university awards him a doctorate.

Mr Robert does not follow such an institutional path. He takes a general research methods course offered on a public online platform, pays no tuition fees, submits to no oral examination, receives no formal supervision, and is accountable to no academic institution. He independently identifies a research problem, develops a methodology, collects and analyses data, writes up his findings, and submits the manuscript to a Q1 journal. His article underwent the same peer review process as Mr Edward's work and was accepted and published in the same quartile of the same journal ranking system.

The question that follows from this scenario is unavoidable: Does Mr Robert's Q1 publication demonstrate that he is more knowledgeable and capable than Mr Edward? The answer is that this is not necessarily so, but the university's own stated criteria cannot demonstrate the opposite. If the Q1 publication is the definitive quality benchmark, as the requirement imposed on Mr Edward implies, then Mr Robert has met that benchmark. The university cannot simultaneously insist that Q1 publication is the ultimate proof of doctoral research quality and then deny that a person who achieves it independently has demonstrated doctoral research capability. That is a logical contradiction that universities have largely avoided confronting because they have never been formally required to do so.

What the university might legitimately argue is that Mr Edward has demonstrated a breadth of scholarly formation that a single Q1 publication by Mr Robert does not capture. This formation includes theoretical grounding across multiple research traditions, methodological training, exposure to disciplinary debates, and the capacity to defend his work under sustained expert questioning. This argument is defensible and important, but it holds only if the university is willing to shift its quality claim away from Q1 publication and back toward the comprehensive process it administers. The university cannot credibly claim both simultaneously: that the degree represents a richly developed scholarly formation, and that Q1 publication is the primary criterion by which that formation is externally validated.

The Edward-Robert thought experiment, therefore, forces a clarification that universities have long deferred. Either the doctorate represents the full process - supervised development, broad training, independent examination, oral defence, and published contribution together - in which case a Q1 publication is one component among several rather than the defining criterion. Alternatively, if the doctorate's ultimate validation rests solely on Q1 publication, then Mr Robert has entirely satisfied the university's own standard without the university's involvement. Universities must choose one of these positions. The current system attempts to occupy both simultaneously, and the Edward-Robert scenario exposes why that position is logically untenable.

4.5 The University as Brand Certifier: A Product Quality Analogy

The institutional arrangement described in the preceding section bears a striking structural resemblance to a practice that would attract immediate scrutiny in any other quality-regulated domain: a manufacturer affixing its own quality certification label to a product whose quality was actually determined by a third-party testing laboratory, then charging a premium for that label without disclosing the outsourcing relationship.

When a university makes a Q1 publication a graduation requirement and subsequently awards doctorates on that basis, it performs three distinct functions that are routinely conflated but warrant careful differentiation. First, it provides the educational environment - supervision, coursework, library and laboratory resources, access to an academic community - within which the research was conceived and developed. Such a contribution is both substantive and valuable. Second, it administers the degree process - registering the student, managing programme timelines, conducting examinations, maintaining institutional records, and conferring the credential. The administrative function is essential, though not in itself a quality determination. Third, it certifies research quality - but if a Q1 publication is the operative quality criterion, the actual quality determination was made by the journal's peer reviewers. The university's degree, in this third function, is a repackaging of an external commercial judgment under its own institutional brand.

The distinction carries significant implications. Universities charge substantial tuition fees - fees that are partly justified by the prestige and market value of the institutional credential being conferred. If the quality claim underlying that credential rests primarily on an external commercial judgment that any researcher could in principle obtain without institutional enrolment, then students and their families are partly paying for brand affiliation rather than for an independently verified quality certification. Employers and academic institutions that treat the doctorate as a reliable quality signal are similarly relying on a credential whose quality basis is more complex and more commercially mediated than its institutional presentation suggests.

None of this implies that university education adds no value - it manifestly does, through the breadth of formation, the supervisory relationship, and the disciplinary socialisation that doctoral programmes provide. The point is rather that the quality certification function, specifically - the function that the Q1 requirement is supposed to serve - has been contracted out to commercial publishers in a way that universities have never formally acknowledged, publicly justified, or subjected to independent scrutiny.

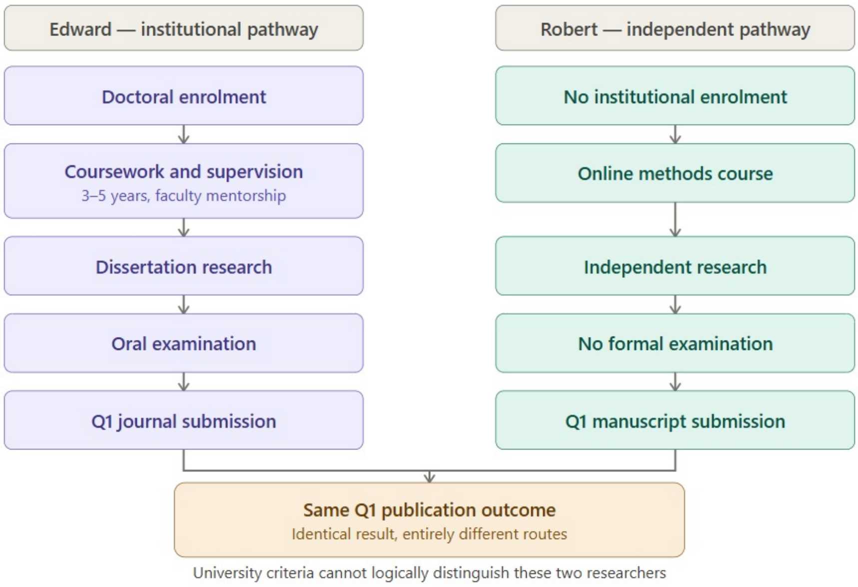

Figure 1. Diagram 1: Edward-Robert thought experiment. Two parallel pathways - one through the full institutional doctoral process, one through independent study - both converging at the same Q1 publication outcome. Robert's pathway includes the box 'No formal examination,' indicating that the absence of an oral defence is a named step in the sequence rather than a gap in the process. The convergence into the amber box makes the logical contradiction immediately visible: the university's own stated criteria cannot distinguish between the two researchers.

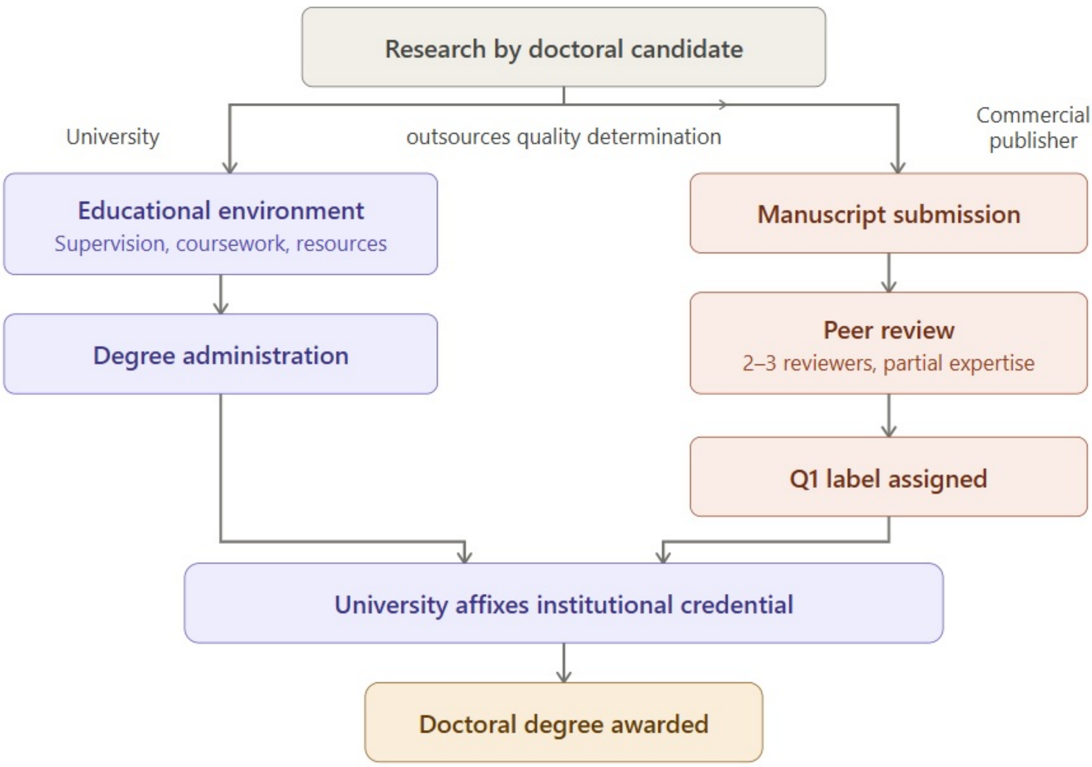

Figure 2. Diagram 2: University as Brand Certifier. Two parallel tracks run from the same starting point - the doctoral candidate's research. The left track shows the university's two retained functions: providing the educational environment and administering the degree process. The right track shows the quality determination function, which is transferred via a dashed arrow to the commercial publisher, where peer review assigns the Q1 label. Both tracks converge at the bottom, where the university affixes its institutional credential to an outcome whose quality was determined externally, producing the doctoral degree.

4.6 The Q1 Journal as Degree-Granting Institution: A Logical Terminus

The most radical implication of the analysis developed in this section follows directly from the positions examined above. If Q1 publication is the definitive criterion of doctoral research quality, and if that criterion can be met without university enrolment - as the case of Mr Robert demonstrates - then the logical terminus of the university's current position is that a Q1 journal could, in principle, serve as an alternative degree-granting institution.

Consider the following hypothetical extension of the thought experiment. Suppose a major Q1 journal publisher were to establish a structured research training programme - offering online instruction in research methodology, literature review practices, and academic writing - and were to require programme participants to independently conduct and successfully publish original research in a Q1 journal as the condition of programme completion. The publisher would then issue a certificate of completion to those who satisfy this requirement. By the university's own operational logic, Q1 publications are the definitive quality benchmark for doctoral-level research. Therefore, this certificate would represent the same level of demonstrated research competence as a university-conferred doctorate.

Such a scenario is not fanciful. It is simply the direct application of the university's own stated criteria to a non-university institutional context. If universities find this conclusion uncomfortable - and they should - the discomfort points directly to what the Q1 requirement has cost them: the articulation and defence of a distinctively institutional account of what doctoral education represents, beyond the publication credential that commercial publishers can now independently confer.

Addressing this challenge requires more than an appeal to institutional prestige; universities must articulate a substantive and distinctively educational account of what the doctoral process contributes beyond the publication credential itself. A genuine response requires universities to specify, defend, and reinvest in the elements of doctoral education that genuinely distinguish their credential from a publication record: the breadth of scholarly formation, the sustained supervisory relationship, the capacity for cross-disciplinary critical thinking, the ability to defend original work under expert questioning, and the socialisation into a community of scholarly practice that extends far beyond any single research output. These are real and important distinctions - but they are precisely the distinctions that universities undermine every time they reduce the doctorate's quality validation to a Q1 publication requirement.

5 Peer Review, Knowledge Asymmetry, and the Epistemology of Certification

5.1 What Peer Review Can and Cannot Do

The peer review process performs several functions that are genuinely valuable and that no proposed alternative has yet fully replicated. It provides a structured mechanism for independent evaluation of submitted research by individuals with relevant expertise. It catches errors, identifies methodological weaknesses, requests clarification of ambiguous claims, and suggests additional literature, analyses, or framings that strengthen manuscripts before publication. It creates a documented record of evaluative deliberation that - even when imperfect - represents a more explicit quality assurance process than would exist in its absence. These functions are real and important, and any credible critique of peer review must begin by acknowledging them.

The difficulty arises not from what peer review does, but from the institutional translation of what it does into a quality claim that extends well beyond its demonstrated capacity. Peer review, as a process, evaluates whether a submitted manuscript meets the criteria applied by two or three reviewers on a particular occasion. The process makes no claim, in its own internal logic, to certify that the published work is reproducible, that it represents the most significant contribution possible from the data, or that its findings will prove durable across contexts. These limitations are inherent to the review process as designed, and no reasonable assessment of peer review has ever claimed otherwise. The problem emerges at the institutional level, where universities embedding Q1 requirements into doctoral regulations, national research assessment frameworks incorporating journal rankings into funding allocation, and institutional league tables treating Q1 publication counts as proxies for research quality collectively transform a bounded and conditional process into an authoritative quality standard. It is this institutional amplification - not peer review itself - that produces the gap between what the process delivers and what it is officially taken to certify.

A further analytical distinction is necessary before proceeding to specific limitations. Some of the most frequently cited failures associated with peer-reviewed publication - the replication crisis, the prevalence of underpowered studies, the systematic suppression of null results, and the distortion of research agendas toward publishable rather than important questions - are not, strictly speaking, failures of peer review. They are failures that originate upstream of review: in research design decisions, in incentive structures that reward positive findings, and in publication practices that filter out null results before submission. Peer review receives submitted manuscripts; it does not determine what research gets conducted, how it is designed, or which results are withheld from submission. Attributing these systemic problems to the review process itself mislocates the causal mechanism and risks producing reform proposals targeted at the wrong point in the research production chain. The critique developed here is more precisely targeted: it concerns the limits of what peer review can evaluate given the information available to reviewers at the point of assessment, not the broader dysfunctions of the scientific incentive system within which peer review is embedded.

With this distinction established, the specific epistemic limits of peer review can be stated precisely. Peer review cannot guarantee the reproducibility of reported findings: this is partly because reviewers assess the plausibility and internal consistency of reported results rather than independently verifying them, and partly because many reproducibility failures originate in research design decisions that preceded submission and are not visible to reviewers from the manuscript alone. Ioannidis's (2005) empirically grounded argument that many published research findings are more uncertain than peer-reviewed publications has generated extensive discussion and considerable supporting evidence (Baker, 2016; Open Science Collaboration, 2015). Peer review also cannot ensure that the submitted work represents the most significant or impactful research in a field. It can only evaluate whether the work submitted to a particular journal on a particular occasion meets the journal's stated criteria for methodological adequacy and theoretical contribution. Whether the most significant work in a field is being submitted to Q1 journals - as opposed to being published in monographs, circulated in preprints, published in lower-ranked venues because Q1 fees are prohibitive, or disseminated through non-academic channels - is a question that peer review itself cannot address.

5.2 The Knowledge Asymmetry Problem

Perhaps the most underappreciated epistemological challenge confronting peer review is the problem of knowledge asymmetry between specialist researchers and generalist reviewers. Contemporary doctoral and postdoctoral research, by its nature, is a process of developing highly specialised expertise in a narrow domain. For example, A researcher who has spent three to five years investigating the relationship between AI-driven compensation transparency and human capital accounting disclosure in manufacturing firms has, by the end of that process, acquired a depth of contextual, methodological, and theoretical knowledge about that specific problem that virtually no reviewer can match.

This asymmetry creates a structural challenge for peer review as a quality certification mechanism. Reviewers can evaluate whether the manuscript's methodology is sound by general disciplinary standards, whether its literature review is representative, whether its conclusions are proportionate to its evidence, and whether its writing is clear and professionally adequate. These are valuable evaluations. However, reviewers typically cannot evaluate whether the research question chosen is the most important or productive question that could have been asked, whether the data collected are the best available data for answering it, whether the theoretical framework employed is the most appropriate among available alternatives, or whether the specific findings reported represent the most significant implications of the research. These judgments require the kind of deep contextual knowledge that only the researcher themselves, and perhaps a handful of genuine peers, possess.

The implication is not that peer review is useless but that it operates as a necessary rather than a sufficient condition for quality certification. A manuscript that fails peer review may genuinely contain methodological weaknesses, unsupported conclusions, or insufficient scholarly rigour that justify rejection. Nevertheless, a manuscript that passes peer review has only demonstrated that it meets the standards that two or three reviewers - working within a limited time, with partial expertise, and under no obligation to reach agreement - chose to apply on a particular occasion. Such an outcome represents a considerably weaker quality signal than the Q1 imprimatur is typically taken to represent.

5.3 Reviewer Availability, Reviewer Fatigue, and the Quality of Review

Structural problems on the reviewer supply side further constrain the practical quality of peer review. Proportionate growth has not kept pace with the expansion of academic publishing, leaving the pool of qualified reviewers undersized. According to the Publons Global State of Peer Review report (2018), approximately 15 million review requests were sent globally in 2017, and a significant proportion could not be filled, leaving editors to recruit increasingly junior, increasingly peripheral, or increasingly fatigued reviewers to cover the gap.

Reviewer fatigue is a documented and serious problem. As the volume of submitted manuscripts has grown - partly driven by the Q1 publication pressure that makes every doctoral student and faculty member a regular submitter - reviewers who are themselves subject to the same pressures find it increasingly difficult to devote the time and attention that rigorous evaluation requires. Kovanis et al. (2016), in a mathematical modelling study of peer review in the biomedical literature, found that 20 per cent of researchers accounted for 69-94 per cent of all reviews, with the vast majority of scientists contributing little or nothing to the system. The Publons report (2018) further found that researchers worldwide spend approximately 68.5 million hours on peer review annually - equivalent to approximately 7,800 researcher-years - a burden that is highly unequally distributed, with editors disproportionately selecting reviewers from established Western institutions. The predictable consequence is a highly variable quality of review, in which some manuscripts receive genuinely expert, rigorous, and constructive evaluation, while others do not. In contrast, others receive cursory, superficial, or poorly matched assessments that reflect reviewers' time constraints more than the manuscripts' actual qualities. This variability is not incidental to the peer review system; it is a structural feature of a process that has expanded in volume without a commensurate expansion in the supply of qualified, available, and appropriately matched reviewers.

6 Article Processing Charges, Financial Exclusion, and the Distortion of the Quality Signal

6.1 The Scale and Structure of APC Fees

The Article Processing Charge model that now dominates Q1 open-access publishing creates a financial barrier to publication that, in many institutional contexts, operates independently of research quality. Understanding the scale of this barrier requires engagement with both aggregate data and representative examples drawn from across the Q1 landscape. Aggregated evidence from the OpenAPC initiative - which collects APC payment data from participating institutions worldwide - and from systematic analyses such as that conducted by Morrison et al. (2022) and subsequently updated by Schimmer et al. (2015) indicates that mean APCs in hybrid and fully open-access Q1 journals have risen substantially over the past decade, with current average fees in major publisher portfolios typically ranging from USD 2,000 to over USD 5,000 per article. Morrison et al. (2022), analysing a large cross-publisher sample, found that APC costs are not uniformly distributed across the Q1 tier but vary considerably by discipline, publisher, and journal prestige level. This point qualifies any claim of uniform exclusion.

To illustrate the range and disciplinary spread of these costs, the following journals have been selected to represent different publishers, subject categories, and price points within the Q1 tier rather than to constitute a systematic sample: Nature Communications (Springer Nature, multidisciplinary) at approximately USD 6,790; PLOS ONE (PLOS, multidisciplinary) at USD 1,895 (representing the lower end of the Q1 range); Journal of Business Research (Elsevier, business and management) at EUR 3,200; and Sustainability (MDPI, environmental and social sciences, widely accessed in Southeast Asia) at approximately USD 2,700. These figures are indicative rather than exhaustive, and APC schedules are subject to periodic revision. Their purpose is to illustrate the order of magnitude and cross-publisher variability of the financial commitment that Q1 open-access publication typically requires, not to characterise the entire Q1 corpus.

For researchers at well-funded research universities in the United States, the United Kingdom, or Western Europe, APCs are typically covered by institutional open-access funds, grant budgets, or transformative read-and-publish agreements negotiated between publishers and university consortia. In these contexts, the researcher faces no direct personal financial obstacle to Q1 publication. For researchers at universities in Thailand, Vietnam, Indonesia, the Philippines, or other emerging economies - where institutional research budgets are limited and where individual researchers may receive little or no institutional APC support - the USD 2,000 to USD 7,000 fee represents a formidable obstacle. At Thailand's average academic salary levels, a single Q1 APC can represent one to three months of pre-tax income. The financial calculus facing many researchers in this situation is clear: lower-cost venues become more attractive, and a Q1 open-access submission may be abandoned entirely.

It is important to acknowledge the mitigating structures that publishers and institutions have introduced to address this disparity, as an accurate analysis requires engagement with these mechanisms rather than their omission. Most major publishers offer APC waiver or discount programmes for researchers from low- and middle-income countries, typically referencing World Bank income classification as the eligibility criterion. Springer Nature's Research4Life programme, Elsevier's waiver policy, and MDPI's discount schemes are among the most widely cited examples. Transformative agreements between publishers and national library consortia, now in place in several European countries and increasingly adopted in other regions, further reduce the direct APC burden for affiliated researchers. These structures are real, and their existence should not be minimised.

However, the documented limitations of these mitigating mechanisms substantially constrain their practical effectiveness. Several critical weaknesses warrant attention. First, waiver eligibility is inconsistently applied and administratively burdensome: researchers must identify the applicable policy, initiate a separate application process, and, in some cases, negotiate directly with journal editors, placing the burden of navigating a complex, non-transparent system on the researchers least equipped to do so (Lawson, 2015). Second, waiver programmes do not cover all Q1 journals: many high-prestige journals, particularly in business, economics, and the social sciences, either do not participate in waiver schemes or offer only partial discounts that still exceed the financial capacity of researchers in resource-limited contexts. Third, countries classified as middle-income by World Bank criteria - including Thailand, which is classified as an upper-middle-income economy - frequently do not qualify for the most generous waiver tiers, despite institutional research budgets that are substantially smaller than those of high-income country universities with which their researchers are expected to compete. The consequence is that the mitigating structures, while meaningfully reducing exclusion in some cases, do not eliminate the systemic financial disadvantage that APC-dependent publishing imposes on researchers from emerging economies, and that this disadvantage continues to contaminate the quality signal that Q1 publication is supposed to transmit.

6.2 Financial Contamination of the Quality Signal

The structural consequence of APC-based financial exclusion - even when partially mitigated by waivers and institutional agreements - is what this article terms the financial contamination of the Q1 quality signal. If the Q1 corpus systematically excludes or underrepresents research from resource-limited contexts, not because that research is of lower quality but because its authors face financial barriers that their counterparts in wealthier institutions do not. The Q1 label ceases to represent a pure quality signal and becomes instead a compound signal that conflates research quality with institutional financial capacity.

This contamination has several observable dimensions. Bibliometric analyses consistently show that research output from North American and Western European institutions dominates Q1 journals in proportion to those regions' share of global research activity. In contrast, research from Sub-Saharan Africa, South and Southeast Asia, and Latin America is systematically underrepresented relative to the volume and quality of research activity in those regions (Larivière et al., 2015; Zhang et al., 2022). While multiple factors contribute to this disparity - including language barriers, citation network effects, and disciplinary coverage gaps - APC costs are a significant and underappreciated contributor that interacts with these other factors to produce cumulative disadvantage.

The consequence for doctoral education is particularly problematic. When universities in emerging economies adopt Q1 publication requirements - often in emulation of Western institutional models or in response to national research policy incentives - they implicitly ask their doctoral students to compete in a publication market structurally tilted against them. The requirement that a Thai, Nigerian, or Indonesian doctoral student publish in Q1 journals as a condition of degree completion imposes on that student both the standard costs of doctoral research and an additional financial burden that their counterparts at well-funded Western institutions do not bear in the same form. The arrangement bears no resemblance to a level playing field: it is a handicap race presented as a sprint.

6.3 The Predatory Publisher Problem and Quality Inversion

A further complication arises from the proliferation of journals that exploit the APC model while providing little to no editorial or review services. So-called predatory journals - characterised by Beall (2012) and Beall (2016) and subsequently by Grudniewicz et al. (2019) - accept manuscripts with minimal or fraudulent peer review in exchange for APC payments, thereby corrupting the nominal quality signal that fee payment is supposed to accompany. While predatory journals are typically not Q1-ranked, the existence of this market demonstrates the extent to which APC payments have become decoupled from actual quality assurance in the broader academic publishing culture.

More relevant to the present analysis is the phenomenon of high-volume, APC-dependent Q1 journals - particularly those operated by MDPI and similar publishers - that have achieved Q1 status through citation accumulation strategies while accepting manuscripts at rates that raise legitimate questions about review rigour. A journal that publishes thousands of articles annually, charges APCs for each, and achieves high citation counts through sheer volume of output may achieve Q1 status through statistical effects that are quite different from the editorial selectivity that Q1 status is supposed to represent. The quality signal, in these cases, is not contaminated by exclusion but by inclusion - by the acceptance of manuscripts that a more rigorous process might have rejected, because the APC revenue incentive creates systematic pressure toward higher acceptance rates. The financial distortion of the Q1 quality signal therefore operates in two structurally opposite directions simultaneously: excluding high-quality research from under-resourced contexts through cost barriers, while admitting lower-threshold research from fee-paying authors through volume-driven acceptance strategies.

7 Toward an Alternative Model of Research Quality Certification

7.1 Principles for Reform

The critique developed in the preceding sections does not imply that research quality certification is unimportant or that external peer review should be abandoned. It suggests, rather, that the current Q1-centric model may not measure what it claims to measure with the accuracy or consistency its institutional application assumes, that it imposes disproportionate burdens on researchers from resource-limited contexts, and that it has generated incentive structures with consequences the scholarly community has not yet fully addressed. Several principles should guide a reformed model.

Before articulating these principles, it is necessary to acknowledge the practical constraints that originally motivated the adoption of proxy metrics and that any viable reform proposal must directly confront. The turn toward bibliometric indicators in the 1980s and 1990s was not purely ideological; it was partly a practical response to genuine institutional problems. As universities grew in size and disciplinary breadth, and as academic labour markets became more internationally competitive, the administrative cost of conducting substantive direct evaluation of every research output became prohibitive. Senior academics, faced with expanding workloads, could not realistically provide rigorous, direct assessment of hundreds of annual submissions across dozens of specialisms. Citation metrics and journal rankings offered a solution that was administratively tractable, comparatively cheap, and sufficiently standardised to support cross-institutional and cross-national comparisons. Any reform proposal that fails to acknowledge these genuine pressures risks appearing normatively attractive but operationally naive. The proposals advanced in the following subsections are designed with this constraint explicitly in mind: they do not propose the wholesale replacement of proxy metrics with bespoke direct evaluation for every research output, but rather a targeted and differentiated restoration of direct evaluation authority at the points where the proxy metric model produces its most serious distortions - specifically, doctoral quality certification and institutional research assessment for promotion and funding purposes.

With this operational framing established, four principles should guide reform. First, the principle of direct evaluation: quality assessment at the most consequential decision points - doctoral certification, promotion, and research funding - should be grounded in direct engagement with research content, including methodology, evidence, argument, and contribution, rather than in indirect proxies such as journal rankings or impact coefficients. Second, the principle of contextual adequacy: quality criteria should be appropriate to the research being evaluated, recognising that different disciplines, methodological traditions, and research purposes involve different standards of adequacy. For example, a mixed-methods study of compensation practices in Thai manufacturing firms should be evaluated by criteria appropriate to that type of research, not by metrics derived primarily from the natural sciences citation culture in which impact factors originated. Third, the principle of equity: quality certification mechanisms should not systematically disadvantage researchers based on the financial resources of their institutional context, since research quality is a property of the work rather than of the researcher's institutional address or their institution's ability to pay publication fees. Fourth, the principle of transparency: the processes by which research quality is assessed should be open to scrutiny, contestable, and subject to ongoing improvement, rather than locked within the proprietary systems of commercial publishers whose evaluation procedures are not subject to independent audit.

7.2 Institutional Review Boards for Research Quality

One concrete reform proposal involves the establishment of university-level research quality review boards - independent internal bodies with the authority and expertise to certify the quality of doctoral and postdoctoral research through direct evaluation, unlike the existing doctoral examination process, which focuses primarily on whether a candidate has demonstrated sufficient competence to be awarded a degree, such a board would evaluate whether specific research contributions meet a publicly stated standard of scholarly quality sufficient to count toward institutional research assessment.

The feasibility of this model varies significantly across institutional types and must be assessed differentially rather than as a uniform prescription. At research-intensive universities with large faculties spanning multiple disciplines, the senior academic workforce is broad enough to constitute credible review panels across a reasonable range of specialisms without placing unsustainable demands on individual scholars. The key operational requirement is that review board membership rotates systematically, that evaluation criteria are codified and publicly available, and that the time commitment per review is bounded and recognised in academic workload allocation. International precedent exists: the Norwegian and Danish national research assessment systems incorporate elements of direct expert panel review that operate alongside bibliometric measures, demonstrating that hybrid models are institutionally viable at scale (Sivertsen, 2017).

For smaller, more specialised, or less research-intensive institutions - including many regional universities and private institutions in Thailand and across Southeast Asia - the capacity for fully independent direct evaluation is more constrained. These institutions face genuine challenges of disciplinary breadth, senior faculty availability, and the risk that internal review panels may lack sufficient independence from supervisory relationships. For such institutions, the preferred implementation pathway is a consortium model: a regionally coordinated review structure in which participating universities contribute senior reviewers to shared panels that evaluate doctoral research across member institutions. Such a model distributes the workload, enhances independence, and enables smaller institutions to access specialist expertise they cannot maintain internally. The ASEAN University Network (AUN) quality assurance framework provides an existing regional infrastructure within which such a consortium arrangement could, in principle, be developed. Reaching this destination requires deliberate investment and institutional will, but neither the concept nor the operational requirements are beyond the capacity of the regional higher education system.

Such boards would not replace peer review - external publication would remain a valuable mechanism for disseminating and discussing research. However, they would reduce the institution's dependence on journal quartiles as a proxy for quality and restore meaningful quality certification authority to the institution that awarded the degree.

7.3 Tiered Recognition of Publication Venues

Rather than the binary Q1/non-Q1 distinction that dominates current policy, universities could adopt a tiered recognition framework that acknowledges genuine quality differences among publication venues while explicitly discounting financial access barriers. Such a framework might recognise Q1 publication in well-established journals with documented review rigour as the highest tier, while also recognising strong publications in Q2 and Q3 journals, high-quality open-access repositories such as SSRN and arXiv, and well-refereed conference proceedings in fields where these constitute primary dissemination vehicles.

Crucially, such a framework would assess journal quality based on documented review practices, editorial standards, and field reputation rather than citation metrics alone, explicitly discounting APC-gated access as a quality criterion. Journals that achieve Q1 status through high-volume acceptance and citation accumulation strategies would be assessed at a lower tier than journals with comparable citation metrics but more rigorous and selective review practices. The administrative cost of maintaining such a tiered framework is real but manageable: the principal requirement is a structured periodic review of journal quality indicators by discipline-specific academic committees, a function that many universities already perform informally and that could be formalised without prohibitive resource commitment.

7.4 Open Peer Review and Post-Publication Review

A growing movement within academic publishing advocates open peer review - in which reviewer identities and review texts are published alongside accepted manuscripts - as a mechanism to improve review quality, accountability, and transparency (Ross-Hellauer, 2017). When reviewers know their evaluations will be publicly attributed and scrutinised, they have stronger incentives to produce careful, rigorous, and fair assessments. The evidence base for open review's effectiveness is still developing, but early results from journals that have adopted it - including several operated by BioMed Central and the British Medical Journal group - are cautiously encouraging.

Post-publication peer review, in which published work continues to receive evaluation and commentary after journal acceptance, is a complementing mechanism particularly well-suited to addressing the knowledge asymmetry problem. Because post-publication review is open to any researcher with relevant expertise - not limited to the two or three reviewers a journal's editor selects - it is more likely to attract evaluation by the most genuinely expert readers in a speciality. Platforms such as PubPeer, F1000Research, and the overlay journal model

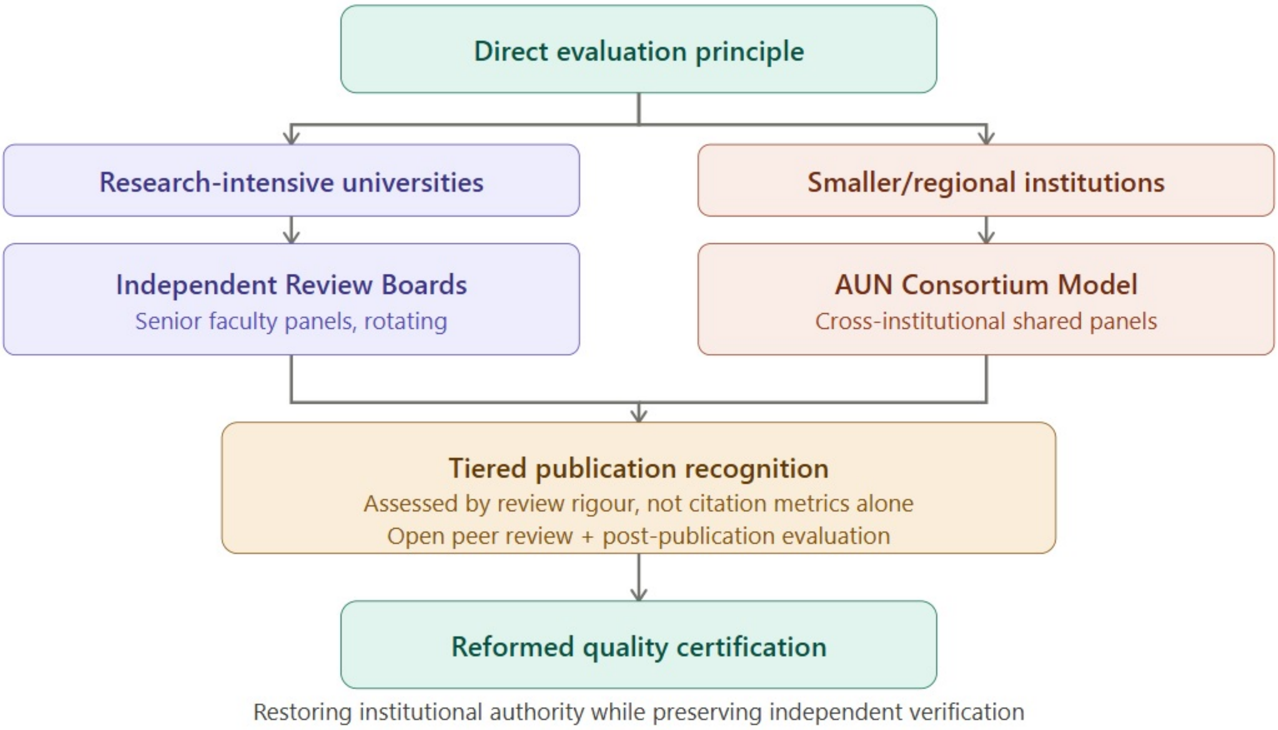

Figure 3. Diagram 3: Alternative model. A hierarchical framework flowing top to bottom. The direct evaluation principle sits at the top as the guiding commitment. Below it, two differentiated implementation pathways branch left and right: research-intensive universities establish Independent Review Boards with rotating senior faculty panels, while smaller and regional institutions adopt the ASEAN University Network (AUN) Consortium Model with cross-institutional shared panels. Both pathways converge into a central box covering tiered publication recognition - assessed by review rigour rather than citation metrics - and incorporating open peer review and post-publication evaluation. The final box at the bottom, reformed quality certification, represents the outcome: institutional authority restored while independent verification is preserved.

developed around arXiv preprints represent practical implementations of this approach at varying stages of maturity.

7.5 Policy Implications for Thailand and Southeast Asia

For universities and research institutions in Thailand and Southeast Asia, the analysis in this article suggests several specific policy directions. National research funding agencies - including the Thailand Science Research and Innovation (TSRI) and the National Research Council of Thailand (NRCT) - should explicitly review their use of journal quartile rankings as funding eligibility or performance criteria, and consider replacing or supplementing them with direct evaluation criteria that are less susceptible to financial access distortion.

Thai universities that impose Q1 publication requirements as doctoral graduation conditions should either establish APC subsidy mechanisms sufficient to ensure that all doctoral candidates have equal financial access to Q1 venues or adopt tiered recognition frameworks that explicitly acknowledge the quality of research published in high-quality Q2 and Q3 venues. To require Q1 publication without providing the financial means to achieve it is to impose an inequitable requirement that systematically disadvantages researchers whose primary limitation is financial rather than intellectual.

Regional academic publishing initiatives, including the ASEAN Citation Index and Thailand's TCI (Thai-Journal Citation Index), should be developed with explicit attention to the lessons of the Q1 model's failures, building quality assurance frameworks that prioritise direct review rigour over citation-based metric proxies, and that establish APC structures accessible to researchers across the region's diverse institutional landscape.

8 Conclusion

This article has argued that the Q1 journal publication requirement, as currently institutionalised in doctoral education and research assessment frameworks worldwide, rests on a set of conflated assumptions that warrant critical examination and substantial reform. The quartile ranking system measures the citation-based prestige of journals - a property of the publication venue and its position in citation networks - rather than the intrinsic quality of individual research contributions. The peer review process, while genuinely valuable as one component of quality assurance, operates under structural constraints - including reviewer availability, knowledge asymmetry, and commercially mediated incentives - that limit its reliability as the primary mechanism for certifying doctoral research quality, even if these constraints do not eliminate its value as a necessary component of scholarly evaluation. Furthermore, the APC-based financial structure of the Q1 publishing market introduces a systematic equity distortion that causes the Q1 label to reflect institutional wealth alongside, and at times in place of, research quality.

What the analysis developed across the preceding sections has produced, taken together, is something that no individual strand of the critique could establish alone. The bibliometric critique - that citation metrics are imperfect proxies for research quality - is well established in the literature and, taken alone, might support only the modest conclusion that universities should supplement Q1 metrics with additional indicators. The epistemological critique - that peer review is a necessary but not sufficient quality condition - is similarly documented and, taken alone, might support only calls for peer review reform. The equity critique - that APC costs disadvantage researchers from resource-limited contexts - is increasingly recognised in policy discussions and, taken alone, might support only targeted subsidy mechanisms. The contribution of this article lies in demonstrating that these three critiques are not independent concerns but structurally interconnected manifestations of a single underlying condition: the institutional abdication of quality certification authority by universities to a commercial publishing system that is not accountable to scholarly values, not designed to evaluate intrinsic research quality, and not structured to provide equitable access across the global research community. Recognising this shared structural root transforms the policy prescription from incremental adjustment to principled institutional reclamation.

The Edward-Robert thought experiment crystallises the logical contradiction at the heart of the current system. When a university simultaneously insists that Q1 publication is the definitive quality benchmark for doctoral research and awards a degree on that basis, it implicitly accepts that anyone who achieves Q1 publication by any route has met that benchmark - whether or not they ever enrolled at the university. The point is not a theoretical curiosity. It is a direct consequence of the university's stated criteria, and it exposes the extent to which the doctoral credential, in its quality-certification dimension, has drifted toward a brand exercise rather than an independent institutional judgment.

A university that outsources its determination of operational quality to commercial peer reviewers and then affixes its own institutional credential to the outcome is performing a brand certification function rather than an independent scholarly evaluation. The distinction carries direct consequences for students, employers, and academic institutions, all of whom pay a premium for the doctoral credential that is partly - and perhaps substantially - a payment for institutional brand rather than for a quality determination made by the institution itself. Universities have an obligation to be transparent about this and to address it through reform.

The logical terminus of the current trajectory is that a Q1 journal publisher equipped with a basic research training programme could, by the university's own operative logic, serve as a de facto doctoral credential institution. The appropriate response to this conclusion is not to assert institutional prestige without justification, but to rebuild and articulate the substantive elements of doctoral education that genuinely distinguish the university credential from a publication record: the breadth of scholarly formation, sustained supervision, cross-disciplinary critical thinking, oral defence capacity, and the deep socialisation into scholarly practice that no publication alone can represent.

The institutional reorientation that the analysis calls for is neither unprecedented nor beyond reach. Universities have reformed their quality assurance practices before, in response to other moments of institutional crisis or policy transformation. The adoption of bibliometric governance under new public management pressures from the 1980s onward was itself a reform - one that solved certain administrative problems while generating the epistemological and equity distortions this article has documented. A further reform, one that restores direct evaluation authority to the institutions that train and examine researchers, is not only justified by the analysis but supported by emerging international precedent in national research assessment systems that have begun to reintegrate expert panel review alongside, or in partial replacement of, purely metric-based evaluation.

The stakes of this argument extend well beyond the procedural. They concern the fundamental question of who controls the definition and recognition of knowledge - and whether that control should reside with scholarly communities and their institutional homes, or with commercial publishers whose primary accountability is to shareholders rather than to the advancement of human understanding. A knowledge certification system that may systematically exclude excellent research because its authors cannot afford publication fees, that delegates institutional authority to commercial intermediaries, and that tends to conflate prestige proxies with intrinsic quality merits, sustained critical attention, regardless of its administrative convenience.

Doctoral researchers who ask why a commercial quartile label must serve as the final judge of their work - rather than the institution that trained, supervised, and formally examined them - are raising a legitimate institutional question that deserves a serious and substantive answer. This article has attempted to provide the analytical framework within which that answer must be developed, and to establish the grounds on which it must now be given with some urgency.

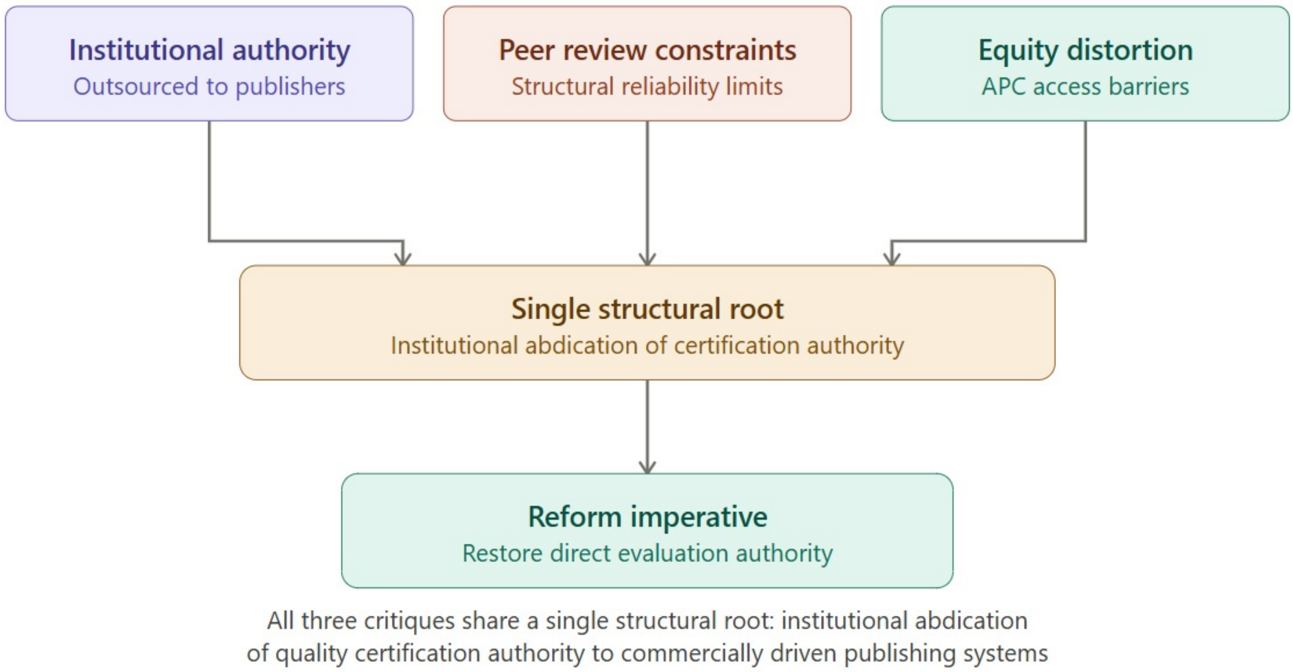

Figure 4. Diagram 4: Three-problem framework. The three interconnected problems - institutional authority, peer review constraints, and equity distortion - are arranged in a horizontal row at the top. Solid arrows from all three converge downward into a single central box identifying their shared structural root: the institutional abdication of quality certification authority. A further arrow descends from the structural root into the reform imperative, showing that all three critiques, once understood as manifestations of a single condition, point toward the same institutional response.

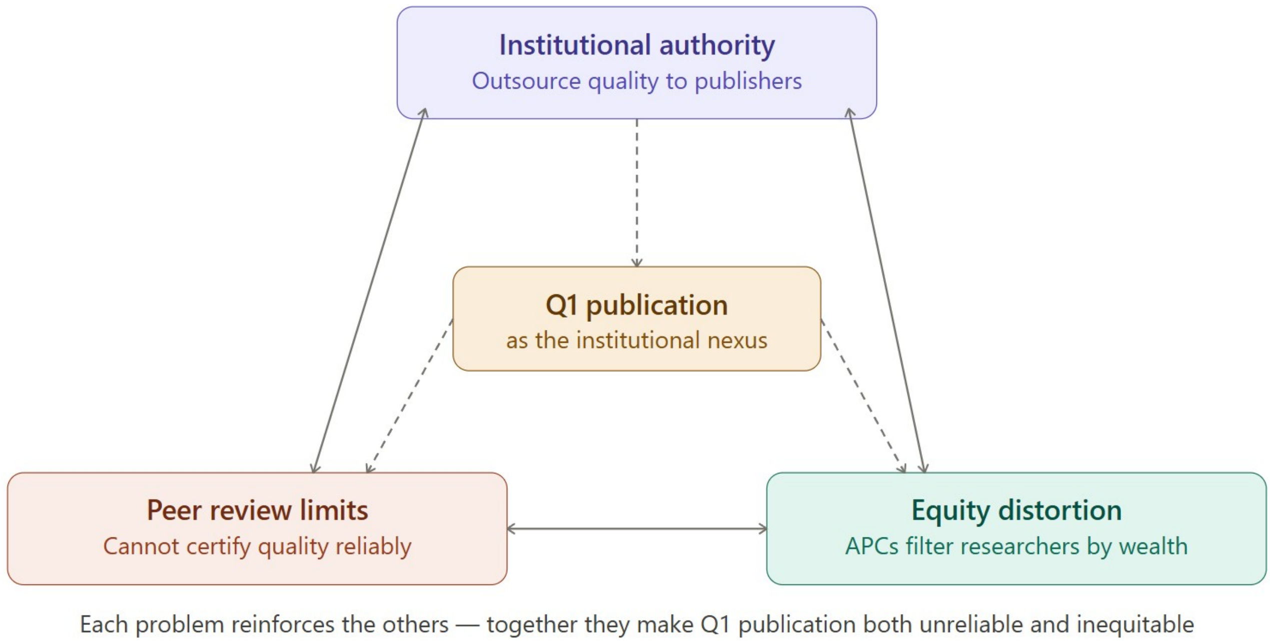

Figure 5. Three-problem framework (continued).

DECLARATIONS

Data Availability Statement: No new data were generated or analysed in the course of this study. This article is a conceptual and critical review; it does not report empirical findings derived from a primary dataset.

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Great Britain Journals Press

London Journal of Humanities and Social Science
General Section

RESEARCH FINGERPRINT
IDENTIFIER
LJRHSS-226369
PEER REVIEW
Double Blind
SIMILARITY CHECK
Perplexity AI and iThenticate
ACCESS
Open Access
LANGUAGE
English
PRINT ISSN
2515-5784
ONLINE ISSN
2515-5792

EDITION
ABBREVIATION
LJRHSS
VOLUME
26
ISSUE
4
YEAR
2026

KEY DATES
RECEIVED
2026-03-17
ACCEPTED
2026-03-23
ONLINE PUBLISHED
2026-05-26
PUBLISHED
2026-06-26

CATALOGING
CROSSMARK DOI
10.34257/LJRHSS226369UK
DDC CLASS
810.9, 305.896, 801.95
LCC CLASS
PQ9555, PN841

Article Record

Escrevivent Crossing

CORRESPONDENCE

AUTHORS & AFFILIATIONS

Dr. Luciano Santos Neiva ¶*

¶ Federal University of Bahia

ABSTRACT

In this essay, I propose a critical reflection on contemporary Black writing as a practice of reexistence, from a spiral and counter-hegemonic perspective. Structured in three movements, it explores the nocturnal subject as a rupture from the Cartesian model; writing as skin-verb shaped by lived experience; and escrevivências as collective and ancestral expressions of Black subjectivity. Through authors such as Conceição Evaristo, Carolina Maria de Jesus, Sueli Carneiro, and Stuart Hall, the text highlights Black literature as epistemic insurgency, where body, memory, and word construct new ways of being and expressing the world.

Index Terms: Escritura • literatura negra • Subjetividad • Ascendencia • Resistencia • Epistemología

FUNDING
No external funding was declared for this work.

CONFLICTS
The authors declare no conflict of interest.

AI USAGE
No generative AI was used for analysis or results.

HOW TO CITE
Neiva (2026). Escrevivent Crossing. London Journal of Humanities and Social Science, 26(4), 17-23. DOI: 10.34257/LJRHSS226369UK

ACCESS ONLINE

METADATA CONTINUATION

AUTHOR CONTACT QR LEDGER

Dr. Luciano Santos Neiva¶*

Article ID LJRHSS-226369 · DOI 10.34257/LJRHSS226369UK

Print ISSN 2515-5784 · Online ISSN 2515-5792

CROSSREF DOI 10.34257/LJRHSS226369UK

ESSAY

Escrevivent Crossing

Dr. Luciano Santos Neiva¶*
AFFILIATIONS

¶ Federal University of Bahia

Abstract

In this essay, I propose a critical reflection on contemporary Black writing as a practice of reexistence, from a spiral and counter-hegemonic perspective. Structured in three movements, it explores the nocturnal subject as a rupture from the Cartesian model; writing as skin-verb shaped by lived experience; and escrevivências as collective and ancestral expressions of Black subjectivity. Through authors such as Conceição Evaristo, Carolina Maria de Jesus, Sueli Carneiro, and Stuart Hall, the text highlights Black literature as epistemic insurgency, where body, memory, and word construct new ways of being and expressing the world.

Keywords: *Escritura, literatura negra, Subjetividad, Ascendencia, Resistencia, Epistemología*

Correspondence: Dr. Luciano Santos Neiva

1 INTRODUCTION

Sulwe nasceu com a pele da cor da meia-noite[1]." - this is how the children's book Sulwe, by Lupita Nyong'o, begins. And this is also how something awakens within me. As if the darkness of the night that clothed Sulwe touched my face with fingers of memory. I read this sentence and, more than seeing the character, I see myself in childhood: a Black boy, frail, looking into the mirror as one who searches for a crack of light in a body that others always told him was shadow.

It is not only Sulwe's dark skin that pierces me - it is the path she walks toward loving herself, toward realizing that her beauty already existed even before the sun. Reading this story invites me to revisit my own crossings: affective, racial, literary. Paths I walked in silence, like someone who walks over dry leaves and learns to listen to the crackling of time. There were moments when I shrank, as if my body did not fit in the world. There were others in which, even mute, my body spoke. It screamed.

Metamorphosis is when the Black boy and the Black girl who once shrank begin to dance with their scars and understand that each one of them is a form of language. Escrevivência[2], for me, is this very process of transformation. A crossing in which the word becomes skin, and the skin, at last, ceases to be a prison and becomes territory. A territory of memory, of voice, of beauty. The beauty of the night, the beauty of Sulwe - the beauty of midnight that, for so long, I was taught to fear.

But what is this presence that asserts itself against the current of light? What kind of subject emerges from the night, not as the shadow of day, but as its rupture and supplement? I think, then, of what I call the nocturnal subject: one who inhabits the fissures of the so-called rational, Cartesian, illuminated world - and, for that very reason, is compelled to develop other ways of seeing. The nocturnal subject does not recognize himself in the mirrors of European clarity; he learns to see in the dark, to grope with words, to rebuild with fragments of silence.

The Cartesian subject - this diurnal subject - has always demanded proof, order, measure, center. But of what use is a center that excludes me? Of what use is a reason that denies my sensibility, my ancestry, my faith? Escrevivência, by contrast, authorizes me to be deviation, frees me from form, restores me to wholeness. Within it, I am not an opposed duality; I am fertile contradiction. I am body and soul, I am wound and healing, I am darkness and radiance.

The crossing I propose here, then, is this: to abandon the comfort of day and accept the call of night - where the orixás dance, where the voices of those who came before resound, where the word is not a weapon of domination but a breath of re-existence. To write is to light a candle where history tried to extinguish it. It is to inscribe oneself where they said there was no place.

This essay is a gesture. A nocturnal gesture. A writing that moves between erasure and reinvention, between trauma and beauty. An escrevivente crossing, in which I do not seek to explain myself to the world - but to re-enchant my own routes.

It is in this spirit that I conclude these initial considerations - not as a closure, but as an opening of paths. This essay is organized as a crossing, as a thread weaving together times, voices, memories, and epistemes. A crossing that departs from the night - this symbolic place of exclusion, but also of potency - in order to reconfigure the forms of existence, subjectivity, and representation of Black bodies, through a writing that becomes flesh: escrevivência, whose beginning takes shape through escrevivent theoretical pathways. From there, the theoretical structure that sustains this journey is organized into three main movements:

In the first, I seek to reflect on the nocturnal subject as a supplement to the Cartesian diurnal subject. I draw on the contributions of Frantz Fanon, Stuart Hall, and bell hooks to understand how Black identities are not constructed from essences, but from displacements and resistances. Here, writing appears as a political and performative gesture

[1]"Sulwe was born with skin the color of midnight." Direct quotations in this article have been maintained in their original language of publication (Portuguese) in order to preserve their semantic nuance, stylistic texture, and conceptual precision. Whenever necessary, a free and contextual English translation has been provided by the author. These translations are intended as interpretative renderings rather than strict literal equivalents, aiming to convey the conceptual force and discursive context of the cited passages.

[2]Escrevivências, a neologism coined by Conceição Evaristo, merges "escrita" (writing) and "vivências" (lived experiences) to designate a mode of writing rooted in embodied memory, collective ancestry, and the lived realities of Black women in Brazil. The term is not translated in this article in order to preserve its semantic density and political force. In future publications, it may appear as escrevivences as a provisional English adaptation, while maintaining its conceptual specificity.

that refuses the neutrality imposed by the white and Enlightenment canon.

In the second movement, I investigate Black writing as a field of (re)existence, rooted in the tradition of "escrevivência" - as proposed by Conceição Evaristo - and expanded through the contributions of Carolina Maria de Jesus, Solano Trindade, Lima Barreto, Djamila Ribeiro, Cidinha da Silva, among others. I discuss how this writing destabilizes the boundaries between the fictional, the autobiographical, and the political, producing new ways of reading and listening to the world.

In the third and final movement, I propose "escrevivência" as a poetics of crossing: a textual practice that not only denounces structures of power, but also founds other possibilities of being, speaking, and imagining. Here, Paul Gilroy and the concept of the Black Atlantic help me think of Black writing as a movement of crossroads, as the expression of a diasporic subjectivity anchored in ancestry and displacement.

This essay, therefore, is an invitation to conscious drift. A call to walk along routes traced with blood, sweat, and ink by those who dared to transform pain into word. A homage to the night that made us and to the word that remakes us. May this be one more step - mine and ours - in the continuous crossing that is to write oneself Black in the world.

2 BEGINNING OF THE CROSSING: ESCREVIVENT PATHWAYS

I do not walk alone. Throughout this escrevivent crossing, I recognize footprints that came before me, that guide me, that push me forward when I think I can no longer go on. They are voices that did not fall silent in the face of symbolic and epistemological violence, and that dared to write with the ink of the body, with the memory of mothers, with the faith of the "terreiros"[3].

I see Conceição Evaristo, who taught us that escrevivência is more than literature - it is embodied memory. With her, I learned that the word smells of coffee brewed in an aluminum kettle, sounds like pots struck by Black women in the kitchens of senzalas or favelas. It is she who shows me that every Black writing carries a little of the altar, of prayer, and of cry.

I see Carolina Maria de Jesus, a paper collector, who with her words tore through the walls of the favela and inscribed, with crooked and courageous letters, the everyday life of hunger and hope. I see Solano Trindade singing "there are people who are hungry" as one who points a finger to the sky and demands justice. I see Lima Barreto, scarred by imposed madness, insisting on writing even when the world did not want him lucid.

I also see those who came later, yet are just as ancestral: Djamila Ribeiro, with her writing sharp as a kitchen knife; Ryane Leão, with poems that give us back the right to cry; Cidinha da Silva, whose prose stitches the everyday and the political with the same needle; Esmeralda Ribeiro and Elizandra Souza, who launch books as one scatters seeds in the alleys.

And from these seeds, entire rivers spring. In Águas da Cabaça (Souza, 2012), Elizandra Souza treats writing as a gesture of healing, evoking the voice of the Black woman as an insistent spring that continues to flow even when the world tries to dam it. Esmeralda Ribeiro, in Malungos e Milongas (Ribeiro, 1988), works with the idea that the crossing of life - with its pains and joys - is always collective, made in the company of those who came before and those who walk beside us. In both, literature becomes a clearing of existence, a territory where the escrevivent body can breathe without asking permission. In this movement, their works cross through my own escrevivent gesture, turning this article not only into a critical analysis, but into a circle: a space of encounter in which my crossings intertwine with others, older and wider, that teach me to walk through time with the respect of one who knows that every written line is always prayer, calling, and return.

The routes of Black writers are not paved roads. They are trails opened with machetes, muddy paths, labyrinths where the exit is never given - but always possible. They are maps made with sweat, tears, and dreams. And it is in them that I find my inspiration to continue. Because, when I write, I know I connect to a lineage. I know I am not alone.

Thus, this essay is also a collective gesture. An inherited breath. A drum that resounds far away, yet vibrates within. It is by these routes that I go on. With my whole body. With my whole word. And always - in the company of the night.

For it is in the night that Black words find the breath to exist without asking permission. It is in the night that the subject is no longer forced to fit into the Enlightenment mold of universal thought, and can finally be plural, crossroads, contradiction. The night is the space-time where silence is not absence, but the potency of listening. And it was within it that the voices of our ancestral writers sowed other epistemes.

Conceição Evaristo whispers: "A minha fala se faz por fragmentos / Por pedaços de mim / Por pedaços dos outros que em mim / Inteiros vivem"[4] (Evaristo, 2008, p. 15). And it is in this interlacing that escrevivência blossoms - in the juxtaposition between the I and the we, between the lived and the inherited. Night, in Evaristo, is not merely darkness, but a fertile womb. A place of gestation for the word that bleeds and enchants.

Carolina Maria de Jesus, writing by candlelight, affirms: "Escrevo o que vejo, o que vivo. Não invento. Só traduzo a favela em palavras"[5] (Jesus, 1960, p. 23). Her night was real, literal - a blackout of electricity, of policies, of dignity - yet it did not prevent her from building, with words, a shelter against forgetting. Carolina wrote with hunger, and still she nourished. Her writing is Black nourishment.

Solano Trindade, in the midst of the night of racist Brazil, sings: "Tem gente com fome! Tem gente com fome! Tem gente com fome!"[6] (Trindade, 2007, p. 45). And in repeating, he does not merely denounce - he summons. The night of the Black people is, many times, hunger. But Solano transforms this pain into a collective refrain, into a call to action, into a writing that does not seek neutrality, but urgency.

And to begin again, for me, is a gesture that carries the scar as a mark of permanence and reinvention. A gesture that moves with the weight of history, but also with the lightness of ancestralities that propel me. I begin again because I must rewrite the world in my own way - not as rhetoric, but as survival. And in this gesture, I lean on other voices who have thought Blackness as sensitive, political, and aesthetic experience.

Frantz Fanon, with his cutting sharpness, teaches me that the Black rebeginning is also a rupture with the devices that attempt to domesticate us: "O preto não é. Não mais do que o branco"[7] (Fanon, 2008, p. 191). There is force in this becoming. A verb that never concludes, that is always in motion. Fanon presents the Black body as a field of dispute -

[3] The term "terreiros" refers to sacred Afro-Brazilian ritual spaces directly connected to African-diasporic religions such as Candomblé and Umbanda. More than physical sites, terreiros function as living territories of ancestry, community organization, spiritual transmission, and resistance. Historically marginalized and persecuted, they have preserved cosmologies, ethical systems, oral traditions, and embodied knowledge rooted in West and Central African heritages. Their force lies not only in religious practice, but in their role as spaces of cultural continuity, collective memory, and epistemological affirmation within the African diaspora.

[4] "My speech is made of fragments / of pieces of me / of pieces of others who live wholly within me"

[5] "I write what I see, what I live. I do not invent. I only translate the favela into words"

[6] "There are people who are hungry! There are people who are hungry! There are people who are hungry!"

[7] "The Black man is not. No more than the white man"

but also as a space of creation. In understanding that I become Black with each gesture of resistance, with each line I write, I understand that to begin again is also to (re)exist.

Stuart Hall, in turn, helps me understand that identity is not something fixed, given, essential - but a construction in transit: "A identidade é produzida, não descoberta[8]" (Hall, 2006, p. 13). And it is within this process of production that I see myself as a nocturnal subject: in constant reinvention, performing an identity that does not fit into the hasty definitions that were imposed on me. My rebeginning is, therefore, a refusal. I refuse homogenization. I refuse neutrality. I refuse to be only what is expected of me.

bell hooks, with her affectionate and radical writing, provides me shelter by suggesting that the margin should not be understood merely as a site of deprivation, but also as a space of resistance (HOOKS, 1990). This margin - which for many appears as exile - is, for me, home. It is from there that I write: not from the center that oppresses, but from the edge that observes, listens, learns, and reinvents. The rebeginning occurs when I transform the margin into a source, into creative potency, into a poetics of subversion.

Paul Gilroy, in proposing the notion of the Black Atlantic, expands this crossing that is not only individual, but collective, diasporic, aquatic. In the waters that carried bodies and memories, the rebeginning also takes shape as the possibility of a hybrid culture, marked by flows and displacements. I write, then, as one who navigates - between continents, between languages, between temporalities.

And it is in this between that I find myself: between the boy who once hid and the man who now writes; between my mother's silenced voice and the word that now rises; between yesterday's pain and tomorrow's fertile word. I begin again because I understand that writing, for us, is more than telling stories - it is rewriting destinies. Thus, I go on. I go on in the light of the night, guided by the stars of ancestry and by the theoretical embers that warm me. With each page, a step. With each step, a return to origins. And from each origin, a new rebeginning.

Lima Barreto, even earlier, had already sensed the exclusion that would cross his life: "A minha alma é triste como os tristes destinos dos que nascem nas classes pobres[9]" (Barreto, 1994, p. 58). His night was intellectual - the systematic erasure of his genius by a white, elitist criticism that could not bear him. But his pen resisted. And Lima opened clearings with words so that others might cross.

Djamila Ribeiro, in her philosophical writing, reminds us that "seria urgente o deslocamento do pensamento hegemônico e a ressignificação das identidades, sejam de raça, gênero, gênero, classe para que se pudesse construir novos lugares de fala[10]" (Ribeiro, 2017, p. 43). Her writing is a thinking night - it ruptures the structure that still tries to restrict philosophy to white, male, European voices. She points: Black epistemology is also rationality - but another rationality, rooted in the body and in community.

These names that accompany me are stars in my escrevivente sky. They are beacons that help me navigate the night. For to be a nocturnal subject is also to reclaim other ways of seeing the world: with the eye of intuition, with the listening of silence, with the memory of the body.

Black writing, as these voices show, does not fear the night. It is born from it. And like Sulwe, in recognizing the value of her color, of her inner night, I also recognize that my crossing is only possible because I carry within me this ancestral darkness - fertile, full of constellations. It is in it that I write myself. It is in it that I begin again.

[8] "Identity is produced, not discovered"

[9] "My soul is sad like the sad destinies of those born into the poor classes."

[10] "it would be urgent to displace hegemonic thought and to re-signify identities - of race, gender, class - so that new places of speech could be constructed."

3 FIRST MOVEMENT: IN THE DARK OF THE SPIRAL: THE NOCTURNAL SUBJECT AND THE RUPTURE OF THE CENTER

Writing, for me, has never been a straight line. I don't move from a single point of departure to a final destination the way one traces a predictable route. My writing moves in a spiral—it returns, folds, curves, falls, and rises again. It dances, spins, tangles itself in childhood memories, knots itself in the threads of time and, like kinky hair, resists the "straightening" of single, hegemonic thought. Spiral writing is the kind that goes back to the past to reconfigure the present; it digs into the depth of lived experience and refuses the logic of linear, colonial "progress."

It is in this curving movement that I propose the concept of the nocturnal subject: one who does not see himself represented in the clear light of Western reason and who, for that very reason, finds in the night a place of reinvention. Night, here, is not absence but supplement. It is not the opposite of day, but its symbolic contestation. The nocturnal subject is not formed in the image of the Cartesian man—white, rational, autonomous. Rather, he is born at the crossing of historical exclusion and everyday (re)existence.

Frantz Fanon (2008) had already warned us about the limits of colonial reason when he insists that the colonized is not a fixed being, but a becoming that resists alienation. In that becoming, the nocturnal subject is forged in the fissures—between the violence of erasure and the possibility of remaking oneself. He does not want to inhabit the center; he wants to unsettle it. Stuart Hall (2006) deepens this by reminding us that identity is constructed through memory, fantasy, narrative, and difference. What the nocturnal subject refuses is not only exclusion, but the very criterion that decides what counts as "center" and what is cast as "margin."

Here, spiral writing takes shape as both method and aesthetic. It does not submit to forced clarity or to Cartesian chronology. Instead, it proposes another order—disobedient, rhizomatic, ancestral. This writing often rises from deep silences, from unwept losses, from gestures of care that do not fit inside official discourse. bell hooks (2013) once put it simply: we write because we must speak, because we were not heard. The spiral, then, is the form closest to our voice: it allows return; it does not pressure us to "conclude"; it authorizes narration from what was never said.

This first movement, therefore, is a call to plunge. An invitation to abandon the violent light of neutrality and enter the fertile dark of Black subjectivities. In the dark, we learn to see otherwise. To write otherwise. To become subjects—not of knowledge that imposes, but of a word that germinates.

Like a seed that breaks the soil at the touch of water, spiral writing rises from the womb of ancestry and expands toward what has not yet been named. In this germinative gesture, I move guided by escrevivente words—not a single author, but a symbol of so many anonymous Black women, silenced yet fertile with knowledge. "Germinative gesture" is what I call the act of those who taught us to speak with the body, to pray with feet on the ground, and to write with what life left in the palms of our hands.

It is with this image of writing as inheritance and resistance that I find the theoretical force of Sueli Carneiro. In denouncing epistemicide, Carneiro (2005) offers a key for understanding how the colonial and patriarchal project sought to erase Black intellectual production—especially that of women. The nocturnal subject challenges this control: he does not ask permission to exist in writing; he sprouts like grass insisting on growing through the cracks of academic concrete.

Sueli teaches us that to resist is also to write oneself. That Black writing is, first of all, a political action: reclaiming the right to narrate. In this sense, it is not about "including oneself" in hegemonic reason, but founding another—a Blackened, crossroads-based, collective reason. Spiral writing is the trace left by this insurgency.

Katiuscia Ribeiro (2016) extends this reflection by reminding us that ancestry is not only a theme, but a form. In proposing afroperspectiva as a way of seeing and writing the world, she affirms that our knowledges are woven in the body, dance, silence, and word; that orality is also writing; that gesture, too, is theory. And it is on this ground that I stand. The nocturnal subject is built with the whole body: writing with bare feet on the earth and eyes turned toward those who came before.

Spiral writing, then, is the shattered mirror of Western modernity. It does not aim to reflect the same world as always, but to reconfigure it around other axes: memory, body, affection, spirituality. And this is a profoundly political gesture—not writing "about," but writing "with," writing "from within," writing "from." From Grada Kilomba, from Sueli, from Katiuscia, from the fertile dark where words are born—the words they tried, for so long, to silence.

I write, therefore, as one who sows. As one who spins. As one who lets himself be carried by this spiral that binds me to ancestry and throws me—courageously—into what is to come.

And it is precisely in what is to come that the spiral intensifies—not as a predictable destination, but as a radical opening to what still has not been. In this horizon of unpredictability, Black writing inscribes itself as promise and risk: promise of reconfiguration; risk of not being understood by the traditional molds of criticism. Here, Jacques Derrida draws near, with his destabilization of fixed structures of language and his concept of *différance*—difference with an "e," shifting in time, deferring meaning, escaping full presence.

For Derrida (2005), writing is not the mirror of thought nor a simple representation of the real. It is supplement: something that adds, yet also threatens, disorders, contaminates the center. Spiral writing, as I propose it, is also this supplement—it unsettles the white, patriarchal, Cartesian logos that tried to convince us there is only one valid way to speak the world. Instead, it moves among absences, silences, and noise, without seeking a totalizing meaning.

When Derrida (2005) insists that writing has "always already" begun, he points to traces, marks, and absence as constitutive. And here he meets escrevivência: to write from Black experience is to mark what was silenced, to scratch through what was fixed, to leave a trace where forgetting was demanded. In our context, différance is not only semantic drift—it is epistemic disobedience, the act of slipping outside colonial grammar.

Black writing, as supplementarity, subverts the very gesture of signifying. It does not merely narrate—it strains the saying itself. It does not merely record—it reconfigures the field of what can be read and understood. With Derrida (2005), we refuse the "pure place of origin," because we know origin is also a myth forged by coloniality. Escrevivência does not return to a fixed point; it begins again—always—from the margins, in the interstices, in the leftovers.

Thus, Black, spiral writing carries différance as ethic and aesthetic. It is a writing that delays, returns, deviates; that will not bow to the imposed clarity of canonical text. On the contrary, it is made with the whole body, inscribing absences as presence and daring the reader to feel before understanding. And if "there is nothing outside the text," then our text is also made of memory, sweat, drum, affection, and scar.

This first movement, then, ends without ending. Like every spiral, it returns to itself and, at the same time, projects itself forward. The nocturnal subject does not walk in a straight line. He spins, dances, zigzags. He writes as one who crosses the night with eyes lit from within. And it is in this turning—where Sueli Carneiro, Katiuscia Ribeiro, and Derrida meet—that spiral writing reveals itself: as trace, as supplement, as a crossing that does not cease.

Because spiral writing—this writing that returns, resists, and begins again—finds in Lima Barreto one of its most powerful precursors: a quintessential nocturnal subject, whose life and work challenged the boundaries of the white, elitist intellectuality of his time. Lima wrote from the margins, with fatigue on his shoulders and wounded lucidity, yet with the urgency of someone who knew Brazil could no longer be read only from the center.

His writing did not stop—even when madness hovered, even when criticism denied him, even when Rio's society mocked him. He wrote because it was necessary. And that, in itself, is already "escrevivência".

In "O Triste Fim de Policarpo Quaresma", he exposes the national project as farce, presenting a character who, in trying to defend Brazil with purity and idealism, is swallowed by the brutality of the very system he meant to save. It is Lima saying—through cutting irony—that bodies outside the norm will be punished; that dreaming, if it is not white, will be condemned as delirium.

In his diary, he confesses that writing can be a way to forget or console oneself (Barreto, 1994). He also registers, with brutal clarity, the everyday racism that crossed his life, noting how the color of his body made him suffer (Barreto, 1994). This is not passive lament: it is political inscription—turning skin into denunciation and into writing.

The spiral, in Lima, is form and content. His language escapes the "proper" norms of the time, mixing the erudite and the popular, bringing the street into the page. He knew his writing would be judged "inadequate," and precisely for that reason it was urgent.

In Clara dos Anjos, Lima narrates the story of a young Black woman, made vulnerable by prejudice and invisibility, whose position is shaped by intersecting social conventions (Barreto, 2010). The sentence becomes an inventory of oppressions — and also of consciousness. Lima offers not only the portrait of an era, but the prophecy of a structure that still insists on remaining.

To bring Lima Barreto into this first movement is to recognize that, long before we theorized "escrevivência", it already pulsed in his lines. He wrote from the dark: from solitude, from the bottom of the well, from wounded lucidity. But also from critical anticipation, from rage turned into verb. Lima is the spiral's persistent trace—the nocturnal subject who, even between breakdowns and silences, did not stop writing, and therefore remains.

Because Lima Barreto made of the verb both weapon and shelter: a verb that refuses the grammar of power and instead strains it—marked by experience, erasure, disobedience, exactly like Black writing that insists on not being silenced. In his pen, the verb already announced what theory would later call escrevivência. For him, writing was vital verb—blood, sweat, lucidity. And it is from the verb that the second movement rises.

4 SECOND MOVEMENT: VERB-SKIN: BLACK WRITING AS A FIELD OF (RE)EXISTENCE

In this new turn of the spiral, I dive into the body of the word—not as representation of the norm, but as living presence. Here, Black writing reveals itself as a field of (re)existence: a territory where the verb becomes skin, memory, and insubmission. It is no longer only about naming the world, but recreating it from the materiality of what is lived. The verb ceases to be instrument and becomes body—body that speaks, body that wounds, body that pulses.

It is on this ground that Conceição Evaristo plants her words: escrevivência is not merely writing "about" oneself, but writing from oneself, with the other and for the other (Evaristo, 2018). The verb, when Black, carries histories that do not fit inside silence—histories whispered by women at bedside, by men in the corridors of captivity, by children in schoolyards that never wanted them.

In verb-skin, language is not neutral: it has color, class, ancestry. One writes with the whole body—with grandparents' memory, mothers' faith, the pain of the absent. This writing unsettles because it cuts into the dominant order of discourse; because it scribbles the margin in black ink and returns to paper its first function: a space of struggle and beauty.

Here, in the second movement, the spiral thickens. Writing no longer wants only to denounce; it wants to reconstitute. To weave bridges between past and what is to come. To make of the verb not only denunciation, but also cure—word that frightens and word that cradles; word that shouts and word that rocks like a lullaby. The verb, then, is resistance. Territory. A home for us. And it is by it—and with it—that we will keep writing.

Writing like one who sweeps the street to open passage for tomorrow. Writing like Carolina Maria de Jesus, who made of paper rescued from trash an altar of dignity. Her writing did not fit the molds of elitist literary theory—and precisely for that reason it teaches us so much. She wrote with hunger, with anger, with faith. She wrote because she had to register that the favela thinks, the Black woman thinks, hunger thinks.

In Quarto de Despejo, Carolina writes that Brazil should be led by someone who has known hunger (Jesus, 1960). The sentence dismantles entire libraries that name poverty without listening to it. Carolina did not "theorize" in the academic sense: she lived and wrote. And this gesture is already embodied theory.

Her verb-skin is an open wound in Brazilian literature. It shows that writing can — and must — be born from experience, even when that experience is unwanted by academies. Because what her pages carry is not only social denunciation; it is writing that challenges the criteria of legitimacy of the literary field. Carolina wrote in old notebooks, with "incorrect" spelling, without the "techniques" demanded by manuals—yet with a voice no canon could erase.

She herself noted the discomfort she caused: the "man of letters" resents that a woman from the favela writes a book (Jesus, 1960). That rejection—veiled or explicit—is proof of the arrogance of a literary theory that measures value by the yardstick of literate whiteness, as if only those who master official language were worthy of producing literature.

But Carolina breaks through. Tears open. Displaces. Her spiral writing does not climb academic stairs; it spins through alleys and backyards—and there builds its own poetics. She writes the city as body. Hunger as philosophy. Misery as potency of language.

In transforming trash into book, Carolina inverts canonical logic: what was discarded becomes central. What was ignored becomes record. The word that once served to silence becomes instrument of existence. And in that gesture, her writing does not ask permission—it asserts itself as life.

So, in this second movement, the verb is (re)existence, yes—but also insubordination. And if academic theory locks itself inside labyrinths of erudition without listening to voices from the ground—from the washbasin, from the terreiro, from Carolina's stained notebook—then it is theory that must be revised, not Carolina.

Black writing here does not bow to the norm. It is its own norm. Epistemology forged in flesh. Theory forged in hunger. And like Carolina, we continue writing—with improvised notebooks, tired hands, words that hurt and save. Because for us writing was never ornament: it was survival.

To survive, in this context, is more than remaining alive: it is not allowing the word that pulses in us to be silenced. It is making writing a way of inhabiting the world even when the world denies roof, bread, recognition. Carolina survived by writing—and, by writing, she survives in us. Her writing echoes as testimony, but also as strategy: for Black bodies, to write is to fight symbolic and literal death; to write oneself so as not to be erased.

In this second movement, the verb stops being abstraction—it incarnates. It smells of old paper, looks like peeling paint, sounds like an empty pot. Black writing is verb incarnated in the skin of those who are beaten by life and still choose to narrate. That is why it disturbs the bastions of academic literary theory: it exposes their limits, their arrogance, their refusal to come down from ivory towers.

A theory that cannot recognize Carolina, that cannot dialogue with peripheral orality, with Candomblé wisdom, with the denunciation of escrevivências, is a blind theory—sometimes willfully blind. It is more comfortable to analyze nineteenth-century European realism than to face the real Brazil that bleeds and writes.

Black writing, in this sense, is also counter-discourse. It strains the criteria of value, questions the canon, destabilizes the pacts of power hidden beneath the neutrality of criticism. When Carolina notes that she had nothing to eat, yet she wrote (Jesus, 1960), she says more than a thousand essays: she founds an ethics of the word—an ethics from the ground, where aesthetics cannot be separated from existence, nor text from body.

And it is with this body-writing that I continue this second movement. Because each time a Black woman writes her life, she tears open the pages of silence. Each time a Black man narrates his childhood, he defies the logic of erasure. Each time a Black child becomes a character in a book, a future announces itself.

The verb is seed. Scar. Drum. Water that wears down stone. An arrow launched against forgetting. And if literature cannot contain all this, then let literature widen—let the concept of literature bend before the escrevivente crossing that persists even when everything is lacking. Because the verb is skin. And Black skin writes.

It writes with calluses, with inherited silences, with ancestry pulsing in the bones. It writes as insurgency and as invention. And in the face of that, theory can no longer remain immune: it must commit, implicate itself, move. This is where thinkers who write from the margins become central in this crossing.

Achille Mbembe, for instance, with the notion of necropolitics, helps us understand Black writing as response to the politics of death: we write against erasure, against the management of racialized bodies, against regimes that treat Black existence as disposable. Writing—as Carolina's and so many others'—is direct confrontation. Mbembe suggests that Black life is often captured as life under control, at the margin (Mbembe, 2018), and it is from that margin that writing rises—not as plea, but as affirmation.

Patricia Hill Collins is essential here. In building Black feminist standpoint epistemology, she insists lived experience is a valid criterion for knowledge-making, breaking the myth of scientific neutrality. In paraphrase: wisdom emerges from the feeling body, the wounding everyday, the silence that listens (Collins, 2019). When the Black woman writes from herself, her community, her memory, she refuses to remain an object of study—she becomes author, producer, architect of language.

Gloria Anzaldúa, with her notion of borderlands, also illuminates this. She proposes a fragmentary, hybrid writing that mixes languages and forms. She famously states she writes out of fear of writing, but fears even more not writing (Anzaldúa, 2012). This fear becoming verb is central to much contemporary Black literature: fear that does not paralyze, but is transfigured into courage.

Grada Kilomba, in turn, strains language as a site of exclusion. She argues that the colonizer's language silences us and must be reinvented — our words, our forms, our listening (Kilomba, 2019). Writing becomes the place where the body and history are reclaimed: to write oneself Black is often to cross invisible fences of power.

Thus, this second movement reveals Black writing as verb and denunciation, but also as theory—an embodied theory that will not fit in traditional compendia. It demands a sensitive, ethical, decolonial listening: a listening that does not "correct," but receives; that does not classify, but recognizes.

To keep writing is to refuse the logic of exception. It is to affirm that words born at crossroads are not deviations, but paths—paths that open even when everything tries to close them. Paths built with verb, skin, memory: paths of (re)existence.

And it is precisely from life—from life in its fullness, with pain, struggle, subterranean joys—that the third movement rises: a life that does not separate from text, does not detach from body, does not fit into the sealed categories of traditional criticism. A life that writes while living, and lives while writing. Because for us writing was never mere style: it was breath, survival, rebirth.

5 THIRD MOVEMENT: ESCREVIVÊNCIAS: THE WRITING OF US

In this new turn of the spiral, it is no longer only about narrating the world: it is about narrating ourselves. Returning to ourselves the right to tell our own story, with our own rhythms, silences, and images. Escrevivência is the point where the word becomes us—us as collective subject, as bond, as cord that ties us to other voices. To write, in this movement, is to share existence.

When Conceição Evaristo coins the term escrevivência, she not only names a Black aesthetic; she founds an ethic of writing. Her insistence is clear: these writings are born from flesh, not from paper (paraphrase of Evaristo, 2018). And for that very reason they refuse erasure and the domestication of Black bodies by language. Escrevivência is a gesture of liberation: it returns to literature its function as living memory, its function as cure.

Here, the word is drum. Prayer. A mother's lap. A crossing of the child who was silenced and now returns to write from within. Escrevivência is writing with feet dirty with mud, with hands marked by time, with a mouth full of stories the world refused to hear. It is, finally, the writing of us—of all who resisted at the margin; of all who made the verb shelter, weapon, bridge. And this is why we go on: turning, returning, resignifying, writing with life and for life.

Because when life breaks into the text, it does so with bodily force, with the sound of memory, with the smell of earth. Contemporary Black literature has become a fertile field where this life inscribes itself without asking permission—through escrevivência, self-writing, (re)existence. Voices no longer content with "representation": they demand, perform, invent.

This is what Djamila Ribeiro does when she frames thinking itself, for Black people, as an act of resistance and a way of staying alive (Ribeiro, 2019). The act of writing becomes a gesture of confrontation, a mode of being-in-the-world despite everything.

In Ryane Leão's poetry, experience becomes both delicate and fierce: she names herself as made of pasts no one wanted to hear and futures no one wanted to foresee (Leão, 2017). The short verse becomes both blade and balm: word as living skin, bleeding and suturing as it is spoken.

Cidinha da Silva, when she denounces the persistence of state violence, writes of mothers who do not sleep because they must guard their children's dreams (Silva, 2019). Here, escrevivência is vigilance: a body writing with fear, yet refusing to surrender.

In Eliana Alves Cruz—especially in Água de Barrela—the text becomes inheritance: family oral memory crossing time into narrative. She insists on knowing where she came from in order to know where she can go (Cruz, 2016). This is escrevivência: sewing past to now, stitching identity they tried to unravel.

And in Lázaro Ramos, writing becomes mirror and interrogation: he is what racism tried to make of him, but also what it could not destroy (Ramos, 2017). Escrevivência is what survives trauma and turns it into language—not empty resilience, but daily reinvention.

These contemporary authors write life in all its folds. Their words seek not merely a place in the literary market, but full life, true listening, narrative dignity. Their words are not only about Black experience: they are Black experience.

So the third movement returns to body, affection, collectivity: a writing of us, and with us—as entanglement, bond, permanence. Because when life writes, the text stops being object and becomes territory. And it is on this territory that we continue.

It is here that thinkers like Kwame Anthony Appiah offer conceptual tools for grasping these reconfigured Black subjectivities in literature. Appiah argues that identities are not fixed essences but narratives—ways of telling ourselves to others and to ourselves (Appiah, 1997). This resonates with escrevivência, which is self-telling that is also collective, ancestral, crossroads-based.

Appiah also warns against essentializing Black identity into a single normative model. Diasporic culture is plural. Black writing is not homogeneous: it is rhizome, crossing, crossing-over. Escrevivência, then, is not merely genre or style, but an epistemology in motion.

This movement of crossing is also present in Paul Gilroy's Black Atlantic: the experience of modern Black life cannot be understood only within national borders, but through diasporic flows, transits, exchanges. Gilroy suggests Black culture is both product of modernity and simultaneous critique of it (Gilroy, 2001). Escrevivência inscribes the Atlantic into the text—not as sea of death, but as ocean of memory and reinvention.

Stuart Hall, likewise, insists identity is a position, not an essence: identity is produced, never simply found (Hall, 2006). That is exactly what escrevivência does: continuous production of self from erasure, memory, wounded body—yet not defeated.

Anzaldúa again helps us inhabit the in-between, the border space where pain and creativity coexist. She writes because she must register what others sweep away (Anzaldúa, 2012). Escrevivência is that seam: between silence and word, pain and beauty, forgetting and memory.

To incorporate these theoretical voices is to recognize escrevivência not only as resistance but as theory made with the body—critique born of lived life, philosophy in raw flesh. It proposes another idea of literature: one that dares to feel, distrusts analytical distance, and calls the reader to ethical engagement.

And when we speak of beginning again, Conceição Evaristo rises like a beacon. Her work is an inexhaustible source of returns and re-beginnings: narratives that do not close but unfold like spirals of memory, pain, affection, resistance. She writes as one who returns to the past not to inhabit it, but to refound the present through the eyes of ancestry.

6 FINAL CONSIDERATIONS: AN ESCREVIVENTE HARBOR: WHERE THE WORD DOCKS AND THE BODY RESTS

I arrive at the end of this essay as one who docks in a harbor—not a harbor of absolute rest, but of recognition. An escrevivente harbor: a place where the word that left wounded returns whole, even if marked. Where the body thrown into the sea of silence finds shelter in listening. Where the text ceases to be "only theory" and becomes crossing.

Throughout this route, I wrote not only with the head, but with the whole body. I was guided by the voices of Conceição Evaristo, Carolina Maria de Jesus, Lima Barreto, Lázaro Ramos, Sueli Carneiro, Stuart Hall, Appiah, Anzaldúa, bell hooks, and so many others who—like ancestral lighthouses—lit this path. Each passage of this essay is a fold in time, a stitch of memory, a (re)existence in verb and affection.

Across the three movements, I understood that Black writing does not submit to canonical molds. It spirals, dances, falls, rises, begins again. The nocturnal subject who writes within it does not seek artificial lights, but the deep brightness of ancestry. Contemporary Black literature displaces white centrality, dismantles the myth of neutrality, and reconfigures the concept of literature itself.

Escrevivência — this term born from the life-gesture of Black women — reveals itself here not merely as category, but as method, ground, ethic. To write from skin, memory, pain, and joy is to affirm that our lives are worthy of narration—and more than that, that they can found other epistemologies, other possible futures.

The escrevivente harbor, therefore, is this place that receives words unwelcome in other territories. It is where the text rests but does not fall silent; where silence is held and also broken; where each sentence is an oar; where each comma is a breath. Where the verb is boat—and the body, compass.

And so, with feet still wet from crossing, with skin marked by sun and memory, I finish this essay without closing it. Because Black writing does not end. It turns. It returns. It departs again. And wherever there is body, pain, affection, childhood, silence, and courage—there will always be a new harbor. Escrevivente. Black. Ours.

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Great Britain Journals Press

RESEARCH FINGERPRINT

IDENTIFIER
LJRHSS-226364

PEER REVIEW
Double Blind

SIMILARITY CHECK
Perplexity AI and iThenticate

ACCESS
Open Access

LANGUAGE
English

PRINT ISSN
2515-5784

ONLINE ISSN
2515-5792

EDITION

ABBREVIATION
LJRHSS

VOLUME
26

ISSUE
4

YEAR
2026

KEY DATES

RECEIVED
2026-03-16

ACCEPTED
2026-03-23

ONLINE PUBLISHED
2026-05-12

PUBLISHED
2026-06-26

CATALOGING

CROSSMARK DOI
10.34257/LJRHSS226364UK

LCC CLASS
LB1573, PN1009.A1, PN3171

ACCESS ONLINE

London Journal of Humanities and Social Science
General Section

Article Record

6th Grade Multidisciplinary Reading Theatre: Erich Kästner's Classic Youth Literature in Today's Context

CORRESPONDENCE

AUTHORS & AFFILIATIONS

Winnie-Karen Giera ¶*

ORCID 0000-0001-8485-8570

Franziska Fröhlich ‖

Teacher

Annette Fitzen §

ζ Author and Founder

¶ University of Potsdam, Germany

‖ Soltau Gymnasium, Germany, Germany

§ Kinder seid Kinder, Germany, Germany

ABSTRACT

Erich Kästner's children's literature shaped children's reading and socialisation experiences for decades in Germany. His texts combine vividness with the communication of classic values and promote independent problem-solving strategies. The theatre project presented adapted a Kästner text as reading theatre. The work strengthened creative, linguistic and social skills and confirmed literature as an action-oriented practice for personality and group development. The article describes how classic children's and young adult literature can be used to create a participatory Theatre project that promotes reading, writing, and acting.

Index Terms: Traditional Youth Literature • Erich Kästner • Literary Education • Value Education • Action-Oriented Learning • Reader's Theatre

FUNDING
This research was funded by Foundation 'Kinder seid Kinder'.

CONFLICTS
The author declares that there are no conflicts of interest regarding the publication of this paper.

AI USAGE
No generative AI was used for analysis or results.

HOW TO CITE
Giera et al. (2026). 6th Grade Multidisciplinary Reading Theatre: Erich Kästner's Classic Youth Literature in Today's Context. London Journal of Humanities and Social Science, 26(4), 24-37. DOI: 10.34257/LJRHSS226364UK

METADATA CONTINUATION

AUTHOR CONTACT QR LEDGER

Winnie-Karen Giera¶*

ARCHIVAL RECORD

LJRHSS · Vol 26 · Issue 4 · 2026

Article ID LJRHSS-226364 · DOI 10.34257/LJRHSS226364UK

Print ISSN 2515-5784 · Online ISSN 2515-5792

CROSSREF DOI 10.34257/LJRHSS226364UK

RESEARCH ARTICLE

6th Grade Multidisciplinary Reading Theatre: Erich Kästner's Classic Youth Literature in Today's Context

Winnie-Karen Giera¶* iD, **Franziska Fröhlich**‖∐, and **Annette Fitzen**§ζ

QUALIFICATIONS / ROLES

∐ Teacher
ζ Author and Founder

AFFILIATIONS

¶ University of Potsdam, Germany
‖ Soltau Gymnasium, Germany, Germany
§ Kinder seid Kinder, Germany, Germany

Abstract

Erich Kästner's children's literature shaped children's reading and socialisation experiences for decades in Germany. His texts combine vividness with the communication of classic values and promote independent problem-solving strategies. The theatre project presented adapted a Kästner text as reading theatre. The work strengthened creative, linguistic and social skills and confirmed literature as an action-oriented practice for personality and group development. The article describes how classic children's and young adult literature can be used to create a participatory Theatre project that promotes reading, writing, and acting.

Keywords: *Traditional Youth Literature, Erich Kästner, Literary Education, Value Education, Action-Oriented Learning, Reader's Theatre*

Correspondence: Winnie-Karen Giera

1 Introduction

Only those who grow up and remain children are truly human! (quote by Erich Kästner, translated)

The year 2024 marked a double anniversary for Erich Kästner: The German and famous author was born 125 years ago and died 50 years ago. His classic children's books, such as "Pünktchen and Anton," "Das doppelte Lottchen/ The Twin Lottchen," "Emil und die Detektive/Emil and the Detectives," and "Das Fliegende Klassenzimmer/The Flying Classroom," continue to delight young readers worldwide to this day. In the bedrooms of past generations, Kästner's books almost always had a permanent place. The question for reading teachers is: How can language teachers use classic youth literature such as Erich Kästner's books in modern classrooms?

Kästner knew how to convey everyday topics in a child-friendly way without lecturing, bringing classic values like friendship, responsibility, and honesty to life. In this way, children received a "guide" to finding solutions on their own.

The small town of Soltau, nestled in the heart of Germany, also has a special connection to Kästner's work, as it is home to an actual "Flying Classroom/Fliegendes Klassenzimmer" (see Fig. 2). The roughly 30-square-meter room hovers atop an elevator tower, providing barrier-free access to the "Spielmuseum/Play Museum." The "Foundation/Stiftung Spiel" brought the construction project to life ten years ago. Since then, the space has served as a creative place for playing, reading, crafting, and hosting small events. The "Kinder seid Kinder" foundation, which is involved in this theatre project, has also been a guest here on several occasions.

Against this backdrop, the idea arose to bring Kästner's stories into the present day and organize a public reading by children for children in 2024. Through the collaboration of the three authors and other partners in the city, a concept emerged that linked the high school with the youth center (named "YouZe"). Classes were moved to this unique learning space-with a palpable burst of creativity sparked by the unfamiliar surroundings.

The project goal was to turn reading challenges into opportunities to excel on stage, empowering struggling readers like Kästner's characters in his books. The intended reading project ultimately developed into a staged production. Students selected scenes from the complete works, created contemporary adaptations, and presented these performances to a public audience as reading theatre in the actual "Flying Classroom" and at the "Filzwelt felto" museum. This article aims to explain this exemplary collaboration between the university and the school within the framework of the aforementioned theatre project and to demonstrate how such collaboration can emerge through participatory and collaborative work involving university staff, teachers, social educators, foundation employees, and students in the case community Soltau, Germany.

While Erich Kästner may not be widely recognized internationally, there are traditional authors in every country whose works form an integral part of school curricula. The challenge faced by educators is how to effectively bring these literary traditions into contemporary classroom settings. By doing so, teachers can foster a culture of reading that empowers every student, regardless of their background or familiarity with the literature. Integrating classic works in a modern context encourages engagement, supports reading development, and helps students connect with the values embedded in their national literary heritage.

Our multidisciplinary team-which includes an author, a teacher, and a researcher-aimed to highlight Kästner's child-friendly philosophy to help every child become a more confident reader.

Figure 1. Photo of book “Das Fliegende Klassenzimmer/the Flying Classroom” (Photo: Giera)

Figure 2. Photo of the public venue “Das Fliegende Klassenzimmer/the Flying Classroom” (Photo: Fitzen)

2 Theoretical framework

2.1 Why the author Kästner? – A textual analysis

As one of the defining authors of many readers' childhoods and a representative of the "people's writers" (Reich-Ranicki, 1998b, p. 131, translated) such as Fallada or Tucholsky, he remains relevant to this day: Erich Kästner, born on February 23, 1899, in Dresden (Germany), died on July 29, 1974, in Munich. He was the author of numerous poems, children's books, essays, and short stories.

Marked by two world wars (see his poem "Jahrgang 1899") and a childhood in modest circumstances, he developed an optimistic attitude toward people despite all his experiences and processed his longing for the childhood he never had through his writing. "He never wanted to stop believing that people could do better [...]" (Reich-Ranicki, 1998b, p. 131, translated). It was precisely from this that his ability arose to provide guidance to children and young people, but also to adults, through his works.

His publications, which were banned during the Nazi era, address central themes of human coexistence and are set in the present: friendship, appreciation, responsibility, honesty, justice, courage, a willingness to compromise, and the ability to accept loss. "He belongs to the moralists who are also entertainers" (Reich-Ranicki, 1998b, p. 131, translated). He manages to captivate readers through the humorous portrayal of his child characters, who do not too often take on the role of educators, as is the case, for example, in "Doppelte Lottchen" or "Pünktchen und Anton": "And it is not the parents who educate their children, but the children who educate their parents, ultimately bringing them to their senses" (Reich-Ranicki, 1998b, p. 141, translated). Thus, from the children's perspective, this is a resolution that, while initially appearing humorous, carries a deeper meaning and sparks discussion about hierarchy-based education.

These classic values of Kästner's, as portrayed in his literature-which are indispensable for a functioning society-are more relevant today than ever (Giera et al., 2025a, Reich-Ranicki, 1998b, p. 135). In his work "Das Fliegende Klassenzimmer/The Flying Classroom" (first published in 1933 and adapted for film multiple times), Kästner envisions a learning environment that did not exist at the time. The story conveys the idea of a practical, independent, and joyful approach to knowledge transfer at a boarding school—a revolutionary concept for its time, which can be found today in modern teaching methods.

The current edition of Kästner's (2023) "The Flying Classroom" consists of twelve chapters spanning 184 pages (see Fig. 1). The plot highlights the tensions between two groups of students—boarding school students versus secondary school students-through mutual pranks. In particular, the characters "Justus," the tutor, and the "Non-Smoker," who lives in a railroad car, serve as role models within the context of the plot. Both combine pragmatism with empathy and place their trust in the boarding school students throughout the narrative.

This attitude strengthens the children's motivation and self-confidence and becomes the foundation for successful coexistence (Giera et al., 2025a, p. 30). Thus, Kästner's drama, with its theme of school, also connects to the lived experience of today's youth.

The literary critic Marcel Reich-Ranicki (1998b, p. 132) places Kästner in the same league as Fontane and Heine (famous authors in the past): "Erich Kästner did not write monumental works" (Reich-Ranicki, 1998b, p. 142, translated), but

> "He listened to the people. Like no one before him, he eavesdropped on and captured the everyday language of city children. Seen in this light, this book was nothing less than literature for children's long-overdue turn toward realistic means of expression as well as verifiable reality." (translated, Reich-Ranicki, 1998b, p. 142, translated).

Thus, despite the date of its creation, Kästner's youth drama is a work with contemporary social relevance and is therefore rightly included in the school canon to this day. This teaching project builds on Kästner's literary work to familiarize students with the play "The Flying Classroom" and to situate it in the present day by adapting individual chapters into theatrical scenes. The year 2024 was a topical and relevant setting due to media coverage surrounding the Kästner Year (see above). The direct link between Kästner's work and the Soltau performance space (see Photo 2) creates a regional connection to the students' local environment. Chronologically, the project was tied to a series of lessons within the German curriculum. Consequently, only a selection of learning objectives could be prioritized. The learning objectives for this teaching project are as follows:

1. Reading and commenting on (using annotations and student discussions) individual scenes from the work "Das Fliegende Klassenzimmer,"

2. the collaborative and/or cooperative rewriting of selected scenes in working groups,

3. the audience-oriented and prosodic reading of scenes during rehearsals and public performances, as well as

4. the weighing and coordinating of decisions within the working groups and with all project participants within the theatre project for the performance.

When these competency goals are considered together, the aim is to promote a holistic approach to reading a literary work, in this case Kästner's "The Flying Classroom". The following third chapter explains this in detail.

2.2 The development of literacy skills and reading literacy

Literacy is a key competence for educational success and social participation. The UNESCO (2025) sums up:

> "Literacy is the ability to identify, understand, interpret, create, communicate and compute, using printed and written materials associated with varying contexts. Literacy involves a continuum of learning in enabling individuals to achieve their goals, to develop their knowledge and potential, and to participate fully in their community and wider society".

So, the term literacy encompasses the ability to recognize, understand and interpret written language in various contexts and to use it to communicate. Reading literacy is therefore essential for pupils to achieve academic goals, build knowledge and participate actively in social life (Giera, 2025d, p. 1).

However, many pupils struggle to develop adequate reading skills. These challenges are particularly evident in mixed-ability classes, where learners differ in terms of their linguistic background, cognitive abilities and learning conditions. Inclusive education therefore requires

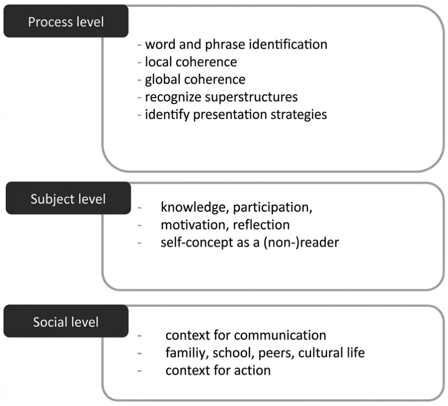


Figure 3. Multi-level model of reading according to Rosebrock & Nix 2020 (Giera, 2025f, p. 32)

teaching approaches that support diverse learners and offer meaningful opportunities to engage with texts (Giera, 2025d, p. 2, OECD, 2023; OECD, 2019).

Participatory and performative approaches in reading instruction have been identified as promising strategies for promoting literacy in inclusive settings. Theatre-based learning activities enable pupils to interact with texts through reading, interpretation and performance. In such contexts, reading becomes an active and collaborative process rather than an individual and passive activity (Giera, 2025d, Cremin & Scholes, 2024; Boyask et al., 2024; Rosebrock & Nix, 2020). By combining reading exercises with creative expression, theatre projects can promote both reading literacy and social interaction among learners (Giera, 2025d, p. 5, Cardol et al., 2025; Freeman & Welsh, 2024; Jónsdóttir & Thorkelsdóttir (2024).

2.3 The multi-level model of reading

Reading literacy can be understood through a multi-level perspective (see Fig. 3) that integrates cognitive, individual and social aspects of reading. According to this model, reading processes take place at three interconnected levels: the process level, the content level and the social level (Giera, 2025d, pp. 3–4, Rosebrock & Nix, 2020).

At the process level, reading involves cognitive activities such as word recognition, deriving meaning from sentences and understanding the overall structure of a text. Readers must establish coherence within the text in order to interpret its meaning and link different parts of the narrative together (Giera, 2025d, p. 4). The subjective level focuses on the individual reader and encompasses factors such as motivation, prior knowledge, engagement and self-concept as a reader. Pupils who perceive themselves as capable readers are more likely to engage actively with texts and participate in reading activities. In contrast, learners with a negative self-concept may demonstrate lower motivation and engagement when reading (Giera, 2025d, p. 4, Rosebrock & Nix, 2020). The social level highlights the importance of social contexts for reading development. Reading activities take place in social settings such as classrooms, peer groups and families. These contexts influence pupils' attitudes towards reading and provide opportunities for collaborative interpretation of texts (Giera, 2025d, p. 4, Rosebrock & Nix, 2020).

Together, these three levels illustrate that reading literacy arises from the interplay of cognitive processes, individual motivation and social learning environments. Teaching approaches that combine reading with collaborative activities can therefore promote reading and writing literacy in a holistic manner.

Prior to the start of the project, all students read the entire book in preparation (see Section 3.2 for more project details). During the planning phase for the performance, the class collaboratively reviewed the chapters and discussed which ones they considered most significant and engaging to present on stage. This decision was not made by the teacher, but rather by the students themselves, ensuring that the selection process was democratic and reflective of their interests. The students engaged in literary discussions as a group, applying the social level of the multi-level model of reading. Through this social interaction, they analyzed the text, shared perspectives, and collectively determined which parts of the book would be most impactful for the theatrical performance. This approach fostered both critical thinking and group collaboration, emphasizing student agency in the creative process.

2.4 Drama education as an approach to promoting reading and writing

Furthermore, contemporary classrooms require multidisciplinary reading strategies to effectively engage every student in reading. Drama education offers an interactive and participatory method for promoting reading and writing skills. Theatre facilitates alternative approaches to reading and interpreting dramatic texts, thereby supporting the integration of cognitive, emotional, and embodied knowledge (Polido et al., 2025). In drama-based learning environments, pupils transform written texts into staged scenes and dialogues. This process requires repeated reading, interpretation and rehearsal, which supports the development of reading fluency, reading comprehension and expressive reading skills (Giera, 2025d, Scheller, 2023).

Participatory theatre projects encourage pupils to engage actively with texts rather than consume them passively (Boal, 2019; Iser, 1978). Through role-play and performances, learners interpret characters, explore narrative perspectives and collectively construct meaning from the text. This experiential engagement can boost motivation and strengthen pupils' self-confidence as readers and performers (Scheller, 2023; Giera, 2025d, p. 5).

Furthermore, theatre-based learning promotes communication and collaboration within the group. Pupils must coordinate their roles, rehearse scenes together and make collective decisions about the performance. These processes foster teamwork, dialogue and shared responsibility among participants (Giera, 2025d, p. 5). So, drama as discipline could enhance reading in language classes. This type of engagement necessitated not only superficial interpretation but also thorough understanding and coordinated action among group members. Dramatic literature is capable of fostering an active, interpretive, and socially contextualized reading experience within the framework of collaborative stage production (Boal, 2019; Iser, 1978). The combination of two disciplines, here language education (reading) and drama pedagogy, could support the reading engagement.

2.5 Rituals in inclusive reading theatre

In all kind of organizations with humans, rituals are structured, repeated activities that provide stability and significance within group environments (Maheswari, 2025; p. 163):

> "Rituals play an integral role in shaping organizational behavior and enhancing employee well-being. They create a structured environment that reinforces values, builds trust, and promotes emotional regulation. By providing employees with a sense of predictability and structure, rituals mitigate stress and uncertainty, which are especially important in high-pressure or rapidly changing environments (Pfeffer, 2018). Rituals also facilitate habit formation, making desired behaviors more automatic and

> less cognitively demanding, which improves overall organizational efficiency (Duhigg, 2012).When integrated into daily routines, rituals not only improve efficiency and performance but also contribute to a supportive and cohesive work culture."

In educational contexts, these approaches establish consistent routines and emotional security, allowing learners to engage with increased assurance. Rituals serve as mechanisms for transition, convey social cues, and provide opportunities for reflection or activation (Davidson & McEwen, 2012). In inclusive classrooms, especially those utilizing drama or performance-based instruction, rituals are valuable in facilitating social integration, reducing anxiety, and enhancing group cohesion. Structured protocols and rituals are particularly significant within inclusive theatre projects, as they offer participants stability and guidance—an essential support in diverse learning environments where students possess varying levels of literacy or experience with theatrical activities (Giera, 2025c, p. 87).

In inclusive reading theatre projects, rituals may include regular rehearsal routines, warm-up exercises and shared reflection sessions. These practices help to create a supportive learning environment and establish a sense of belonging within the group. Through recurring activities, pupils become familiar with the structure of the project and feel more confident about participating in the performance process (Schmalenbach et al., 2025; Giera, 2025c, pp. 88–90).

Rituals also contribute to inclusive participation by conveying clear expectations and reducing uncertainty. When activities follow a consistent structure, pupils with different learning needs can more easily participate in the collaborative process of rehearsing and performing theatre scenes (Giera, 2025c, pp. 90–92).

We used drama pedagogy rituals, including warm-ups and structured check-ins and check-outs, to foster an inclusive reading environment. These practices aimed to provide all students with orientation, a welcoming start, and a supportive end to each rehearsal (see Section 3.2).

2.6 Theatre projects and social cohesion

Theatre-based educational projects can also promote social cohesion within learning groups. Social cohesion refers to the quality of relationships between members of a group and encompasses elements such as trust, cooperation, participation and a sense of belonging (Chan et al., 2006, as cited in Giera, 2025f, p. 27).

Participatory theatre projects offer learners the opportunity to collaborate on creative tasks and build relationships through shared experiences. By rehearsing and performing scenes together, learners practice communication, negotiation and teamwork. These collaborative activities can strengthen group identity and foster positive social interaction among participants (Giera, 2025f, pp. 3–4). Similarly, Fonseca, Lukosch, and Brazier (2019) emphasize that social cohesion develops through interactions between individuals, communities, and institutions, and is characterized by participation, belonging, and mutual recognition (as cited in Giera, 2025f, pp. 28–29).

Theatre projects that address socially relevant topics can also stimulate reflection on interpersonal relationships and group dynamics. Through role-play and dramatic interpretation, learners explore different perspectives and discuss social situations within a structured learning environment (Giera, 2025f, p. 5).

2.7 Inclusive learning communities

The concept of inclusive learning communities provides a broader framework for understanding theatre-based literacy projects. Inclusive learning communities aim to create educational environments in which all pupils can learn and participate together, regardless of their individual backgrounds or abilities (Giera, 2025e, p. 3).

Inclusive education is based on principles such as equity, participation and the recognition of diversity. Educational institutions therefore have a responsibility to design learning programmes that take into account the individual learning needs of pupils and provide appropriate support (Giera, 2025e, pp. 3–4).

Within inclusive learning communities, collaborative projects such as theatre productions can play an important role. These projects enable pupils to share learning experiences, develop social skills and actively participate in creative processes (Giera, 2025e, p. 5).

In our drama project, the students exhibited varied reading competencies (see Section 3.2), and overall, their reading skills were assessed as not being at a high level by the participating reading teacher. Following individual reading support sessions provided by the teacher (see 3.2), the next objective was to involve all students in a unified reading project. Each student was tasked with preparing a scene from Kästner's book, focusing both on subject comprehension and collaborative training. Additionally, they engaged in small group discussions to analyze their scenes from a literary perspective.

Ultimately, the aim was for the audience to experience more than just fluent reading of dramatic scenes; the performance should captivate through an integration of reading and theatrical elements such as costumes, vocal variation, pacing, use of props, and collaborative staging. Achieving this required more extensive rehearsal processes (as referenced in Section 2.3) than simply reading the book once and answering written questions. This project provided an opportunity to integrate social, subject, and process aspects of reading, thereby enabling all students to advance to higher levels of reading and performance.

2.8 (Re)Connection to the Kästner Reading Theatre Project

The theoretical perspectives described above form the basis for the Kästner Reading Theatre Project carried out in this study. In this project, scenes from a literary text are adapted into scripts and performed as a reading theatre. Through repeated reading, rehearsals and performances, the pupils engage intensively with the text and develop their reading skills.

The project integrates the principles of participatory theatre, inclusive learning communities and ritualized rehearsal structures. The pupils work together in groups, take on roles and perform scenes together, which promotes both reading and writing skills as well as social interaction. Rehearsal routines and theatre rituals provide structure and support the inclusive participation of learners with varying reading abilities (Giera, 2025c, Giera, 2025d).

At the same time, the cooperative nature of the theatre project contributes to the development of social cohesion within the learning group. Through joint rehearsals and performances, pupils build trust, cooperate with their classmates and experience a sense of belonging within the group (Giera, 2025f).

Thus, the Kästner Reading Theatre Project combines reading and writing skills, inclusive pedagogy and theatre-based learning within a single educational framework. By integrating reading, performance and collaboration, the project aims to promote both reading skills and social interaction among pupils in an inclusive learning environment.

3 The Project as a series of lessons

The following section presents the didactic analysis and the instructional implementation of the Kästner project. Finally, this lesson series is evaluated and reflected upon.

Table 1. 1: Overview of the chronological lesson series

Field	Value
11/08/24	Introduction to the work, students' wishes, gallery walk, scene selection, group formation
11/16/24	Voice and speech exercises, movement games, text revision, consultation, feedback, group activities
11/22/24	Organizational meeting, "Banana Song," physical exercises, script revision, small-group work, reading aloud, character analysis, reflection
11/29/24	Scenic implementation, chain story, group work on scenes, presentations, feedback, reflection
12/06/24	Welcome, mirror and freeze techniques, pantomime scenes, stage work, scene integration, closing song
12/13/24	Dress rehearsal at the performance venue, props, blocking rehearsals, run-through, feedback, Christmas carol
Dec. 17–18, 2024	Public performances at "Felto" and in the "Flying Classroom," invitation to parents/public

The Lower Saxony learning group studied comprises 27 students (11 female, 16 male) in a sixth-grade class who have been taught German by the same teacher since the start of secondary school and are also supervised by her as their homeroom teacher. The class is characterized by a high level of motivation, discipline, and strong social dynamics. High-achieving students work primarily independently, while three students with diagnosed dyslexia and one student for whom German is a second language require additional support (Giera et al., , p. 32).

Reading proficiency is an essential aspect of development for the class. The teacher used curriculum-based reading tasks to assess reading competence, but did not conduct an empirical baseline assessment—a research limitation (see Section 4). Additionally, qualitative observations by the German teacher over the past few years indicate a declining interest in reading as well as deficits in the students' text comprehension. Consequently, various support measures were implemented. In addition to reading assignments in regular German class, the German teacher initiated close cooperation with the local library and founded the "Read-Aloud Club," where reading aloud is systematically practiced. In addition, public readings, reading nights, and appearances at kindergartens and senior centers. According to the German teacher, these measures promoted reading fluency, increased familiarity with reading aloud, and strengthened the culture of feedback within the learning group.

3.1 Didactic analysis

According to the OECD (2019), reading literacy is the ability to understand and use texts effectively. It is central to social participation, as the PISA studies from 2018 (OECD, 2019) and 2022 (OECD, 2023) show: Many 15-year-olds lack sufficient reading literacy. Reading models such as that proposed by Rosebrock and Nix (2020) illustrate that weaknesses in reading and writing can hinder educational progress. To foster process-oriented, subjective, and social reading literacy, engaging with plays in a playful manner—for example, by working on text coherence, collaborative creation, and interaction within a peer group—is an effective approach. The theatre stage serves as a performance space for diverse linguistic and non-linguistic forms of expression (Rosebrock & Nix, 2020; p. 15, see Fig. 3; Denk & Möbius, 2017; p. 18).

At the process level of the following multi-level model (see first level in Fig. 3), reading on stage promotes word and sentence identification on the one hand, but through scenic interpretation, it also enhances the local and global coherence of the scene being read. Thus, on the one hand, the characters in the scene must be read and interpreted. Furthermore, decisions must be made regarding where the character stands, what they are wearing (costume), which props are needed for the performance, and how the characters in the scene relate to one's own character. Not everything can be deduced locally from the text. Plays deliberately offer potential for interpretation (see below for more details).

At the subject level (see Fig. 3), participation is fostered through the planning of a performance and regular rehearsal on stage. Everyone is involved through the embodiment of their character in the scene. Scene work increases reading activity, as the scenes must be repeatedly read, interpreted, read aloud, and acted out in order to embody the roles (see below for more details).

On the social level, a staged performance establishes a context for action (see the third level in Fig. 3). Furthermore, a performance fosters organizational coordination within the theatre team. When performances based on literary source texts are presented to the school community or even to the general public, other school members, parents, and guests can participate in the cultural event as spectators. In summary, it becomes evident that reading plays enables a range of possibilities for action, including performances, and that, leading up to a performance, negotiations regarding the reading process take place within the theatre team in the form of textual interpretations. This will be elaborated upon in the remainder of this chapter.

The selection of the play "Das Fliegende Klassenzimmer," chosen to coincide with the Kästner Year (Deutschlandfunk Kultur, 2024) in 2024 and firmly established in the school curriculum, is grounded in the learners' lived experiences, with character discussions and interpretations fostering thematic closeness. At the heart of the theatre project lies a comprehensive engagement with the content of Kästner's work.

Engaging with literature not only fostered aesthetic and creative skills—from the original text through rewriting and abridging to the staged reading of a scene—but also initiated social and personal learning processes through collaborative writing, reading, and acting. Furthermore, the two planned performances required organizational decisions to be coordinated collectively within the theatre group. Written dramas are particularly well-suited for staged performance and are, in fact, intended for this purpose as a genre, since, according to Scheller (2023; p. 24), dramatic texts reduce the plot to specific excerpts and leave much implied. Students can thus use dramatic texts for a staged interpretation.

> "Epic and dramatic texts are transformed into mental images while reading and played out through shifting perspectives. Inspired and guided by the text and its rules, we move imaginatively through scenes in which people act and interact at specific times and in specific places. In doing so, we set accents that consciously and unconsciously follow the principle of self-affirmation: We delight in elaborating on what we like or what we desire, and we reject what we do not like or with which we want nothing to do" (Scheller, 2023; pp. 23–24, translated).

Thus, scope for creative interpretation unfolds for the dramatic adaptation as "interpretive possibilities" (Scheller, 2023; p. 26, see explanation above, translated), which must first be interpreted by the readers and then negotiated within the class collective—that is, moving from the process level of reading to the social level in the dimension of "context for action" (Rosebrock & Nix, 2020; p. 15, see Fig. 3).

The performative engagement with literature not only fosters aesthetic and creative competencies but also initiates social and personal learning processes. theatre-based educational productions in particular open up creative (play) space (Hilliger, 2009, p. 18, translated):

> "Amateurs must realize that as a performer on stage, one is always acting and therefore can never step out of the action. Even immobility is an action and must be filled by an inner process (a soliloquy, a story, special attention to another character, or something else)."

Thus, a scene text is not merely read, but is emphasized within the framework of a reading theatre through the use of prosody and the way the body moves in response. "Lesetheatre," or "reading theatre" as it is known in the Anglo-American world, is an artistic and aesthetic form of presenting a literary text to an audience. The text is thus not simply read aloud, but presented to the audience in a special way as an auditory delight. This requires the performers to use appropriate emphasis and, in some cases, vocal modulations for characters, which can only be achieved if the text's content has been understood.

Against the backdrop of the internal core curriculum for the sixth grade at a Lower Saxony high school—which includes working on a full-length text and writing reports—a project was launched that combined these two requirements.

Creative rewriting using literary texts from the German core curriculum is a central component of this unit (Nds. KC, 2015, p. 11). Students independently engage with Kästner's original text and highlight important passages while reading. In the writing workshop, the sub-tasks of planning, writing, and revising—as defined by Hayes (2012) and Flower (1980)—are applied to strengthen process-oriented and metacognitive writing. The focus was on revising individual novel passages for a public audience; individually tailored writing tips supported the small groups in the reworking and time management (Sturm, 2017, p. 267). For instance, some groups sought writing coaching because they felt uncertain about shortening scenes or adapting words and phrases to contemporary youth language. In other groups, it was more challenging to figure out how everyone could contribute to the scene in an organized manner. Thus, the collaborative writing process involving multiple writers was also supported at the organizational level. In this context, for example, scheduling and assigning responsibilities proved helpful.

Thus, a writing task that was nearly "well-defined" (Bachmann & Becker-Mrotzek, 2010, p. 195) that is audience-oriented (a public audience during a theatre production) and requires a collaborative writing process involving phases of rewriting, reading aloud, providing feedback, and revising by the students (Baurmann, 2014, p. 350). In doing so, the students also had to ensure that the rewritten scenes, both individually and in their sequence, build and release dramatic tension (Hippe, 2011, p. 185).

In addition to the collaborative rewriting of the scenes, the following oral competency areas must be taken into account: addressee-oriented and prosodic speech, justifying, discussing, and weighing options, as well as deciding, participating in decision-making, and voting (see observation sheet below). Equally important are explaining, asking questions, and expressing feelings. Furthermore, linguistic competence areas such as presenting, introducing, and reciting (such as staged reading and initial attempts) should be included. Finally, reflection on the impact of language, words, and dialogues also plays an important role (see Fig. 6).

No further guidelines were provided. Nor was there a time limit on the performance's duration or a predetermined performance date. As a result, the students take on various roles and assume a range of responsibilities, namely as authors, actors, directors, and dramaturgs. The adult project participants—a teacher, an author, and a research assistant—assume only a supportive role, leaving room for interpretive negotiation processes and staging approaches in the scenic implementation from the perspective of the young people, rather than dictating them (Scheller, 2023; p. 45). In this way, theatre projects can unlock potential that would otherwise have remained hidden (Plath, 2014; p. 27).

In the context of didactic and methodological planning, particular attention was paid to ensuring that the students' varying backgrounds were taken into account. Individualized work phases made it possible to actively involve both high-achieving and students in need of support. Differentiated exercises, conducted individually or in small groups (see below), and targeted assistance ensured that all children could participate in the creative writing and reading process according to their abilities. The "Potsdam Inclusion-Based Teaching Model" (Giera et al., 2025b, pp. 22–25) served as a guide; this model centrally emphasizes both the needs and wishes of the students and the curricular requirements by valuing the potential of all those involved in the learning process.

For example, one student had difficulty reading a text aloud clearly and loudly enough in front of an audience. At this point, exercises such as "projecting one's voice" (see Chapter 3.2) from the field of theatre education helped her, for instance, to position herself with an engaging posture and check her breathing so that listeners in the back row could understand everything. This student received 10 minutes of one-on-one support. Later, during the performance, she was able to deliver her text loudly and clearly enough, even without a microphone.

Another working group could not agree on who should stand where on the rehearsal stage. This group opted for a 20-minute group support session. First, the scene text was read with assigned roles. Then, for each character in the text, they had to analyze where that character could be positioned within the scene. At the process level, the reading comprehension of individual students (local and global coherence) must be integrated into the working group's overall understanding, according to Rosebrock & Nix (2020; see Fig. 3). This gives rise to authentic literary discussions that serve to answer the questions: Where does the character stand, and how does the character move throughout the scene? This type of learning support also requires facilitation of problem-solving. Providing the solution in advance is not conducive to learning. Instead, the group should work out a solution for themselves by intensively rereading the scene and either identifying the scene setting and the subsequent scene development locally from the text or interpreting so-called "gaps" or "polyvalences" (ambiguities). This is a typical example of the "interpretive negotiation process" (Plath, 2014; p. 27, see above) that children must engage in during the theatre project.

Particular emphasis was also placed on fostering self-reflection, which was initiated and encouraged through the following measures in the project: First, feedback sessions were established at the end of each project day by asking the following two questions: "What went well today?" and "What do we need to change to ensure our project is successful by the time of the performance?" Second, the students kept individual learning journals in which they could freely reflect on the project days. Third, a continuous exchange in small groups regarding scene development was initiated, both on a technical level and on the level of group organization, for example through the weekly question:

"How did the work go today?" With the help of these established self-reflection routines, the students learned to analyze and further develop their own reading and writing habits. The incorporation of peer feedback also supported the development of a culture of respectful communication and thus strengthened the class's social competence (Plath, 2014; p. 20), as decisions regarding performance development were fed back from the individual level, through the working group, and up to the class level . Care was taken to ensure that all ideas were shared, heard, discussed, and democratically voted on for the performance. For example, not all students wanted to speak in front of the group. Here, the encouragement from the project supervisors helped ensure that all students were still welcome on stage.

A variety of performance opportunities allowed for individualized support, and the students actively helped shape the process. There was no pressure to perform, and no grades were given. theatre education team games and warm-ups (for a selection of the exercises conducted, see Giera, 2025c, pp. 88–89; Boal, 2019) fostered group processes, while reflection sessions and formative feedback continuously accompanied the project.

3.2 Implementation in the classroom as case study

Following a presentation and approval by the school administration and subject department, a lesson unit was developed in which the students engaged productively with Erich Kästner's novel "Das fliegende Klassenzimmer" (see Fig. 1). The goal was to creatively adapt the text and transform it into a staged reading. This required an intensive engagement with the full text, which the students initially worked on independently during the fall break (Giera et al., 2025a, p. 32). The organizational implementation proved challenging: the schedule had to be modified and external spaces had to be secured to enable project-based work in small groups. The classroom was too small for this purpose. Overall, the project offered the participating students both literary learning in line with the core curriculum and the development of creativity, teamwork skills, and social competence (Giera et al., 2025a, p. 33).

In 2024; this creative collaborative project was implemented in a sixth-grade class, in which the students not only read the book "The Flying Classroom" but also adapted it and presented it as a staged reading. The project focuses on developing literary reading comprehension, reading with emphasis at an appropriate speed (reading fluency), and a public performance in the school's city. The timeline for this lesson series can be found in the following table.

The program was led by a teacher with expertise in German and drama, which allowed for a particularly successful integration of both disciplines. Participants received support in expressive reading aloud and in reworking their texts from an experienced author, who also taught various presentation methods by practicing reading scenes with students individually and in groups. The writing settings were presented in detail in the publication by Giera et al. 2025. Therefore, the methods will not be repeated here.

The project was accompanied from a scientific perspective by Giera. Inclusive strategies for shared reading (choral reading, tandem reading), writing (feedback and revision within peer groups and with individual adults), feedback (individual and informal following support sessions, as well as summative after each project day), discussion (in a democratic sense, exploring multiple solutions with a final vote by all participants), and performance. The procedure was such that, on the one hand, individual students could sign up for one-on-one support or an entire group could sign up for support (see examples in Chapter 3.1). In doing so, the students presented what they specifically wanted to implement prior to a five- to fifteen-minute intervention or consultation. This means that the timing and occasion of the support were determined not by the three adults involved (a teacher, an author, and a research assistant), but by the students themselves. Consequently, the students' motivation to engage in the support was high.

The entire process, as well as the participation of all involved, was therefore carefully documented on an observation sheet (Giera et al., 2025; see Fig. 5) in order to also record the language skills being developed, such as discussing, reading aloud, and justifying arguments.

Before the project began, the children participating in the class project received a copy of Erich Kästner's "The Flying Classroom", sponsored by the "Kinder seid Kinder" Foundation. During the fall break, as they read the book, they marked passages that stood out to them—passages that either puzzled them, made them think, or were particularly exciting. After the break, they brought their books to school and presented their markings, highlighting passages and chapters that made them feel happy, sad, or curious. In the subsequent German class, everyone planned the project together. Suggestions, such as ideas for break activities, workgroup phases, and performance opportunities, were put forward and voted on by a majority of the students. This step can be linked to the "Potsdam Inclusive Teaching Model/PIMODE" as this model also emphasizes mutual agreement between the teacher's curricular requirements and the students' wishes. The weekly project sessions took place every Friday from 9:00 a.m. to 1:10 p.m. at the "YouZe" youth club outside the school. This location was chosen because additional educators were available to supervise the active breaks, and the facility offered more spaces for small-group work.

The project days, held every Friday—that is, once a week—were structured around a check-in in a circle, several development phases involving writing, reading aloud, revising, and dramatic reading, a concluding consolidation phase, and an organizational check-out phase. An example schedule is presented below:

- 9:00 – 9:30 a.m.: Check-in, setting the day's goals, warm-up
- 9:30 – 11:00 a.m.: Development phase I
- 11:00 – 11:30 a.m.: Break with snacks
- 11:30 a.m. – 1:00 p.m.: Development phase, including short presentations by all working groups II
- 1:00 – 1:10 p.m.: Reflection on the day, feedback, and wrap-up

The first project day on November 8, 2024; began with a discussion of key aspects of the work. The students' wishes led them to want to rewrite sections of the chapters as scenes. In a gallery walk, they jointly selected the scenes central to the narrative, commented on them, and engaged in lively discussion about the scene selection for the reading theatre. Subsequently, working groups were formed for each selected scene based on interest. Particular emphasis was placed on reading the scene texts aloud, as well as weighing and coordinating decisions regarding scene selection, scene cuts, rewrites, and scene performance. Engagement was high, and there were no significant areas for didactic improvement (Giera et al., 2025a, p. 34).

The second day of the project, on November 16, 2024; began with playful vocal exercises designed to promote expressiveness and group cohesion. Afterward, the students practiced speaking loudly through a movement game. For example, they "threw their voices." This is an exercise in which students stand in a circle, hold an imaginary ball in their hands, and speak words that are emphasized in a scene loudly and clearly. As they say the word, their arms simulate a throwing motion.

Subsequently, they revised scenes of their own choosing from Kästner's work, either individually or in small groups, to adapt them for a public performance. Freedom of choice in collaboration and consultation was a priority: The teachers provided assistance only upon request and encouraged initiative as well as democratic decision-making processes within their working groups. Thus, they were often called upon when a group could not yet reach an amicable agreement. Each group had a team leader selected by the working group. This leader described the coordination issue to the teacher in the presence of the group. Alternatives were then identified, justified, and put to a vote. Proposals that received majority support from the voters were then further developed for the group work.

This does not mean, however, that the participating teachers (in this project, the three authors) remained passive, but rather that they initially gave the students space to present their vision of the production. This balancing act between action and observation poses a particular challenge for teachers when "participation is practiced as a decisive quality criterion for successful theatre instruction" (Plath, 2014, p. 20):

> "No matter how ambitious or conceptually demanding theatre work with young people [...] may be, the crucial question is whether young people and instructors can communicate with one another during the production process, whether they can find a common language, and whether pedagogical sensitivity is demonstrated" (Plath, 2014, p. 20).

Consultation topics regarding text adaptations for scenes included text cuts, contemporary adjustments, and stage suitability. Each group received text feedback and was involved in the planning. A supportive, open environment allowed equal consultations among a teacher, author, and research assistant as a multidisciplinary team, emphasizing every student's reading potential in class. This trio acts as reading, writing, and drama coaches. During breaks, shared activities such as foosball and billiards strengthened the sense of community and thereby enabled participation without language barriers, which supported cooperative work (Giera et al., 2025a, p. 34).

On the third day of the theatre project, November 22, 2024; there was an active working atmosphere. The students appeared engaged and began with a brief organizational meeting and the "Banana Song" as a humorous warm-up for their vocal cords. This is a song with nonsensical lyrics intended to elicit a smile while singing; when sung loudly and with emphasis (using vocal modulation), it encourages dancing and mimicking the movements, such as picking bananas and eating-arms simulate picking, and the mouth smacks while eating. Posture exercises strengthened presence and helped with reading the new texts aloud in small groups. In the first phase of the workshop, the participants revised their texts-partly based on scenes they had prepared, partly using the original reading material. Each working group approached the task differently. Some groups also met in their free time and typed up the scenes they had adapted. Other groups crossed out passages in the book they deemed unnecessary and added new sentences.

The groups thus worked collaboratively; only one student wrote and performed alone, a decision that was agreed upon during a coaching session with her. She selected a scene, which she rewrote as a retelling. For her, it was an opportunity to bring her own ideas to life. This wish was accommodated, as it became clear during the discussion with the teacher that she preferred to focus on rewriting rather than acting. Individual guidance was provided to all working groups as needed. The school teacher, the foundation's author, and a university research assistant also took turns serving as potential advisors. The adaptation of the scenes-often into youth slang or in condensed form-promoted language awareness and vocabulary development. After the break, the revised texts from all working groups were read aloud, and the roles were analyzed. A concluding class reflection allowed for self-assessment of participation and feedback beyond the working group, usually also regarding project-related organizational matters. The day concluded with tidying up and taking minutes (see text examples and revision examples in Giera et al., 2025a, p. 36).

On this third day of exercises, the focus was particularly on developing various skills. These included audience-oriented speaking with an emphasis on expressive reading aloud, as well as responding within the context of group processes, for example during voting, discussions about text cuts, or when assigning roles. The group was also encouraged to seek suggestions and feedback from the three "educators"-a teacher, an author, and an academic staff member-as well as to discuss, and weigh potential cuts within the chapter. The group also engaged in commenting on, supplementing, and collectively exchanging ideas regarding rewriting suggestions. Presenting, introducing, and initial attempts at staged readings were further focal points, as was identifying and articulating problems, challenges, and difficulties during the reflection phase. Additionally, reading-aloud skills were practiced, and a reflection on the impact of language, individual words, and dialogues was conducted, including the replacement of outdated lexemes. All these areas were specifically addressed.

On the fourth day, November 29, 2024; the focus was on the staged implementation of the texts developed so far. After a joint introduction, a chain story designed to promote oral storytelling helped the group relax. The groups then worked on their scenes, focusing on voice, expression, and the use of tone for emphasis. After the break, they deepened their work through reading, rewriting, and interpretation. The interim results were presented and demonstrated a variety of approaches. Not only were deletions made, but also rewording that is more appropriate for the present day; the narrative thread of the scenes, however, remained unchanged (for more details on the rewriting, see Giera et al., 2025). The participants received formative feedback on their scenes from feedback providers of their own choosing within the project. These could be the project leaders, but also fellow students. In addition, at the end of each day, every scene was either read aloud or acted out (see daily structure above). As a result, the students also received continuous feedback from the entire project group. Consequently, the students experienced significant development in their scenes. The day concluded with a reflection, the results of which were incorporated into the next project phase (Giera et al., 2025a, p. 38).

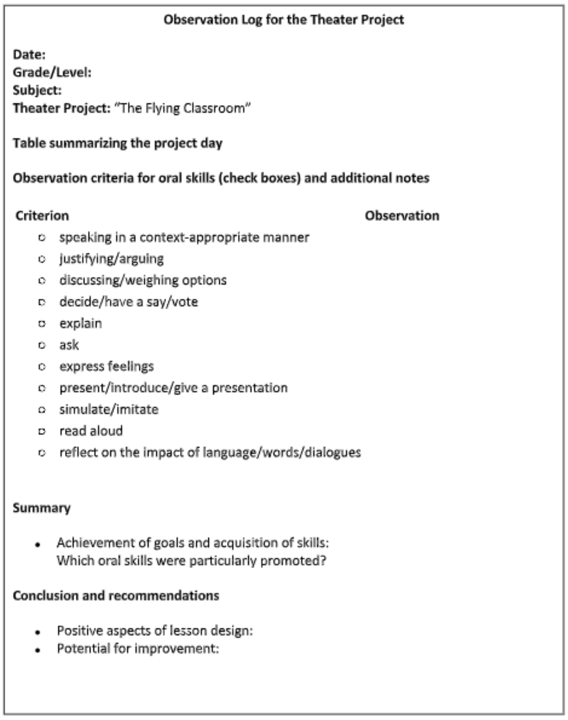
The fifth day of the project, December 6, 2024; began with everyone arriving, putting away their luggage, and a brief coordination meeting. This was followed by a welcome and exercises in mirroring and freeze techniques, supplemented by pantomime scenes. Afterward, the groups worked on stage under the guidance of the teachers. Following a break, the groups continued to perform their scenes together. All groups presented their progress, and the sequence of the performance thus became clear to everyone involved. The final scene was rehearsed intensively. The day concluded with everyone cleaning up together.

On this day, the following skills were specifically developed: audience-oriented speech through emphatic reading aloud and initial dramatic performances, presenting and reciting through dramatic reading, and reflection on the impact of language and dialogue, using contemporary vocabulary.

On the last day of the project before the performance, December 13, 2024; the dress rehearsal took place. After addressing the final organizational questions from all students, the group went to the performance venue. Once there, props were set up, and the actors practiced their movements and positioning on stage, marking some areas on the floor with tape. After another run-through, the entire

Figure 4. Scene from the eighth chapter before the fall (Photo: Fitzen)

Figure 5. Scene from the eighth chapter after the fall (Photo: Fitzen)



Observation Log for the Theater Project

Date:
Grade/Level:
Subject:
Theater Project: "The Flying Classroom"

Table summarizing the project day

Observation criteria for oral skills (check boxes) and additional notes

Criterion	Observation
○ speaking in a context-appropriate manner	
○ justifying/arguing	
○ discussing/weighing options	
○ decide/have a say/vote	
○ explain	
○ ask	
○ express feelings	
○ present/introduce/give a presentation	
○ simulate/imitate	
○ read aloud	
○ reflect on the impact of language/words/dialogues	

Summary

- Achievement of goals and acquisition of skills:
  Which oral skills were particularly promoted?

Conclusion and recommendations

- Positive aspects of lesson design:
- Potential for improvement:

Figure 6. Observation log for the theatre session

play was performed as a dress rehearsal. Following this, the students and three adult project leaders provided feedback in a circle. Finally, a Christmas carol was spontaneously rehearsed, which was then also presented to the audience as a lighthearted interlude— , an idea from the class. After six Friday project days, the performance took place, showcasing what had been learned.

The public performance days were on December 17, 2024; at "Filzwelt Felto" (see Figs. 4 and 5) and on December 18 in the event room "Fliegendes Klassenzimmer" (see Fig. 2); they were announced in the local daily newspaper and communicated to parents via invitation. Before the Christmas break, the homeroom teacher reflected on the project days with the students. The entire class participated in the performance by acting and reading.

3.3 Evaluation and reflection on the lesson series

3.3.1 Field diaries and observation logs. The supervising research assistant kept records to document the project sessions. After each theatre rehearsal, the observation log (see Fig. 6) for the theatre session was transferred from the analog to a digital field journal in order to save the data on the university server. These logs recorded, among other things, the timeline, group tasks, room changes, breaks, and a subjective assessment of the work atmosphere (see daily structure in Section 3.2). For each project session, the field diary therefore documented aspects such as the chronological, content-related, and methodological progression of the session, the competencies fostered during the session, positive aspects of the lesson design, and potential for its optimization (Giera et al., 2025; p. 34).

During the first four days of the project, the focus was on collaboratively revising the scenes. The students paid particular attention to word choice and compared it with contemporary youth language. Group work fostered feedback and the ability to argue a point; decisions were made democratically. Collaboration worked well thanks to the use of the youth club, as small groups were able to work undisturbed. A clear daily structure with fixed phases and breaks ensured a productive atmosphere and transparency. The high attendance and positive working atmosphere thus contributed to learning success.

3.3.2 Written reflections on the project by all students. On December 20, 2024; following the performance, the class reflected on the theatre project in writing. All students present were asked to reflect anonymously and individually on the project and teamwork from their own perspective. A questionnaire was not used in order to obtain as open and broad a range of responses as possible. On average, one lined A4 page was submitted. Thus, 27 reflections formed the basis for the analysis. Following Mayring (2020); all reflections were first read as part of a qualitative content analysis, and then items mentioned at least twice in the reflections were inductively derived. A total of 16 response items were thus generated.

Field	Value
Item 1 'Practised reading aloud'	42.9 %
Item 2 'Rewrote parts of the text'	50.0 %
Item 3 'Practised acting out scenes a lot'	42.9 %
Item 4 'Brought props along'	46.4 %
Item 5 'Had arguments sometimes'	28.6 %
Item 6 'Felt frustrated sometimes'	14.3 %
Item 7 'Coordinated a lot within the group'	35.7 %
Item 8 'Received help'	21.4 %
Item 9 'Received help from the group'	35.7 %
Item 10 'Helped the group'	32.1 %
Item 11 'The performance went well'	17.9 %
Item 12 'YouZe was a great venue'	17.9 %
Item 13 'Felt comfortable in the group'	53.6 %
Item 14 'The project was fun'	39.3 %
Item 15 'I learnt a lot'	14.3 %
Item 16 'Nervous before the performance'	17.9 %

Table 2. 2: Coded items from the class's written open-ended reflections ($n = 27$)

The results of the qualitative survey show that the theatre project had an impact in many areas. 42.9% of respondents reported on their own initiative that they had specifically practiced expressive reading through the project. An equal number of students (50%) felt they had actively participated in rewriting sections of text, which suggests a high degree of creativity and textual comprehension. Scenic rehearsals also played a central role (42.9%), while 46.4% contributed props, thereby supporting the aesthetic design. Conflicts arose among 28.6% of the group, which provided learning opportunities in the area of social interaction.

Furthermore, 14.3% reported experiences of frustration, which, however, are to be expected in the context of a challenging, cooperative project and can be utilized productively for educational purposes. A positive aspect worth highlighting is that 35.7% emphasized coordination within the group, thereby practicing democratic decision-making processes. Perceived support also played a major role: 21.4% received direct help from the authors, while 35.7% experienced support from the group. Conversely, 32.1% stated that they had actively helped others themselves—an indication of mutual responsibility and cooperative learning.

The performance itself was also reflected positively in the open-ended written feedback: 17.9% reported that the performance was a success. The importance of the out-of-school learning venue "YouZe" was highlighted by 17.9%, underscoring the relevance of alternative learning environments. A sense of belonging within the group was particularly strong (53.6%), as was enjoyment of the project as a whole (39.3%). Learning outcomes were also noted: 14.3% stated that they had learned a lot. Additionally, 17.9% mentioned that they had been very nervous before the performance but that everything had worked out in the end—an indication of increased self-confidence.

Overall, the survey demonstrates that the project extended far beyond literary skills. In addition to training in reading fluency and text analysis, a wide range of social and emotional learning opportunities emerged that had a positive impact on the students' collaboration, creativity, and self-efficacy. The survey results make it clear that "feeling comfortable in the group" (53.6%) was the highest priority. This result can be understood as an expression of successful social cohesion, which arises within the framework of participatory learning forms and is of central importance for sustainable learning processes.

At 50%, "rewriting text passages" also achieved a top score. This is a classic example of productive text work, as it is anchored in literature pedagogy. The students not only engaged with the text receptively but also creatively transformed it into a new version—a central element of performative literature education.

The use of props (46.4%) points to the aesthetic-performative dimension of the project. Learners took responsibility for the design and staging, thereby enabling aesthetic learning in the sense of an action- and experience-oriented approach.

The items "Expressive Reading" and "Scenic Rehearsal" (42.9% each) also highlight the promotion of oral-performative skills. These are significant not only for literary expressiveness but also for personal development, as they strengthen self-confidence, language awareness, and presentation skills.

Overall, the results confirm that the project combines central principles of contemporary literature pedagogy: reception and production, as well as performative and social learning. It succeeded in translating literary content into an experience-oriented setting that equally fostered the students' cognitive, creative, and social skills.

3.3.3 Written reflection from the class's perspective. The students held an open feedback discussion in class about the project. The results were recorded by the class representatives and then summarized into a report for this article:

> "After the fall break, Class 6c spent eight weeks working on a project at 'YouZe.' Thanks to our German teacher, the class no longer had traditional German lessons but instead took on a fun and exciting project. Over the course of those eight weeks, the class experienced a lot and learned a great deal. In the first few weeks, they spent a lot of time sitting together. They talked a great deal about Erich Kästner's book and picked out the most important scenes. They walked around the youth club and wrote on the individual slips of paper for each scene whether they found that scene exciting, cool, boring, beautiful, or sad. The class got to choose which scene they wanted to be part of. The class learned not only to use their voices while reading but also to pay attention to their body language. Some groups read the scene exactly as it was written, while others rewrote it in youth slang or even made up the scene entirely." [No linguistic corrections; anonymization has been applied, translated]

The class's reflection shows that they rated the project overall as conducive to learning and successful. Above all, they highlighted the collaboration with extracurricular partners and institutions such as the youth club as beneficial. It also becomes clear how collaboratively and democratically they made decisions regarding the staging process, from the initial idea through to the performance.

4 Conclusion and outlook

The project aimed to implement a participatory theatre project to promote reading, (re)writing, and acting based on Kästner's "The Flying Classroom," which, through a productive engagement with Kästner's work in the form of a staged reading, triggers not only literary but also social learning processes.

Through cooperative and individual work, the students developed both creative competencies and tangible social skills, which were evident in the collaborative work phases, joint discussions, and individual reflections. In this way, the project directly ties in with Kästner's pedagogical understanding of literature as a school of life (see Chapters 1 and 2). Furthermore, it becomes evident that linking school curriculum content with extracurricular engagement can unlock significant learning potential. Through the collaboration of various educational stakeholders, a space was created in which theory and practice naturally intertwine.

This model opens up perspectives for future educational initiatives, even if structural adjustments to everyday school life are necessary. Thus, project work of this kind offers an opportunity to achieve not only subject-specific but also social learning through a variety of democratic participatory processes. However, this requires collaboration with extracurricular institutions and a flexible class schedule. In the spirit of Kästner, it can be summarized as follows: Lasting impact arises where literary education is combined with lived practice— "There is nothing good except: you do it." (Erich Kästner in Reich-Ranicki, 1998a, p. 127, translated). In this way, the project underscores the educational theory assumption that literary education goes beyond mere text reception and, as an action-oriented practice, can make a lasting contribution to the development of character and values.

Despite the findings from the Kästner Reading Theatre project, certain limitations should be borne in mind when interpreting the results. The study was conducted within a single school class and involved a relatively small sample of pupils. Consequently, the results cannot be generalized to all educational settings, as different school environments and pupil groups may influence the outcomes of theatre-based reading projects. The duration of the intervention was limited to a short project period. Reading proficiency and social learning processes typically develop over longer periods, meaning that potential long-term effects of reading theatre may not be fully reflected in the results of this study.

A further limitation concerns the assessment of reading competence. Theatre-based learning emphasizes expressive reading, interpretation and cooperative interaction, which are not always captured by standardized reading tests. Some improvements observed during the project were therefore based more on qualitative observations than on purely quantitative measurements (Giera, 2025d). Furthermore, the project focused on a specific literary work by Erich Kästner. The themes of friendship, cooperation and responsibility present in this text may have influenced the pupils' engagement in the theatre activities. Other literary texts could therefore lead to different learning experiences and outcomes. Future research involving larger sample sizes, longer interventions and a combination of qualitative and quantitative research methods could provide further insights into the potential of reading theatre to promote literacy and social interaction in inclusive educational settings.

The added value of the theatre project presented here, in a global context, lies in the fact that traditional young adult novels often deal with universal themes such as friendship, justice or responsibility, regardless of when they were written. The themes explored in young adult dramas are understandable across cultures and enable learners from different cultural backgrounds to find common ground. When such texts are used in inclusive learning settings, all pupils – regardless of their individual circumstances – can share in literary experiences together. Methods such as reading theatre not only promote reading skills but also cooperation, literary discussions, empathy through identifying with the characters and roles, and cultural understanding. In this way, inclusive work with traditional young adult novels combines literary education with social and cultural learning processes and supports key objectives of global education.

ACKNOWLEDGEMENT

We would like to thank the 'Kinder seid Kinder' Foundation for its financial support of the theatre project. We would also like to thank the Soltau youth club for providing the space and for the games and snacks offered during writing breaks. In addition, we would like to thank "Filzwelt felto" and the "Spielmuseum Soltau" for providing the performance venues.

INSTITUTIONAL REVIEW BOARD STATEMENT

This study was conducted in accordance with the Declaration of Helsinki. Informed consent was obtained from all participants, and confidentiality was maintained throughout the study.

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Great Britain Journals Press

RESEARCH FINGERPRINT

IDENTIFIER
LJRHSS-226339

PEER REVIEW
Double Blind

SIMILARITY CHECK
Perplexity AI and iThenticate

ACCESS
Open Access

LANGUAGE
Portuguese

PRINT ISSN
2515-5784

ONLINE ISSN
2515-5792

EDITION

ABBREVIATION
LJRHSS

VOLUME
26

ISSUE
4

YEAR
2026

KEY DATES

RECEIVED
2026-03-14

ACCEPTED
2026-03-20

ONLINE PUBLISHED
2026-06-04

PUBLISHED
2026-06-26

CATALOGING

CROSSMARK DOI
10.34257/LJRHSS226339UK

LCC CLASS
PN45, PQ9600u2013PQ9698, PN56.S6

DDC CLASS
869.09

ANZSRC FOR CLASS
470505

ACCESS ONLINE

London Journal of Humanities and Social Science
General Section

Article Record

Gênese e estrutura de um paracampo literário na contemporaneidade brasileira

Genesis and Structure of a Literary Paracampo in Contemporary Brazil

CORRESPONDENCE

AUTHORS & AFFILIATIONS

Dr. André Natã Mello Botton ¶*

Doutor em Letras – Teoria da Literatura
ORCID 0000-0002-2136-7544

¶ Serviço Nacional de Aprendizagem Comercial (OA)

ABSTRACT

The literary production of the Brazilian peripheries from the 2000s onwards challenges the structure of the hegemonic literary system. It is understood here as a cultural landmark that pluralizes contemporary Brazilian literary production, problematizing and challenging the hegemonic structures of the Brazilian literary field, of knowledge, and of power. This article considers the literary trajectories of Lima Barreto, Carolina Maria de Jesus, and João Antônio throughout the 20th century, and, in the 2000s, Paulo Lins's work Cidade de Deus, Ferréz's trajectory, and the publication of the three special editions of the magazine Caros Amigos/Literatura Marginal – 2001, 2002, and 2004, to demonstrate the emergence of another symbolic space of literary production: the paracampo. The proposition of this concept destabilizes the hegemonic literary field, interfering in the conditions and forms of cultural production from the Brazilian peripheries, thus justifying the elaboration of the concept to interpret the specificities of the literary objects addressed and how agents from the peripheries tension and interfere in the rules of the art of the literary field. The paracampo, thus, is an intercultural epistemic proposal that reflects the relationships established between culture-producing agents from the Brazilian peripheries and even beyond them.

Index Terms: Brazilian literature • marginal literature of the peripheries • literary field • paracampo

FUNDING
No external funding was declared for this work.

CONFLICTS
The authors declare no conflict of interest.

AI USAGE
No generative AI was used for analysis or results.

HOW TO CITE
Botton (2026). Gênese e estrutura de um paracampo literário na contemporaneidade brasileira. London Journal of Humanities and Social Science, 26(4), 38-47. DOI: 10.34257/LJRHSS226339UK

METADATA CONTINUATION

AUTHOR CONTACT QR LEDGER

Dr. André Natã Mello Botton¶∐*

Article ID LJRHSS-226339 · DOI 10.34257/LJRHSS226339UK

Print ISSN 2515-5784 · Online ISSN 2515-5792

RESEARCH ARTICLE

Gênese e estrutura de um paracampo literário na contemporaneidade brasileira

Dr. André Natã Mello Botton¶∐*

QUALIFICATIONS / ROLES

∐ Doutor em Letras – Teoria da Literatura

AFFILIATIONS

¶ Serviço Nacional de Aprendizagem Comercial (**OA**)

Abstract

A produção literária das periferias brasileiras a partir dos anos 2000 desafia a estrutura do sistema literário hegemônico. Ela é entendida aqui como marco cultural que pluraliza a produção literária brasileira contemporânea, problematizando e desafiando as estruturas hegemônicas do campo literário brasileiro, de saber e de poder. O presente artigo considera as trajetórias literárias de Lima Barreto, Carolina Maria de Jesus e de João Antônio ao longo do século XX, e, nos anos 2000, da obra Cidade de Deus, de Paulo Lins, a trajetória de Ferréz e a publicação das três edições especiais da revista Caros Amigos/Literatura Marginal – 2001, 2002 e 2004, para comprovar o surgimento de um outro espaço simbólico de produção literária: o paracampo. A proposição desse conceito desestabiliza o campo literário hegemônico, interferindo nas condições e na forma de produção de cultura a partir das periferias brasileiras, por isso a elaboração do conceito para interpretar as especificidades dos objetos literários abordados e como os agentes oriundos das periferias tensionam e interferem nas regras da arte do campo literário. O paracampo, desse modo, é uma proposta epistêmica intercultural que reflete as relações estabelecidas entre os agentes produtores de cultura desde as periferias brasileiras e mesmo para além delas.

Keywords: *Literatura brasileira, literatura marginal das periferias, campo literário, paracampo*

Correspondence: Dr. André Natã Mello Botton

1 Introdução

Lima Barreto, Carolina Maria de Jesus e João Antônio, durante o século XX, são escritores que se inseriram – em alguma medida – dentro do campo literário nacional em emergência, ou foram silenciados ao longo do tempo. Na virada para o XXI, a obra *Cidade de Deus*, de Paulo Lins, as ações de Ferréz e o surgimento da Revista *Caros Amigos/Literatura Marginal*, são marcas expressivas do surgimento de um novo setor – relativo ao campo literário – que começa a se desenvolver nas letras brasileiras, possibilitando, que outros agentes – com a mesma trajetória – também se insiram no mesmo movimento e criem estratégias de legitimação (saraus, revistas especializadas, festas literárias, mercado próprio, selos editoriais etc.). Surge, assim, um espaço simbólico[1] em processo de autonomização constante e que apresenta marcas de diferenciação social e cultural, desenvolvendo para si, por exemplo, um modo de escrita (neste caso, em análise, os textos em prosa que aproximam elementos orais ao modelo hegemônico de produção literária) que parte de um mesmo ponto de vista: a(s) periferia(s).

A partir do reconhecimento entre agentes semelhantes, suas tomadas de posição e trajetórias específicas, vinculadas a um espírito de época, um movimento literário, ou melhor, uma estrutura/sistema de escritores em busca de autonomia, com objetivos estéticos (tanto na literatura quanto em outras artes) começa a emergir. O *paracampo*[2] atrairia para o seu entorno agentes com: um capital cultural específico voltado para a especialização de gêneros, de temas literários e de elementos de distinção;[3] um capital social (e econômico) com origens e trajetórias sociais semelhantes; certas diretrizes de produção e de representação; criação de espaços materiais (lugares de reuniões, eventos, festas) e simbólicos (revistas e outras organizações) de encontro de agentes com *habitus* semelhantes; criação de instituições legitimadoras;

[1]Outros setores, tais como a literatura feminista, literatura LGBTQIA+ ou *Queer*, literatura negra, literatura indígena, para citar alguns exemplos, também apresentam, em certa medida, traços semelhantes ao movimento que tem ocorrido com a literatura marginal das periferias, destacando-se suas particularidades, afinidades e distinções, em vista de um *paracampo* literário com suas especificidades e elementos distintivos.

[2]Há que se considerar que a estratégia aqui proposta não faz referência a uma forma de controle ou de exclusão dos agentes frente ao campo literário. No entanto, funciona como proposta metodológica de pesquisa e de análise que pode ser percebida a partir das ações dos escritores (das suas práticas), como modelo de enfretamento às regras do campo literário dominante e que se torna legítimo ao longo do tempo. Para além do processo de exclusão, pensar as ações dos escritores marginais no desenvolvimento de um *paracampo* destaca a autonomia relativa frente ao campo literário e suas determinações, bem como torna-se reflexo das ações coletivas evidenciadas por meio de (re)produções conjuntas de livros e de outros movimentos, ou mesmo em ações individuais.

[3]O foco do presente trabalho são os textos em prosa. Contudo, destaca-se que há no mesmo *paracampo* outros gêneros textuais, diversas expressões e manifestações artísticas que fazem parte do mesmo espaço simbólico, com importância legítima. Com isso, não se pretende preterir um ou outro gênero, mas apenas focalizar, como método de análise ora proposto, um dos tantos aspectos e gêneros literários presentes no *paracampo*.

e, surgimento de um mercado especializado próprio. O movimento de atração de tais categorias, propostas pelos novos agentes, acontece porque o campo literário hegemônico (com todas as suas regras específicas), no momento do aparecimento dessa nova produção, não a reconhece como legítima:

> Se se sabe que cada campo – música, pintura, poesia ou, em outra ordem, economia, linguística, biologia etc. – tem sua história autônoma, que determina suas regras e suas apostas específicas, vê-se que a interpretação por referência à história própria do campo (ou da disciplina) é a condição prévia da interpretação com relação ao contexto contemporâneo, quer se trate dos outros campos de produção cultural, quer do campo político e econômico. A questão fundamental torna-se, então, saber se *os efeitos sociais da contemporaneidade cronológica, ou mesmo a unidade espacial*, como o fato de partilhar os mesmos lugares de encontro específicos, cafés literários, revistas, associações culturais, salões etc., ou de estar expostos às mesmas mensagens culturais, obras de referência comuns, questões obrigatórias, acontecimentos marcantes etc., são suficientemente poderosos para determinar, para além da autonomia dos diferentes campos, uma problemática comum, entendida não como um *Zeitgeist*, uma comunidade de espírito ou de estilo de vida, mas como um espaço dos possíveis, sistema de tomadas de posição diferentes com relação ao qual cada um deve definir-se. O que leva a colocar em termos claros a questão das tradições nacionais ligadas à existência de estruturas estatais (especialmente escolares) capazes de favorecer mais ou menos a preeminência de um lugar cultural central, de um capital cultural, e de encorajar mais ou menos a especialização (em gênero, disciplinas etc.) ou, ao contrário, a interação entre os membros de diferentes campos, ou de consagrar uma configuração particular da estrutura hierárquica das artes (com a predominância duradoura ou conjunturalmente dada a uma delas, música, pintura ou literatura) ou das disciplinas científicas (Bourdieu, 1996, p. 227-228, grifos do autor).

Tais efeitos da contemporaneidade, nos mais diversos campos (político, econômico, social), tornam-se, desse modo, suficientemente poderosos para que haja uma confluência de ações determinantes para o surgimento de um novo espaço simbólico de produção literária. Um *paracampo* literário, paralelamente em disputa por legitimidade em relação ao campo literário hegemônico, pode ser percebido nas relações que os agentes construíram e têm desenvolvido, marcadamente, desde o início do século XXI. Um espaço de possibilidades de produção especializada, de representação, de lutas simbólicas e de disputas que se coloca ao lado ou em paralelo à série literária dominante.

Uma vez que há novos modos de expressão literária, os antigos modelos de crítica também entram crise, pois não são suficientes para dar conta de refletir sobre as recentes mudanças. A premissa formalista de privilégio exclusivo da obra literária dá lugar hoje a novas questões relativas sobre o autor, o leitor e o espaço social/cultural que influenciam a construção do texto. Esferas extraliterárias entram no debate e são acionadas pela crítica em uma tentativa de compreensão ampla sobre o objeto estético. Nesse sentido, repensar conceitos e propor novas formulações é uma atitude quase inerente ao processo de estudo da literatura marginal das periferias.

2 Gênese e estruturação

Pierre Bourdieu, em seus escritos, não fala a respeito de um *paracampo*, também não deixa claro ou não define explicitamente o que seria um subcampo[4] – único conceito que se aproximaria, em alguma medida, ao ora proposto. O sociólogo aponta em algumas partes de seus textos subcampos culturais ou literários determinados em relação a posições de poder dentro do campo ocupadas por agentes ou por instituições/instâncias sagradoras. Bourdieu reflete sobre subcampos que se configurariam a partir dos gêneros literários, como, por exemplo, o subcampo do teatro, em *As regras da arte* (Bourdieu, 1996). O subcampo, portanto, estaria em uma posição de inferioridade em relação às outras produções estabelecidas legitimamente dentro das regras da arte.

O subcampo, dessa maneira, fica condicionado à sua posição inferior dentro da estrutura maior do campo literário, sem uma plena autonomia em oposição ao polo dominante, pois manteria relação direta de dependência com as dinâmicas estabelecidas no sistema literário dominante. Em contraste, o *paracampo*, conforme proposto, tenta se desvincular dessas estratégias e busca estruturar (ou criar) novos processos que sejam autônomos e distintos. Seria ilegítimo dizer que o *paracampo* não possui relação ao campo literário dominante. Os agentes que surgem no novo espaço simbólico atuam no sistema literário dominante, mas sem se condicionar unicamente a uma posição inferiorizada e dependente dos padrões estéticos-temáticos predominantes. O que se destaca, contudo, é a organização insubordinada frente às regras do sistema dominante, de modo que os agentes do *paracampo* – com processo de autonomia relativa e homóloga oposta/paralelamente ao campo literário hegemônico – possam disputar outras posições no campo literário trazendo para o jogo, com isso, um maior volume de capital simbólico adquirido no interior do *paracampo*.

No entanto, o *paracampo* é percebido – e aqui proposto – como um espaço simbólico de atuação (e atração) de agentes que estão em diferentes níveis, seja de quantidade de atuação/produção, bem como de qualidade literária, ao propor novas estéticas para a literatura. Contudo, é inegável que esse espaço *para* não é automático e nem "surge" espontaneamente, de modo que toda obra literária aparece em um determinado polo do campo hegemônico. Historicamente, o *paracampo* literário marginal das periferias estabelece contornos próprios com uma estruturação específica e em algum limite independente das instâncias de consagração do campo hegemônico que detém outras instâncias de legitimação específicas.

Estratégias e instâncias de consagração contemporâneas evidenciam um apagamento – dissimulado em um esquecimento – de determinados setores e de agentes ativos dentro do campo literário nacional por parte daqueles que detêm o domínio e o poder legitimador dentro do campo literário. *Cidade de Deus*, as ações de Ferréz, assim como a *Revista Caros Amigos/Literatura Marginal*, comprovam a atuação plena e consolidada dos agentes produtores de literatura produzida por sujeitos marginalizados socialmente, originários e oriundos de periferias. Em um primeiro plano, essa reunião de escritores acontece por meio de um reconhecimento ético a respeito do seu local de origem e sobre o modo de representação de espaços marginalizados. Em seguida, a estética surge como desdobramento inerente à ética ao propor novas abordagens e novos modelos narrativos.

O ponto em destaque é: esses agentes não falam apenas *sobre* a(s) periferia(s), mas a partir *da* margem social e geográfica. O ponto de vista dos sujeitos parte da periferia e cria subjetividades imbuídas de

[4]Em *As regras da arte*, trabalho em que Pierre Bourdieu (1996) aprofunda a análise sobre a constituição do campo literário, o autor cita "subcampo" 7 vezes, nas páginas: 94, 139, 141, 144, 166, 246 e 256.

modos de ser no mundo. Assim como estetiza outras referências de leituras prévias, ressignificadas por suas experiências de vida, além de criar outros textos com forte influência de uma oralidade marginal. De modo geral, ficcionalizam e ressignificam as suas trajetórias biográficas. Uma vez que a posição dentro do campo social é negada, assim como o posicionamento dentro do campo de produção literário também é contestado por outros agentes que ocupam posição de poder, as instâncias de consagração com relativa autonomia não reconhecem valor em determinadas obras.

É inegável, porém, que a partir do final dos anos 1990 e início dos anos 2000, os autores marginais-periféricos têm movimentado muito a cena literária brasileira. Por meio de organizações coletivas, saraus, prêmios literários, concursos, eventos críticos e literários, dentre tantas outras atividades que movimentam não apenas as periferias, mas todo o cenário nacional, inclusive, o olhar da própria Academia e do campo jornalístico, por exemplo, para essa significativa expressão cultural advinda das margens dos centros urbanos, o cenário cultural contemporâneo é alterado. O que deve se destacar, nesse entremeio, é que uma vez que as instâncias de consagração e as estratégias dos seus agentes dominantes não reconhecem a legitimidade dessas produções, os agentes literários marginais das periferias, por meio de sua produção, reformulam as estratégias e instâncias legitimadoras. Um *paracampo*, com isso, estaria inserido em um jogo de disputa por espaço específico em oposição ao sistema literário nacional – no caso, esses agentes dentro do campo literário permanecem em um polo dominado e não são reconhecidos/legitimados enquanto escritores pelo polo oposto, o dominante.

O *paracampo* literário marginal das periferias, com isso, desenvolve um *habitus* próprio relativo ao espaço simbólico (representado pelos escritores) e ressignifica um novo repertório referente a modos de pensar, gostos, comportamentos e estilos de vida inerentes a esse *paracampo*. Segundo a lógica bourdiana (Bourdieu, 2003), as práticas constituem uma expressão sistemática relativa às condições de existência, sendo que há correspondência relativa entre as posições sociais e os estilos de vida passíveis de reproduzir *habitus* substituíveis com lógicas específicas voltadas para esse novo espaço e que são passíveis de serem observadas, por sua vez, no detalhe singular das ações dos agentes.

> Gerado num tipo determinado de condições materiais de existência, esse sistema de esquemas geradores, inseparavelmente éticos e estéticos, exprime, segundo sua lógica, a necessidade dessas condições em sistemas de preferências cujas oposições reproduzem, sob forma transfigurada e muitas vezes irreconhecível, as diferenças ligadas à posição na estrutura de distribuição dos instrumentos de apropriação, assim transmutadas em distinções simbólicas (Bourdieu, 2003, p. 74).

O *paracampo* entra, desse modo, na lógica de reprodução associada ao espaço simbólico da posição do agente e perceptível na prática estética vinculada à ética, ou na sua trajetória. Por meio da prática dos agentes (evidentemente marcada por uma ação coletiva), há uma estrutura estruturante em oposição à estrutura estruturada dominante no campo de poder.

Nessa constante movimentação, o *habitus* primário de cada agente estaria voltado para os modos de representação, mais especificamente, para a mudança de enunciação realizadas a partir do ponto de vista das periferias marginalizadas. Desse modo, Lima Barreto, Carolina Maria de Jesus e João Antônio apresentam, a partir de seu estilo individual, um novo estilo literário de escrita na forma e no conteúdo e, ao mesmo tempo, concretizam uma quebra dentro do jogo de poder do campo social dominante. Esses escritores, por sua vez, são reconhecidos como precursores de um novo fazer literário por aqueles agentes que, na contemporaneidade, estão agindo no *paracampo*. Dessa forma, há reconhecimento de produção estética, bem como de *habitus* primário em relação às histórias de vida.

Enquanto domínio coletivo de um grupo, o *habitus* secundário – que aos poucos se pode entrever no desenvolvimento da estrutura do *paracampo* –, por sua vez, diz respeito à determinação de novas possibilidades de criação individual de estilos literários de cada autor, um espaço simbólico literário dentro do *paracampo* (variante estrutural do *habitus*). Dentro desse grupo de escritores, enquanto capital incorporado, o *habitus* marginal da periferia torna-se conhecimento adquirido aliado à capacidade criativa dos agentes. A percepção desses dois *habitus* permite afirmar uma maior liberdade de criação, mas sem a perda de um vínculo com o todo coletivo de produção.

Seguindo a lógica de um *habitus* presente e em desenvolvimento no *paracampo*, Mario Augusto Medeiros da Silva, em seu trabalho de doutoramento, destaca três características que giram em torno de uma "ideia de periferia" e que, nesta argumentação, podem trazer luz à especificidade do que seria o *habitus* do *paracampo*:

> Como A) ponto de partida e reconhecimento (a origem social dos autores e a posição ocupada no sistema literário); B) método explicativo (*a periferia do sistema social e literário se tornam a referência para a explicação dos processos sócio-históricos, bem como para a confecção literária); e, por fim, C) formatação de tentativas de um projeto político, uma vez que, adentrados na cena, cada vez mais escritores periféricos são chamados a discutir as mazelas da sociedade. Conquistam o interesse social para explicar os impasses sociais por que falam desde dentro, vêm e veem de lá etc.* (Silva, 2011, p. 412-413, grifos do autor).

Sem fazer menção aos conceitos aqui propostos, o pesquisador, contudo, destaca os mesmos aspectos percebidos na proposição de *habitus* do *paracampo*. Os três elementos, destacados pelo pesquisador no excerto acima, são percebidos à medida que as produções literárias surgem no interior do *paracampo*. Acrescente-se a isso, a perspectiva política (voltada para o exterior do espaço simbólico) que não está alheia às ações externas e internas ao *paracampo*. Pelo contrário, as ações perpetradas no interior do espaço dialogam diretamente com outras mobilizações externas e repercutem, mais uma vez, no interior desse local.

Forma, conteúdo e temas apresentados pelos escritores, que depois reverberam no desenvolvimento do *habitus* do *paracampo*, são percebidos na atuação estética dos agentes contemporâneos. É necessário destacar, nesse entremeio, a forma oriunda desse *habitus* que gira em torno de um "eu" enunciador que se subjetifica. De um modo amplo, há uma quebra no padrão de quem tem acesso à escrita e à detenção de poder discursivo, com isso, quem era antes tratado como objeto de ficção, torna-se sujeito de sua própria produção literária. Mesmo quando a voz narrativa tenta se distanciar das ações, ela se aproxima e cria certos vínculos – quase – afetivos em relação às personagens. Além disso, a forma também procura uma conciliação entre escrita formal e oral. Gírias e dialetos típicos das periferias e favelas tomam corpo nas produções.

O *paracampo* literário marginal das periferias brasileiro, assim, agrupa os seus agentes em torno de estratégias comuns de oposição ao polo dominante do campo literário hegemônico:

> A literatura marginal da periferia não se vincula com o campo literário respondendo a suas regras pré-dadas (isto é, de maneira anacrônica) nem tampouco tratando de dissolver fronteiras (isto é, por fora da tradição), mas nos leva a repensar os modos de funcionamento e de legitimação do campo a partir da apresentação de produções que constituem o motor de uma transformação em relação à oferta de produtos simbólicos na literatura brasileira contemporânea (Tennina, 2017, p. 22).

A estrutura interna do *paracampo* (em movimento e em estruturação) aciona uma nova reconfiguração do sentido da voz do "eu" discursivo que se torna legítima à medida que se insere em um "duplo eu" (Bourdieu, 2010, p. 199) ou em um "nós" coletivo. O sujeito periférico, mesmo em uma posição marginalizada ou subalternizada, faz parte do campo social. Com efeito, o que lhe é negado são as condições mínimas de acesso a bens culturais/sociais ou de reconhecimento de sua voz que produz discurso próprio.

Com o "duplo eu" bourdiano, o que se identifica no seio do *paracampo* é a percepção dos agentes a respeito de um silenciamento imposto aos sujeitos subalternizados. Na lógica do *paracampo*, o uso da coletividade ganha contornos legitimatórios de reconhecimento de subjetividades silenciadas ao longo da história. O termo "coletividade" é entendido aqui como a reunião simbólica e material em torno de um mesmo objetivo, reconhecer distintas vozes e, por sua vez, legitimar diferentes representações, fazendo com que um novo espaço simbólico se estruture em oposição a um campo literário marcadamente excludente, com regras próprias e silenciador de determinados contextos e representações. Também pode ser compreendido como a reunião de forças de agentes com trajetórias e origens semelhantes. A coletividade pode ser percebida no próprio reconhecimento dos agentes dentro de seu campo social, uma vez que atraem em torno de si outros sujeitos com *habitus* similares e mesmo com aspirações comuns. Nesse sentido, uma vez que o "eu" individual não possui "força" suficiente dentro do campo literário para uma possível consagração, um "duplo eu" ou um "nós coletivo" é invocado para entrar no jogo do sistema literário.

Inserido em uma coletividade e utilizando-se desta, após esse agente acionar o "nós" e ganhar relativo reconhecimento dentro do *paracampo*, com um volume de capital maior adquirido, ele teria condições, com isso, de retornar e disputar outras posições no campo literário. Por outro lado, o volume de capital conquistado dentro e fora do *paracampo*, por meio de ações individuais dos agentes, contribui para que a ampliação do reconhecimento dos escritores seja difundida, por meio de processos homólogos ao *paracampo*, ou em outros campos simbólicos.

A coletividade, com isso, torna-se elemento constitutivo e gerador do *paracampo* igualmente por meio das ações conjuntas e no reconhecimento entre os pares, de acumulação de capital literário e de legitimação das obras entre seus autores, em vistas de autonomia individual, construída por meio de uma autonomia coletiva do *paracampo*, já reconhecida internamente. Bourdieu (1996) analisa o modo como o princípio de solidariedade se estabelece no polo dominado do campo literário pelos agentes que compartilham experiências semelhantes, *habitus* parecidos e as disposições relativas ao capital cultural e econômico que possuem:

> A homologia entre as posições no campo literário (etc.) e as posições no campo social global jamais é tão perfeita quanto aquela que se estabelece entre o campo literário e o campo do poder onde se recruta, na maior parte do tempo, o essencial de sua clientela. Sem dúvida, os escritores e os artistas que estão situados no polo economicamente dominado (e simbolicamente dominante) do campo literário, ele próprio temporalmente dominado, podem sentir-se solidários (pelo menos em suas recusas e suas revoltas) com os ocupantes das posições dominadas, econômica e culturalmente, no espaço social. Contudo, pelo fato de que as homologias de posição sobre as quais repousam essas alianças em ato ou em pensamento estão associadas a diferenças profundas em condição, elas não estão isentas de mal-entendido, ou mesmo de uma espécie de má-fé estrutural: a afinidade estrutural entre a vanguarda literária e a vanguarda política está no princípio de aproximações – entre o anarquista intelectual e o movimento simbolista, por exemplo – e de convergências apregoadas (Mallarmé falando do livro como "atentado") que não ocorrem sem distâncias prudentes (Bourdieu, 1996, p. 284).

No *paracampo*, esse mesmo princípio coletivo de solidariedade apresenta-se com mais força. Fugindo de uma possível interpretação ingênua, é lógico que há competição por poder dentro desse novo espaço simbólico. As disputas, por exemplo, em definir o nome do movimento (se é literatura marginal ou literatura periférica, para ficar apenas em duas nomenclaturas), evidenciam o caráter de jogo de controle que também se faz presente no seio desse local simbólico. Com a possibilidade de nomeação, o poder de legitimar (e de reconhecer) se tal obra faz parte ou não do movimento também constitui um aspecto inerente ao jogo interno do espaço. No entanto, em um primeiro momento, quando um agente surge no *paracampo*, uma vez que há identificação de *habitus*, reconhecimento de experiências semelhantes, pontos de vistas condizentes com a perspectiva geral do grupo, a probabilidade de exclusão do indivíduo é muito menor.

O *paracampo* cria, desse modo, estratégias e instâncias de consagração relativamente autônomas no seio desse espaço simbólico. São maneiras importantes de reconhecimento de obras e de artistas atuantes que contribuem para definição desse local e, ao mesmo tempo, auxiliam na divulgação que vai além das fronteiras do *paracampo*. Com isso, os processos de autonomia não surgem totalmente autônomos, mas tornam-se cada vez mais autonomizados conforme os processos de legitimação do espaço se especificam e se especializam. Considerado como um processo em desenvolvimento, o *paracampo* apresenta uma estrutura primeira de afirmação do entendimento do que seria o escritor "marginal" do século XXI e a atualiza conforme as estratégias, as ações e as instituições provenientes desse espaço.

Pierre Bourdieu, em *As regras da arte* (1996), representa imageticamente o campo literário, sua estrutura interna e as suas relações com outros espaços simbólicos, da seguinte maneira:

Na imagem, o sociólogo demarca as polaridades do campo de produção cultural inserido no espaço social e em relação com o campo de poder. Desse modo, o campo artístico não está isolado e não fica completamente imune às ações externas, mesmo com sua possível e relativa autonomia. Além disso, Bourdieu apresenta os subcampos internos ao campo literário, nos quais fica evidente a subordinação interna e externa a qual os agentes são condicionados.

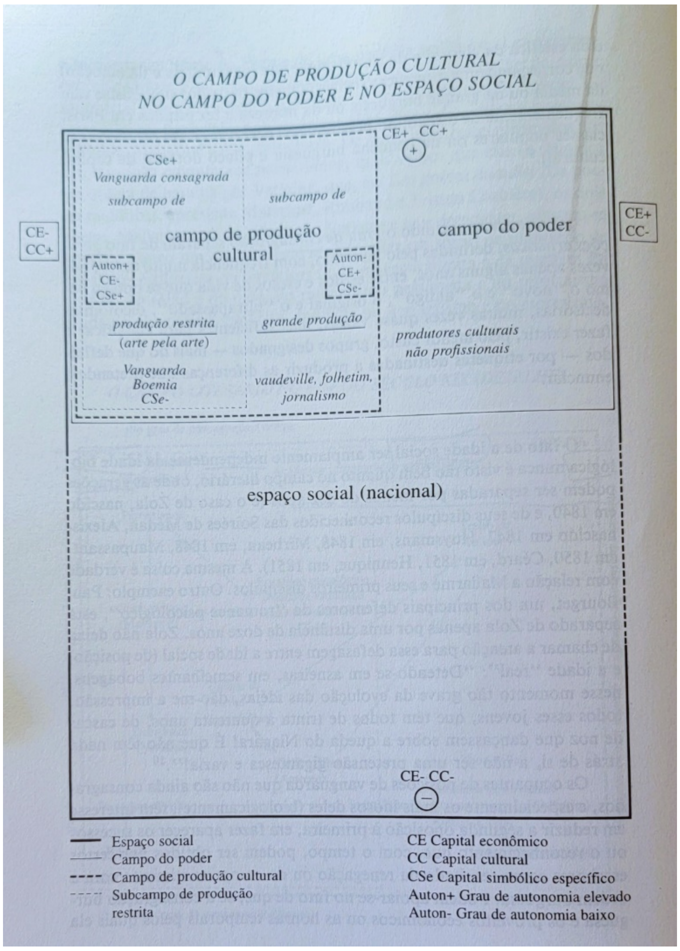

Figure 1. Campo de produção cultural.

Fonte: Bourdieu (1996, p. 144).

Em vista disso, conforme a proposição deste trabalho e com a própria união do sufixo "para-" com o conceito "campo", o *paracampo* estaria em uma posição "ao lado" ou "próxima" da estrutura do campo literário, disputando, assim, posições de prestígio e buscando quebrar com regras que visam à subordinação dominante. O *paracampo* marginal das periferias, desse modo, poderia ser representado (na estrutura interna da relação entre ações, instâncias e instituições) da seguinte forma:

O *paracampo* literário marginal das periferias surge e se estrutura no interior do campo social e em relação com esse espaço. Do mesmo modo, mas ao lado (ou em relação paralela) ao campo literário hegemônico. Os limites entre esses dois espaços de produção cultural não são determinantemente traçados, uma vez que é praticamente impossível cortar vínculos com as instituições de poder legitimadas no campo literário. Contudo, a aproximação de agentes com *habitus* e produções que refletem um mesmo *habitus* periférico é inegável dentro do sistema literário contemporâneo. Em outras palavras, a estruturação de um *paracampo* que une produtores culturais e outras ações (coletivas ou individuais e que não ficam restritas apenas à literatura) está diretamente em disputa por reconhecimento e por acúmulo de capital. Por outro lado, a própria estrutura do *paracampo* também possibilita que outros agentes atuem nesse espaço como, por exemplo, pesquisadores e teóricos advindos do campo acadêmico, ou mesmo aqueles que se movimentam pelos dois meios. A delimitação, com isso, de limites de acesso ao *paracampo* são definidos *a priori* através de *habitus* identificáveis na trajetória individual do agente, ou seja, por meio do reconhecimento do local de origem do indivíduo.

Diferentemente do modelo proposto por Pierre Bourdieu, o *paracampo* não traça regras rígidas específicas excludentes entre os agentes. O espaço simbólico, no entanto, estrutura-se a partir de "relações de conhecimento e de reconhecimento (concomitantemente materiais e simbólicas, instrumentais e expressivas), construtoras de identidade solidária de um grupo" (Vasconcelos, 2011, p. 44). Nesse sentido, um *paracampo* seria um estado temporal momentâneo de aquisição de capital cultural (social e, em outra medida, econômico) do agente inserido em uma coletividade organizada a partir do princípio de solidariedade afim de possibilitar intervenções no modo como as obras culturais são produzidas, difundidas e reconhecidas pelo campo literário. Em outra medida, a pesquisadora Lucía Tennina (2017), em sua pesquisa, percebe nas diversas produções e articulações de manifestações culturais, o aparecimento de um "capital periférico":

> O conjunto de saraus da periferia e a produção literária que ali circula constituem um complexo sistema literário independente e autônomo que conta com seus próprios mecanismos de produção do valor literário, tanto técnicos como simbólicos. Esse sistema, embora em grande medida consiga se autogerir, estabelece agenciamentos com certas instituições culturais que se mostram interessadas no diálogo e na relação com os agentes periféricos e com o capital simbólico a partir do qual estes se afirmam (Tennina, 2017, p. 172).

Desse modo, o *paracampo* seria o espaço onde o capital periférico pode ser condensado em vista de um recurso de acumulação de um estoque de componentes (em sua maioria de prestígio) a serem possuídos pelos (ou transmitidos aos) indivíduos, ou coletivos. Ademais, esse tipo de capital (assim como os outros) integra formas de reconhecimento (um escritor, por exemplo, ao ser reconhecido por seus pares como "marginal") ou estatutos de legitimação (como premiações e organizações coletivas).

Como já afirmado anteriormente, primeiro há identificação e reconhecimento de *habitus* semelhantes entre os agentes; em seguida, o coletivo, inserido nessa rede solidária, atua como mobilizador de identidade(s) simbólica(s) do grupo, estabelecendo, de modo bem definido, fronteiras e limites do *paracampo*. Nomeadamente, dentro dessa lógica, a definição de uma "cultura da periferia" sugere uma primeira definição de identidade que pode ser reconhecida e identificável dentro desse contexto. A cultura da periferia, assim, agrupa modos de vida, comportamentos coletivos, valores, práticas, linguajares e vestimentas dos membros das classes populares situados nos bairros tidos como periféricos.

A lógica das relações constitui-se a partir do reconhecimento solidário,[5] originando transferências de recursos, em sua maioria, simbólicos – como o de prestígio. Casas editoriais, selos, organizações de obras coletivas, saraus, slams e outras ações são exemplos de redes coletivas de pertencimento nas quais os agentes ocupam espaços de trocas e de atribuição de capital cultural em vista de aquisição de autonomia.

[5]Pierre Bourdieu (1996, p. 92) argumenta sobre a origem da solidariedade interna entre os agentes: "Porém, contrariamente ao que querem crer e fazer crer, ela não é apenas o resultado direto de uma fidelidade de disposições herdadas: enraíza-se também nas experiências associadas ao fato de ocupar, no interior do campo literário, uma posição dominada que não deixa de ter ligação, evidentemente, com sua posição de origem e, mais precisamente, com as disposições e o capital econômico e cultural que herdaram dela".

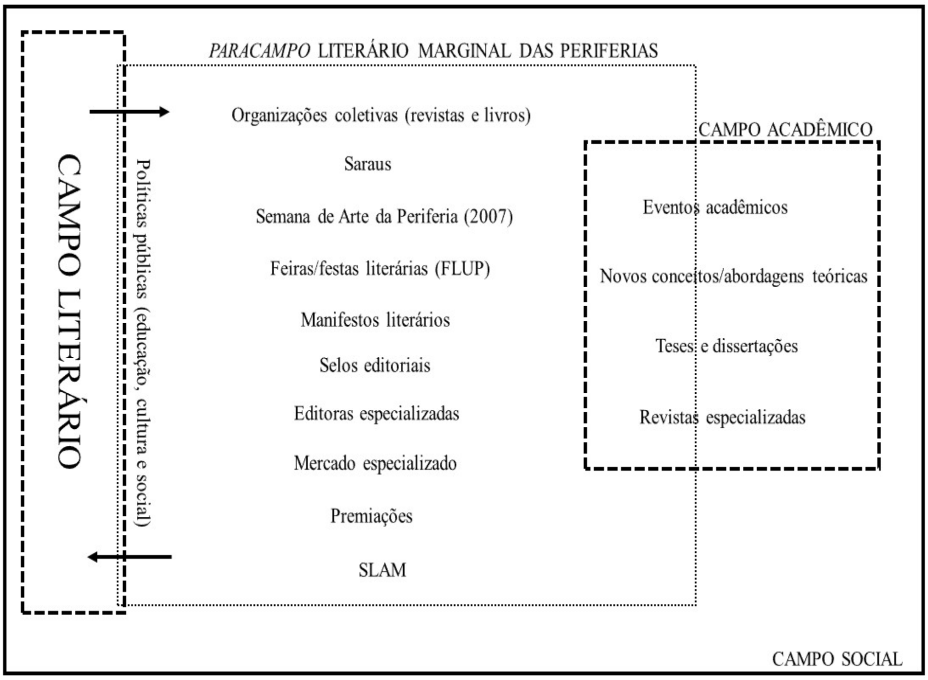

Figure 2. Paracampo literário marginal das periferias: conjunto das relações objetivas constitutivas na sua estrutura.

Fonte: elaboração própria.

De todo modo, tais ações concretas dirigem-se para a constituição específica do agente enquanto produtor artístico.

As redes ou grupos de relação – o *paracampo* – não se constituem exclusivamente de maneira fixa ou contínua. São estágios temporais para produzir relações duráveis e úteis para, com isso, obter ganhos materiais e simbólicos. Nesse sentido, quanto mais gratuita for a troca, mais solidário tornar-se-á o grupo. No entanto, outro fator também pode estar oculto nas relações: o devedor de reconhecimento. Uma vez que o indivíduo recebe ajuda de outro agente, pode existir uma relação de poder (não no sentido de imposição ou de dependência, mas voltado para gratidão ou amor) entre o devedor (em nível de reconhecimento) para com o prestador. Na maioria dos casos, essas trocas originam novas ações dentro do *paracampo*, dando continuidade, com isso, às relações e à abertura do espaço simbólico para outros indivíduos, mobilizando, desse modo, a ação dos membros e dos novos agentes que surgem de maneira a retribuir relativa e proporcionalmente às investidas de legitimação dos agentes "mais velhos" para com os "mais novos", produzindo, as relações duráveis e dando continuidade ao espaço simbólico.

Através dessa movimentação e de uma estrutura estruturante, mas que não é estruturada rigidamente, percebem-se três categorias: de ações (eventos, festas, saraus, organizações coletivas de livros e revistas), de estratégias (premiações e concursos) e de criação de instituições (selos e editoras). Todos esses aspectos são organizados de modo a conquistar reconhecimento, autonomia, acúmulo de capital (cultural e econômico)[6] e afirmação do capital periférico.

[6]Importante destacar que todas as ações, estratégias e instituições aqui apresentadas são trazidas como exemplos e que não abarcam a totalidade, dentro do espaço dos possíveis, de atuação dos agentes. Nesse sentido, funcionam como amostras (ou paradigmas) das movimentações de agentes no interior do *paracampo.* Além disso, tais mobilizações não se condicionam apenas ao eixo Rio-São Paulo, podendo ser encontradas em outros locais do Brasil. Por outro lado, o surgimento do *paracampo* é territorialmente percebido nas periferias das duas cidades, mas, conforme o tempo, expande-se para outros locais.

3 Ações, estratégias e instituições no *paracampo*

Os saraus das periferias são exemplos de redes de agenciamento entre agentes culturais. Os saraus da Cooperifa, do Binho, da Brasa, para citar apenas alguns de São Paulo, tornam-se pontos de expressão e afirmação cultural dos indivíduos reunidos nesses encontros. Com isso, é possível encontrar algum sarau quase todos os dias da semana em diferentes periferias da cidade paulista:

> A literatura marginal dos saraus da periferia consiste em uma literatura que se configura em um espaço particular da cidade – onde se articulam os elementos relacionais do meio popular (o respeito, a honra, o familiarismo, a religiosidade) com elementos vinculados ao contexto urbano (cidadanização, intervenção na esfera pública dos produtos populares, contato com a cultura letrada). Trata-se de uma literatura que se desenvolve através de práticas e fórmulas mais relacionais que interindividuais, e que dá vez, inclusive, a um certo modo de conhecimento e à elaboração de um saber que combina tradições diferentes (Tennina, 2017, p. 110).

Nesse sentido, por meio de uma ação coletiva de afirmação e de reconhecimento, os saraus tornam-se importantes espaços de divulgação da produção dos agentes. Ademais, servem como exemplo de espaço material de encontro e de trocas entre os agentes no interior do *paracampo*, como um dos principais pontos territoriais de contato dos produtores desse espaço simbólico das periferias. Contudo, as atividades expandem-se para além dos próprios saraus, dessas reuniões de poetas surgem premiações, mostras, encontros de diferentes saraus e outros eventos.

A Semana de Arte da Periferia (SAP), com o lema "É tudo nosso!", por exemplo, realizada em novembro de 2007, organizada por Sérgio Vaz (fundador do Sarau da Cooperifa), foi um dos mais importantes eventos de afirmação da cultura da periferia e mesmo de expansão dessas manifestações artísticas para além dos limites das margens da cidade. Cada um dos sete dias do evento foi dedicado a uma expressão artística: dança, literatura, artes plásticas, teatro, cinema e música. Com isso, a Semana de Arte da Periferia colocou em discussão conceitos relativos à arte, à produção cultural e à legitimação dessas manifestações. Ao dialogar com a Semana de 1922, a SAP afirma o dever da arte em voltar-se, nesse contexto, para a construção de cultura que esteja próxima no seu conteúdo social e comunitário.

Nesse contexto, as ações internas de consagração criadas pelos agentes oriundos das periferias auxiliam na legitimação dos discursos construídos internamente ao *paracampo*. O Prêmio Cooperifa é exemplo de uma ação legitimadora dos agentes desse espaço: a premiação realizada pelo Sarau da Cooperifa desde 2005, no interior do *paracampo*, com estratégias próprias, organizada enquanto elemento valorativo para os escritores e todos os outros agentes culturais que se reconhecem (e, através da premiação) são reconhecidos como atuantes na cultura da periferia – uma vez que as premiações envolvem também cantores, artistas plásticos, jornalistas e periódicos, revistas, dentre outras categorias. O *paracampo*, desse modo, cria premiações que reconheçam a importância dos agentes e, ao mesmo tempo, dê prestígio à sua atuação. Esse prêmio, assim como diversos outros, tornam-se ações que aproximam agentes, possibilitam um amplo reconhecimento do público externo e interno, e cria laços para a inserção de novos agentes no *paracampo*.

> Trata-se, por um lado, de um tipo de reconhecimento individual a cada premiado pela contribuição que realiza ao sarau, mas também é uma estratégia de reconhecimento própria do grupo enquanto grupo, já que consiste em uma valorização simbólica dos distintos papéis que tornam possível o sarau, aprofundando, assim, o sentimento de pertença (Tennina, 2017, p. 93).

Em outro espaço dentro do *paracampo*, é possível ver que o polo editorial também se faz presente por meio de ações individuais de certos indivíduos que possuem relativo capital periférico e que atuam de modo a trazer para o debate outros agentes com trajetórias semelhantes. Ferréz, por exemplo, em 2005, organiza o livro *Literatura Marginal: talentos da escrita periférica*. A obra é oriunda das três edições especiais da Revista *Caros Amigos/Literatura Marginal*:

> A ideia de "literatura marginal" ganhou força a partir da publicação das antologias da revista *Caros Amigos*, mas um passo fundamental para sua consolidação foi a publicação do livro *Literatura Marginal: talentos da escrita periférica*, organizado também por Ferréz no ano de 2005 e lançado pela editora Agir. Nessa obra, Ferréz reuniu uma seleção de vinte e cinco textos originalmente publicados nos números especiais da *Caros Amigos*. A literatura marginal passava, assim, a ganhar força através de um instrumento letrado por excelência, o livro, inserindo-se, dessa forma, no mercado editorial (Tennina, 2017, p. 29).

Além desse livro, surgem outras organizações coletivas: *Cenas da favela*, de Nelson de Oliveira, de 2007, e *Eu sou favela*, de Paula Anacaona, de 2015. Nessa medida, os agentes não se contentam em manter o seu lugar de prestígio relativo conquistado, mas chamam para a cena outros escritores e, dessa forma, contribuem para a dinamicidade do *paracampo*. Ainda nesse polo, assomam editoras especializadas em obras da periferia, tais como a de Allan da Rosa, as Edições Toró, ou a de Maria Nilda de Carvalho Mota (a Dinha), a MeParió Revolução, dentre tantas outras.

Conforme a lógica do *paracampo*, uma vez que o campo literário hegemônico nem sempre possibilita condições de acesso a determinadas posições simbólicas, os agentes investem certo capital adquirido na e para a formação de novos espaços internos ao *paracampo*. Editoras e selos, dessa forma, contribuem para a formação de um mercado especializado no interior do *paracampo* que, por sua vez, volta-se para a produção especializada dos agentes das periferias. Nesse contexto, no início dos anos 2000, a mudança de paradigmas sobre a gestão da cultura no Brasil, no interior do campo político, também foi fundamental para o surgimento do *paracampo* – assim como para praticamente todas as ações no interior desse espaço simbólico –, uma vez que o Estado começa a reconhecer ações culturais que não eram até então consideradas e investe nelas, fato que nunca aconteceu antes.

No contexto dessas novas propostas de valorização das produções culturais das periferias, em 2012, nas favelas do Rio de Janeiro, surge a primeira edição da Festa Literária das Periferias (Flup). Como o nome já destaca, é possível perceber a oposição em relação à Festa Literária de Paraty (FLIP). De acordo com o portal da Flup:

> Passamos pelo Morro dos Prazeres, Vigário Geral, Mangueira, Babilônia, Mangueira e Vidigal, até chegarmos ao centro da cidade, abraçando a região que o sambista Heitor dos Prazeres batizou de "Pequena África". [...]
> Outra característica que nos torna únicos é que a Flup é precedida por um processo formativo, que já resultou na publicação de 22 livros com autores das nossas periferias. Alguns autores que passaram por essas formações são Ana Paula Lisboa, Jessé Andarilho, Rodrigo Santos e o fenômeno Geovani Martins, jovem morador da Rocinha cujo livro de estreia foi traduzido para mais de 10 países.
> Pode-se atribuir à Flup a emergência da primeira geração de escritores oriundos das favelas cariocas (Flup, 2023).

Assim, o evento acontece fora dos grandes circuitos culturais do Rio de Janeiro. Além disso, as ações da festa contribuem para o aparecimento e formação de outros escritores. A Flup, ainda, possui marca de reconhecimento por agências e instituições (prêmios) externas ao *paracampo* literário marginal das periferias, o que, por sua vez, traz ao circuito outros capitais de reconhecimento e de legitimação que, dessa maneira, podem ser atribuídos também aos agentes inseridos nesse contexto.

Em um outro polo do *paracampo*, pode-se perceber a importância coletiva dos slams, que se fazem presentes em quase todo o território nacional. Essa manifestação cultural contemporânea relaciona-se diretamente no campo artístico com outras expressões, como: o rap, hip hop, saraus, as batalhas de MC's e com a literatura marginal (Freitas, 2020). Nesse sentido, o slam constituído e relacionado diretamente com as produções de periferia pode ser localizado dentro do contexto atual de produção artística do *paracampo* literário marginal das periferias. Além disso, o slam movimenta de maneira distinta o campo literário ao tensionar os limites da literatura com suportes oral, escrito e visual – esse último aspecto é ainda mais relevante se se considerar que a maioria dos slams possui página no YouTube, com divulgação dos vídeos dos slammers declamando seus poemas, o que amplifica, com isso, suas vozes e a dimensão receptiva. Justamente por apresentar novos modelos de expressão poética, o *slam poetry* também articula outros contextos de produção e circuitos de divulgação e recepção, uma vez que a maioria dos slams são produzidos por agentes que habitam nas margens dos centros urbanos e ocupam, geralmente, praças públicas para expressá-los. Ao ocupar esses espaços antes negados a esses sujeitos, essa manifestação "tensiona ainda mais os limites entre literatura e música, poesia e vida, arte e ativismo – limites já complicados por outras manifestações da cultura hip-hop" (Freitas, 2020, p. 2).

Na dimensão pública da manifestação dos poemas, a poesia alcança o ouvinte que se torna agente atuante no momento da expressão dessa forma artística, de modo que o caráter coletivo se aprofunda ainda mais no slam. No Brasil, em 2008, surge o primeiro slam, o ZAP! (Zona Autônoma da Palavra), organizado por Roberta Estrela D'Alva, no bairro Pompeia, em São Paulo. No entanto, hoje, no Brasil, há registros de slams por quase todo o território nacional, de Belém a Porto Alegre, de Recife a Brasília, o que, desse modo, expande o *locus* performático e as abordagens temáticas para além do eixo Rio-São Paulo. Por fim, é notório que a maioria dos poemas apresentados versam sobre a luta por direitos humanos, aprofundando noções sobre política e luta social.

4 O polo acadêmico do *paracampo*

Em um primeiro momento, frente ao surgimento desse novo espaço simbólico, o campo acadêmico/científico atua como oposição e não reconhece a legitimidade das ações de produção do *paracampo*. Considerado como espaço com um nível extremo de especialização e de reconhecimento social (Bourdieu, 2019), o campo acadêmico, ocupante de uma posição dominante no campo social, encarregado de dizer o que é arte ou não, frente às suas próprias regras arbitrárias de legitimação e de controle de poder, não acompanha as transformações ocorridas no mundo artístico. No entanto, conforme a mudança no campo social torna-se cada vez mais significativa – com a entrada de outros sujeitos, de distintas classes, gêneros, etnias e posições sociais –, o campo acadêmico começa a atuar diretamente com possibilidade de reconhecimento dessa arte associada às iniciativas internas ao *paracampo*. Ou seja, aquelas ações arbitrárias, tornadas naturais pelo próprio campo científico, são questionadas pelos agentes que surgem por meio de sua própria produção literária. Desse modo, há um número cada vez maior de eventos acadêmicos, organizações de livros, revistas especializadas, teses, dissertações e grupos de pesquisa com tema voltado à literatura marginal das periferias.

Em 2003, a Associação Brasileira de Literatura Comparada (ABRALIC) propôs o II Colóquio Sul de Literatura Comparada/Encontro ABRALIC 2003, realizado em Porto Alegre/RS, de 30 de julho a 1º de agosto. Nesse evento, buscou-se justamente expressar novas inquietações e afirmar certos compromissos teóricos com novas produções literárias. Dessa forma, o mote central, *Geografias Literárias e Culturais: espaços/temporalidades*, dialogou, em alguma medida, com as novas expressões literárias. Nos anais do evento, por exemplo, é possível encontrar o texto "Mutirões discursivos: com a palavra, as maiorias", de Benito Rodriguez, no qual o autor reflete sobre as obras *Cidade de Deus* e *Capão pecado*, além de outros textos de Solano Trindade e outros escritores presentes na cena contemporânea.

Ainda no contexto do campo científico, a *Revista Estudos de Literatura Brasileira Contemporânea*, editada pelo Programa de Pós-graduação em Letras da UnB e conduzida pela pesquisadora Regina Dalcastagnè, publicou diversos números voltados para a produção marginal das periferias. Em 2003, por exemplo, o número 22 possuía como tema principal: "Sujeito e espaço social" (Estudos..., 2003). No volume, é possível encontrar um artigo que trabalha o livro *Quarto de despejo* e a trajetória de Carolina Maria de Jesus. No ano seguinte, 2004, o número 24 da revista é voltado para a "Literatura nas margens" (Estudos..., 2004). Dentro da seção temática, cinco artigos refletem diretamente sobre a produção literária marginal das periferias: "No fio da navalha: literatura e violência no Brasil de hoje", de Tânia Pellegrini; "Literatura Marginal: o assalto ao poder da escrita", de Fernando Eslava; "O ódio dedicado: algumas notas sobre a produção de Ferréz", de Benito Rodriguez; "Literatura marginal em revista", de Marcos Zibordi; e, "A narrativa insurgente do hip-hop", de Ecio Salles (a edição ainda conta com uma resenha de Patrícia Oliveira sobre o livro *Suburbano convicto:* o cotidiano do Itaim Paulista, de Alessandro Buzo). Essas ações demonstram, por sua vez, o crescente aumento do interesse por parte do campo acadêmico para as produções literárias marginais.

Além disso, poder-se-ia ainda citar outro grande número de livros acadêmicos com artigos e ensaios que refletem sobre a produção literária das periferias, à guisa de exemplo: *Modos da margem:* figurações da marginalidade na literatura brasileira, organizado por Alexandre Faria, João Camillo Penna e Paulo Roberto Tonani do Patrocínio, de 2015; e, *Literatura e periferias*, por Regina Dalcastagnè e Lucía Tennina, de 2019. Desse modo, comprova-se o interesse do campo científico que cada vez mais se mobiliza em aprofundar o tema e trazer para o debate novas perspectivas analíticas.

A produção literária marginal das periferias incitou também pesquisadores e críticos a propor novas abordagens teóricas acerca da sociedade e da cultura brasileiras. Roberto Tonani do Patrocínio (2018), no texto "O sentimento íntimo de ser marginal: instinto de marginalidade", propõe repensar a literatura marginal das periferias a partir de um "instinto de marginalidade". O conceito, para o pesquisador, pode ser compreendido "no próprio ato de narrar os espaços esquecidos da cidade, a margem, a partir de um novo olhar, um olhar de dentro e próximo à realidade retratada" (Patrocínio, 2018, p. 143). O ensaio dialoga com o texto de Machado de Assis, "Instinto de nacionalidade: notícia da atual literatura brasileira", de 1873, que procurava encontrar nas produções da época uma identidade univocamente brasileira. Contudo, a produção literária marginal, segundo Patrocínio (2018), demonstra que os espaços periféricos são núcleos políticos e estéticos de criação, evidenciando, por sua vez, que os que antes eram objetos de ficções, tornam-se, agora, sujeitos de seus escritos, "subverteram uma espécie de estrutura que se fazia já consagrada em nossa cultura e assumiram o lugar de sujeito da enunciação e não são mais como objetos retratados por intelectuais" (Patrocínio, 2018, p. 143). Com isso, aquela visão unívoca estaria em desacordo com as diversas formas de fazer literário e de representar "uma" identidade nacional. Esses exemplos comprovam a influência que a produção artística possui no pensamento crítico e social brasileiro.

A trajetória da pesquisadora Érica Peçanha do Nascimento, oriunda e moradora de uma periferia de São Paulo, Bairro do Jaraguá, por sua vez, pode ser encontrada dentro do polo acadêmico do *paracampo* literário marginal das periferias. A sua ampla produção acadêmica, bem como o vínculo com a Universidade de São Paulo (USP), uma das mais importantes do Brasil e da América Latina, comprovam o relativo prestígio que a professora possui. Outra ação que a destaca dentro do *paracampo* é o Prêmio Cooperifa Cultura da Periferia recebido em 2019. Tal ato valida e reconhece, por parte dos agentes do *paracampo*, a legitimidade do trabalho da pesquisadora. Além disso, o seu primeiro livro *Vozes marginais da literatura*, publicado pela Editora Aeroplano em 2009, fruto de sua pesquisa de mestrado, está esgotado. O trabalho coletivo que Érica do Nascimento desenvolve em parceria com outros pesquisadores reafirma o seu reconhecimento por parte do campo acadêmico hegemônico, como a organização do livro *Polifonias marginais* juntamente com Lucía Tennina, Mário Medeiros e Ingrid Hapke, publicado pela Aeroplano e pela UFRJ, em 2015. Por fim, o seu pós-doutoramento resultou na publicação, em 2020, do livro *Narrativas periféricas:* entre pontes, conexões e saberes plurais, pela Editora Amavisse e IEA (Instituto de Estudos Avançados da Universidade de São Paulo).

De todo modo, comprova-se que a partir de novas produções artísticas, novas epistemologias devem ser (re)pensadas e criadas. Percebe-se, dessa maneira, que os modelos tradicionais de crítica e de análise literária não são mais capazes de abarcar inovações estéticas trazidas pela literatura marginal das periferias – ou por outros movimentos literários contemporâneos. Com isso, novas abordagens são propostas nas diversas teses e dissertações que foram apresentadas nos últimos anos nos mais diversos programas de pós-graduação:

> Na medida em que a produção literária periférica se traduz em obras, perfis sociológicos e modos de inserção específicos de produtos e autores no campo cultural, merecem destaque, também, os rebatimentos acadêmicos provocados pela entrada em cena desses produtores literários. Com base em consultas ao Catálogo de Teses e dissertações da Capes (Coordenação de Aperfeiçoamento de Pessoal de Nível Superior), pude identificar 53 dissertações e teses, defendidas no Brasil entre 2004 e 2016, que se ocuparam especificamente da produção contemporânea associada às ideias de literatura marginal ou periférica (Nascimento, 2019, p. 33).

Tal movimentação do campo científico e a preocupação cada vez maior de pesquisadores em trabalhar com objetos estéticos de autoria de sujeitos marginais das periferias brasileiras comprova que os limites pré-definidos de um campo estão em constante movimentação, possibilitando que esse espaço simbólico altamente estruturado (Bourdieu, 2019) se abra para produções outras e, por sua vez, para agentes que não estariam no centro do debate. Com isso, o *paracampo* possibilita uma reorientação de seus agentes para novas proposições estéticas e mesmo reorientação epistemológica, uma vez que o campo acadêmico – como ficou demonstrado – pode ser encontrado nos limites desse novo espaço simbólico de produção artística. Além disso, é necessário destacar que o *paracampo*, tal como aqui apresentado, não depende da aprovação do campo acadêmico para a sua existência. A produção literária das periferias existe e continuará existindo indiferente às normas ou regras específicas de um campo. O campo acadêmico, contudo, entendido em relação ao campo artístico, é o espaço simbólico que precisa se voltar para manifestações culturais outras. Através de disputas, os agentes constroem espaços próprios que possibilitam tensionar determinados vínculos ou, em outra medida, relativizar a dependência interna com as instâncias canonizadas do campo literário hegemônico.

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Great Britain Journals Press

RESEARCH FINGERPRINT

IDENTIFIER
LJRHSS-226610

PEER REVIEW
Double Blind

SIMILARITY CHECK
Perplexity AI and iThenticate

ACCESS
Open Access

LANGUAGE
English

PRINT ISSN
2515-5784

ONLINE ISSN
2515-5792

EDITION

ABBREVIATION
LJRHSS

VOLUME
26

ISSUE
4

YEAR
2026

KEY DATES

RECEIVED
2026-03-25

ACCEPTED
2026-03-31

ONLINE PUBLISHED
2026-06-04

PUBLISHED
2026-06-26

CATALOGING

CROSSMARK DOI
10.34257/LJRHSS226610UK

London Journal of Humanities and Social Science
General Section

Article Record

From the Explanatory Gap to Behavioural Governance through Bounded Rationality and the AEIOUF Hypercube

CORRESPONDENCE

AUTHORS & AFFILIATIONS

Dr. Colin Benjamin Paul Bitetto ¶*

¶ Australian Association of Social Workers Melbourne Australia

ABSTRACT

This article develops a long-form research-stream argument from the supplied evidence packet. The central claim is that cCC* should be understood not as a free-standing conceptual invention, but as the proposed outcome of a staged research program that begins with a large Roy Morgan Values Segments evidence base and then reorganizes that empirical field through HYPERCUBE topology, AEIOUF dimensional ordering, and cCC*/NEWCON guardrails. The supplied pages show three things with unusual clarity. First, they identify an empirical base marked repeatedly at n = 327,119 and attributed to Roy Morgan Research. Second, they show that those data are not being left in raw market-segmentation form; they are redistributed into HYPERCUBE quadrants and four macro-zones repeatedly labelled becoming, bridging, building, and belonging. Third, they connect this remapping work to a visible publication...

Full abstract continues on the metadata continuation sheet.

Index Terms: cCC* • AEIOUF • HYPERCUBE • Roy Morgan Values Segments • values segmentation • behavioural economics • entrepreneurship • NEWCON • relational governance • coherence

FUNDING
No external funding was declared for this work.

CONFLICTS
The authors declare no conflict of interest.

AI USAGE
No generative AI was used for analysis or results.

HOW TO CITE
Paul Bitetto (2026). From the Explanatory Gap to Behavioural Governance through Bounded Rationality and the AEIOUF Hypercube. London Journal of Humanities and Social Science, 26(4), 48-60. DOI: 10.34257/LJRHSS226610UK

ACCESS ONLINE

METADATA CONTINUATION

AUTHOR CONTACT QR LEDGER

Dr. Colin Benjamin Paul Bitetto¶*

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ARCHIVAL RECORD

LJRHSS · Vol 26 · Issue 4 · 2026

Article ID LJRHSS-226610 · DOI 10.34257/LJRHSS226610UK

Print ISSN 2515-5784 · Online ISSN 2515-5792

CROSSREF DOI 10.34257/LJRHSS226610UK

RESEARCH ARTICLE

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Dr. Colin Benjamin Paul Bitetto¶*

AFFILIATIONS

¶ Australian Association of Social Workers Melbourne Australia

Abstract

This article develops a long-form research-stream argument from the supplied evidence packet. The central claim is that cCC* should be understood not as a free-standing conceptual invention, but as the proposed outcome of a staged research program that begins with a large Roy Morgan Values Segments evidence base and then reorganizes that empirical field through HYPERCUBE topology, AEIOUF dimensional ordering, and cCC*/NEWCON guardrails. The supplied pages show three things with unusual clarity. First, they identify an empirical base marked repeatedly at n = 327,119 and attributed to Roy Morgan Research. Second, they show that those data are not being left in raw market-segmentation form; they are redistributed into HYPERCUBE quadrants and four macro-zones repeatedly labelled becoming, bridging, building, and belonging. Third, they connect this remapping work to a visible publication stream associated with Benjamin and Levine on values segmentation, Benjamin and Bechervaise on entrepreneurship and behavioural differentiation, and Benjamin, Bitetto, and Bound on cCC*, AEIOUF, NEWCON, and behavioural economics. The article argues that the packet therefore supports a distinct LJHRSS research stream. In this stream, segmentation data provide the empirical field; HYPERCUBE provides a topological remapping architecture; AEIOUF provides the dimensional grammar; living-systems and mind-map pages provide mediating cognitive and relational pathways; entrepreneurial and turbulence pages provide the environmental conditioning; and cCC* names the coherencebearing and governance-relevant outcome of that reorganized field. The article concludes that the stream is sufficiently developed to justify a journal program of empirical, comparative, and longitudinal research into relational coherence under varying environmental conditions.

Keywords: *cCC*, AEIOUF, HYPERCUBE, Roy Morgan Values Segments, values segmentation, behavioural economics, entrepreneurship, NEWCON, relational governance, coherence*

Correspondence: Dr. Colin Benjamin Paul Bitetto

1 Introduction

The evidence packet assembled in this conversation is not a conventional manuscript draft. It is a working archive: printed references, handwritten HYPERCUBE overlays, AEIOUF sheets, systemsrules notes, living-systems diagrams, mind-maps, entrepreneurship and turbulence pages, quadrant count tables, and subgroup value comparisons. The challenge for LJHRsS is therefore not simply to decode isolated figures. The challenge is to identify the research stream those figures already instantiate when they are read together as parts of one program.

The most important correction introduced by the newer pages is empirical. Earlier readings could still be dismissed as conceptually imaginative but under-grounded. The packet now makes that dismissal much harder. It names Roy Morgan Research, repeatedly marks a 327,119-case field, shows quadrant count tables, redistributes those counts across HYPERCUBE macro-zones, and adds a gender-ranked values page with ordered differences by female and male grouping. In addition, it ties the framework to visible publications on values segmentation, entrepreneurship, cCC*, AEIOUF, and NEWCON.

The present article takes those materials seriously as evidence of a programmatic stream. Its thesis is direct: the packet is building cCC* as an empirically anchored, relationally governed, and turbulence-sensitive framework of coherence. Large-scale values-segmentation data form the input field. HYPERCUBE remapping reorganizes that field into relational zones. AEIOUF provides the explanatory grammar. Living-systems and mind-map pages provide mediating cognitive and relational pathways. Entrepreneurship and Type I/Type II pages provide environmental conditioning. cCC* names the coherence-bearing and governance-relevant outcome of the whole arrangement.

Such a reading is a strong fit for LJHRsS because it sits at the intersection of social-values analysis, human-relations systems, behavioural economics, and strategic adaptation. It does not reduce coherence to a personality variable, and it does not reduce values segments to a consumer-market taxonomy. Instead, it proposes that large-scale social-value distributions can be reorganized into a field of relationally differentiated and governance-relevant coherence patterns.

2 The visible publication lineage

A research stream becomes more persuasive when it can be placed inside a visible publication lineage. The supplied reference pages make that placement possible. They show Benjamin and Levine on values segmentation and Roy Morgan values; Benjamin and Bechervaise on entrepreneurship and behavioural differentiation; Benjamin, Bitetto, and Bound on cCC*, guardrails, AEIOUF, NEWCON, and behavioural economics; and a broader theoretical surround including Jung, Beebe, Baars, Kahneman and Tversky, Maturana and Varela, Keirsey and Bates, Koch, and Boyd.

This cluster of citations matters because each strand contributes a different function to the stream. The segmentation publications provide the empirical bridge. The entrepreneurship work provides the uncertainty, opportunity, and disequilibrium branch. The cCC*/AEIOUF/NEWCON pieces provide the formal integrative vocabulary. The broader consciousness, type, systems, and strategy references provide conceptual scaffolding for how segment distributions could become cognitively mediated, relationally situated, and behaviourally legible.

For a journal audience, the critical point is that the packet is not isolated. It is already situated in a scholarly trajectory. The manuscript can therefore be written as a synthesis and consolidation of a stream rather than as a speculative proposal detached from any publication history. That does not mean every strand is already fully integrated in finished form. It does mean that the stream has visible intellectual anchors.

3 The empirical base: Roy Morgan Values Segments and the 327,119-case field

The clearest shift in the packet is empirical. The HYPERcube and Type I/Type II pages repeatedly state n = 327,119 and identify Roy Morgan Research as the source. This is decisive. A framework drawing on 327,119 observations is claiming population-scale empirical relevance. It is not offering a small-sample pilot or an anecdotal narrative.

Equally significant is the use of the data. The figures do not present the Roy Morgan field as a final descriptive table. Instead they partition counts into quadrant blocks, annotate them with relational labels, and redistribute them across four macro-zones: becoming, bridging, building, and belonging. The stream is therefore not satisfied with values segmentation as an end point. It seeks a higher-order re-expression of the empirical field.

This move changes the status of the HYPERCUBE. Without the count pages, the HYPERCUBE could still be treated as a conceptual schematic. With the count pages, it becomes a remapping device for empirical distributions. The stream is effectively proposing that large-scale values evidence can be translated into a relational and developmental field without losing its empirical grounding.

That proposal is highly relevant to LJHRSS because it opens a bridge from population evidence to human-relations interpretation. Values distributions become the starting point for analysing belonging, bridging, strategic building, and emergent becoming. This is broader than market segmentation and more empirically grounded than purely speculative theories of coherence.

4 The hypercube as remapping architecture

The HYPERCUBE pages should be read as topological remapping devices. Their function is not merely representational. They take empirical segment distributions and reorganize them into a relational field. This is clearest in the pages that combine counts with macro-zones and in the cCC* sector map where typed and relational positions surround a central coherence core.

The repeated appearance of positional terms such as mine, ours, theirs, me, we, you, and them suggests that the stream is not content with classification alone. It wants to know how empirical patterns sit inside relations. That is a major theoretical shift. It means that the values field is being converted from a descriptive taxonomy into a socially locatable topology.

The cCC* sector map reinforces this reading. The center is not empty. It is marked as a coherencebearing field around which different sectors are organized. This implies that the remapped empirical field is not intended to remain fragmented. It is being read in relation to an integrative core. In the reconstructed stream, cCC* is best understood as that proposed integrative center.

For research purposes, the HYPERCUBE provides an architecture for asking new questions of old data. Which regions are strongest in belonging? Which perform bridging work? Which

consolidate into building? Which remain emergent in becoming? Which appear turbulencesensitive? The empirical field becomes newly analyzable once remapped topologically.

5 Becoming, bridging, building, and belonging

The four macro-zones recurring across the packet deserve to be treated as more than labels. They are the principal macro-containers into which the empirical field is redistributed. Becoming can be read as emergence or early formation. Bridging identifies linking and transitional function. Building suggests organized consolidation and strategic construction. Belonging identifies social integration and stabilized relational fit.

This fourfold is analytically powerful because it converts segmentation into a relationaldevelopmental model while remaining tethered to empirical counts. A values segment ceases to be merely a consumer cluster. It becomes a location in a broader field of relation, development, and governance. The stream thereby creates a vocabulary broad enough for human-relations research and concrete enough to remain empirically useful.

The fourfold also creates a comparative agenda. Researchers can ask whether some segment patterns are overrepresented in bridging, whether building corresponds to more strategic or outward organization, whether belonging correlates with stronger social coherence, and whether becoming captures more emergent or less consolidated value structures. This is exactly the kind of comparative architecture a research stream needs.

6 The gender-ranked values page and the second empirical layer

The gender-ranked values page adds a second empirical layer to the stream. It is not simply another segmentation figure. It separates female and male columns and orders values by rank, thereby introducing comparative value hierarchy rather than only category membership. In addition, the notes about absolute difference indicate concern with magnitude, not only ordering.

This matters because values research often remains locked at the level of cluster membership Rank ordering allows the stream to ask what values dominate within a group, how strongly they dominate, and how the ordering differs across groups. Such a move deepens the behaviouraleconomic dimension of the framework because ranked values plausibly influence framing, preference, risk tolerance, and response to opportunity and belonging.

For cCC*, the gender page implies that coherence is not only about where actors sit in a remapped field but also about how values are internally ordered within that field. Two groups could occupy adjacent HYPERCUBE zones and yet differ substantially in ranked value priorities. Conversely, groups far apart topologically might converge on a similar hierarchy of key values. The stream therefore gains a second comparative axis.

7 AEIOUF as dimensional grammar

The AEIOUF pages and the systems-rules sheet make explanation possible. Without them, the HYPERCUBE would remain principally a remapping architecture. AEIOUF converts remapped evidence into a structured analytical grammar. Across the packet it is aligned with Actors, Environment, Interactions, Outputs, Understanding, and Fulfilment. These terms provide a stable enough sixfold to organize analysis.

Actors specify who or what occupies the field of agency. Environment names contextual pressures and conditions. Interactions specify the exchanges and transformations linking positions. Outputs designate what becomes externally visible. Understanding identifies the interpretive and selecting layer. Fulfilment names closure, sustainment, and outcome continuity. In research terms, this is a dimensional grammar capable of comparing cases, zones, and groupings.

The systems-rules page strengthens this reading by assigning operating descriptions to each letter. A configures the matter. E connects past, present, and future movement. I organizes evidence and facts. O externalizes or incorporates new data. U selects and guides phases. F stabilizes movement through fail-safe review and sustainability. These operational descriptions move AEIOUF beyond mnemonic status and toward usable research dimensions.

For LJHRSS, AEIOUF matters because it offers a way to study coherence without collapsing into trait labels. The question becomes not simply what kind of actor or segment is present, but how actors, environments, interactions, outputs, understanding, and fulfilment are aligned or misaligned. That makes cCC* analytically richer and methodologically more tractable.

8 Living systems, mind-maps, and mediating pathways

The living-systems and mind-map pages introduce mediation. The living-systems page places typed labels across a matrix and associates them with roles such as input transducer, output transducer, converter, encoder, associator, decider, and memory-like functions. The mind-map adds cognitive capacities such as planning, explaining, contextual inference, metaphor, emotional sorting, weighing intent, bodily attention, imagery, and numerical or chart comprehension.

These figures matter because they show that values location and relational position do not produce coherence directly. There are pathways and transformations in between. That insight prevents the stream from becoming crudely deterministic. Behaviour is not simply the product of segment category nor simply the result of environment. It is mediated through interpretive, mnemonic, symbolic, affective, and decisional processes.

This is a notable strength. It means the stream can support a multi-level causal account: population evidence is remapped into zones; zones are interpreted through AEIOUF; actors navigate those zones through mediating living-systems and cognitive pathways; environmental turbulence shapes what counts as adequate adaptation; and cCc* becomes the integrative outcome of these layered relations.

9 Entrepreneurship, Type I/Type II, and turbulence

The entrepreneurship and turbulence page provides the environmental-conditioning branch of the stream. It contrasts known market conditions with unknown future states, certainty with uncertainty, low risk with creative destruction, and equilibrium with disequilibrium. The handwritten overlays tie these distinctions to Type I and Type II, and further relate them to becoming, belonging, and governance-aware adaptation.

This environmental branch is essential because it prevents cCC* from being misread as static order under calm conditions. Coherence has to be interpreted under uncertainty, opportunity, and change. That is where the Benjamin and Bechervaise entrepreneurship strand becomes loadbearing: the stream is interested not only in social-value distributions but in how those distributions behave under entrepreneurial and strategic turbulence.

Accordingly, becoming and bridging can no longer be read merely as early or intermediate zones in a placid developmental sequence. Under turbulence they may be adaptive positions. Building and belonging are likewise not guaranteed endpoints of calm consolidation. They may represent more structured forms of coherence that are still vulnerable, or resilient, under disequilibrium conditions. The turbulence branch therefore turns the stream into a dynamic theory of coherence under environmental pressure.

10 What cCC* is in the reconstructed stream

The packet does not offer a single dictionary definition of ccc*, but its role can be reconstructed with reasonable clarity. cCC* is the coherence-bearing center of the remapped field. It names the outcome proposed when empirical segment distributions, relational positions, AEIOUF dimensions, mediating pathways, and governance constraints come into sufficient alignment.

In this sense cCC* is neither purely mental nor purely behavioural. It is the patterned relation between context, value ordering, interpretation, and action that makes conduct appear controlled, coherent, contextualized, and observable. That role explains why cCC* appears in the reference pages together with guardrails and NEWCON. If the stream translates evidence into coherence claims, it requires constraints to prevent arbitrary projection.

cCC* is therefore best treated as a governance-relevant outcome. It begins with evidence, but it does not end with evidence. It reorganizes and interprets the evidence under explicit guardrails. This gives the stream a middle position between pure description and pure prescription. It neither remains a market-segmentation exercise nor floats free as an untestable theory of ideal consciousness.

11 Methodological implications

If this packet is accepted as a real research stream, its methodological implications are substantial. First, it supports mixed methods. Large-sample counts, distributions, and rankings provide quantitative anchors. HYPERCUBE remapping, AEIOUF coding, and zone interpretation provide qualitative and interpretive depth. Second, it supports multi-level analysis across populations, subgroups, zones, and individual or organizational cases.

Third, it supports comparative designs. Researchers can compare zones, compare ranked value orders across groups, compare lower and higher turbulence conditions, and compare how similar value profiles behave differently under distinct governance settings. Fourth, it supports longitudinal research. The fourfold macro-zones imply movement; turbulence implies changing conditions; and cCC* implies varying degrees of sustained coherence over time.

Fifth, the stream requires transparency. Because counts are being redistributed and coherence is being inferred, the procedures of remapping, coding, and interpretation must be explicit. That requirement is not a weakness; it is what will make the stream credible to journal readers.

12 Research questions and propositions

The packet already supports a programmatic set of research questions. How do Roy Morgan Values Segments distributions change when remapped through HYPERCUBE macro-zones rather than left in ordinary segment form? How do AEIOUF dimensions mediate the behavioural significance of those redistributed positions? How do turbulence and entrepreneurial conditions alter the significance of different zones? How do ranked value differences across groups alter cCC* profiles? These are no longer vague philosophical questions. They are empirical and comparative research questions grounded in the evidence packet.

Several propositions follow. Large-scale values distributions can be systematically remapped into becoming, bridging, building, and belonging without erasing empirical distinctiveness. AEIOUF alignment mediates the relationship between remapped zone and observable coherence. Ranked value differences across groups predict differentiated cCC* profiles even under adjacent topological positions. Bridging functions become more important under uncertainty and disequilibrium than under low-risk equilibrium conditions. Understanding and fulfilment dimensions are especially important in sustaining cCC* under higher turbulence. NEWCON-like guardrails are required to keep the translation from evidence to coherence claims credible.

13 Contribution to LJHRSS

The contribution of this draft is not that it pretends the stream is already finished in every operational detail. Its contribution is that it identifies and articulates a substantial research program that is already visible in the supplied pages. It is empirically anchored in Roy Morgan Values Segments. It is topologically organized by HYPERCUBE remapping. It is dimensionally explicable through AEIOUF. It is cognitively and relationally mediated through living-systems and mind-map structures. It is conditioned by entrepreneurial turbulence. And it is normatively constrained through cCC* guardrails and NEWCON.

This is a strong fit for LJHRsS because it offers something broader than market segmentation and more grounded than purely speculative systems theory. It creates a pathway for studying humanrelations coherence as an empirically informed, behaviourally economic, and governance-

relevant phenomenon. It also has applied implications for entrepreneurship, organizational diagnosis, social segmentation analysis, and adaptive governance

14 Discussion and limits

Several limitations should be stated plainly. Some handwritten counts and labels remain partially obscured in the photographs, so a publishable journal version should include a verified appendix with typed transcriptions. The remapping of values-segmentation evidence into coherence categories also requires explicit procedural description if it is to be persuasive to readers who are unfamiliar with the packet. The breadth of the stream is a strength, but also a risk; empirical base, remapping method, dimensional grammar, mediation, turbulence, and governance must be presented in disciplined sequence.

Generalization should also be cautious. The stream is visibly rooted in an Australian empirical and intellectual context through Roy Morgan and the named publication lineage. Comparative replication across other populations and settings would strengthen the stream. None of these limits, however, weaken the central conclusion that an empirical-conceptual cCC* research stream is plainly visible in the supplied material.

15 Conclusion

The supplied evidence packet now supports a strong journal-level conclusion. A genuine research stream is present. It begins with a Roy Morgan Values Segments field of 327,119 cases. It redistributes that field into HYPERCUBE quadrants and macro-zones of becoming, bridging, building, and belonging. It adds ranked value differentiation across female and male groupings. It explains the reorganized field through AEIOUF and through mediating living-systems and cognitive pathways. It conditions coherence under entrepreneurship and turbulence. And it names cCC* as the coherence-bearing and governance-relevant outcome of the whole arrangement.

That is why the packet matters for LJHRss. It offers more than a conceptual theory and more than a descriptive segmentation exercise. It offers a research program for translating large-scale socialvalue evidence into relationally governed, behaviourally economic, and turbulence-sensitive coherence analysis. The next stage is to verify the count tables, formalize the remapping procedure, define operational indicators, and test the propositions. The present article has a narrower aim: to show that the stream exists and is substantial enough to warrant that next stage. On the evidence supplied, it does.

Layer	Role in the Reconstructed Stream
Roy Morgan Values Segments	Supplies the large-scale empirical field and observable distribution of values patterns.
Quadrant counts and group rankings	Provide structured numerical differentiation across zones and subgroups.
HYPERCUBE	Remaps segment evidence into relational topology and four macro-zones.
AEIOUF	Provides the dimensional grammar for explanation across actors, environment, interactions, outputs, understanding, and fulfilment.
Living systems / mind-map	Provide cognitive and relational mediating pathways that transform location into conduct.
Turbulence / entrepreneurship	Condition the expression of coherence under uncertainty, opportunity, and change.
cCC* / NEWCON	Name the coherence-bearing and governance-constrained outcome of the remapped field.

Table 1. Research stream architecture

15.1 Selected propositions

1. Large-scale values-segmentation distributions can be systematically remapped into HYPERCUBE macro-zones without erasing empirical distinctiveness.

2. AEIOUF alignment mediates the relationship between remapped zone and observable coherence outcome.

3. Rank-ordered value differences across subgroups predict differentiated cCC* profiles even under adjacent topological locations.

4. Bridging functions become comparatively more important under uncertainty and disequilibrium than under low-risk equilibrium conditions.

5. Understanding and fulfilment dimensions are especially important in sustaining cCC* under higher turbulence.

6. Guardrail structures such as NEwcoN are necessary to keep the translation from evidence to coherence claims methodologically credible

16 Extended discussion: why the stream matters beyond segmentation

One reason the stream matters is that it refuses to accept segmentation as the end of explanation. Segmentation is useful for describing patterned differences across populations, but by itself it says little about coherence, governance, or adaptation. The packet repeatedly pushes beyond that limit. By remapping segment distributions into becoming, bridging, building, and belonging, it asks whether values data can be re-read as positions within a broader social and developmental field.

This matters intellectually because many frameworks stop too early. They either provide rich descriptions without showing what those descriptions imply for action, or they provide high-level theories without demonstrating how empirical evidence enters the model. The cCC* stream attempts to hold both together. That ambition is difficult, but it is also precisely what gives the stream its potential significance.

The stream also matters practically. Institutions often hold demographic and attitudinal data yet lack ways of interpreting those data as relational and governance questions. A remapping architecture such as HYPERCUBE offers a possible bridge. It does not eliminate complexity, but it gives a language for moving from numerical distribution to questions of coherence, belonging, transition, and adaptation.

17 Extended discussion: behavioural economics and cCC*

The visible references to behavioural economics in the packet are important because they show that the stream is not satisfied with typology alone. Behavioural economics adds a concern with framing, salience, ordering, preference formation, and the ways people act under bounded rationality. That concern is entirely consistent with the gender-ranked values page and with the quadrant remappings. Once values are ordered rather than merely classified, the stream can begin to ask how ordered priorities shape actual behavioural choice under different environmental conditions.

This behavioural-economic branch complements rather than replaces the relational and systems branches. AEIOUF still provides dimensional explanation, and HYPERCUBE still provides remapping topology. Behavioural economics helps interpret how these structures might be enacted in decision, response, and adaptation. In that sense the stream is not merely about who people are. It is about how patterned value and relation structures can become patterned conduct.

For LJHRss, this is especially useful because it helps connect the packet to broader contemporary conversations about judgment, uncertainty, and the practical significance of value orderings. The stream thereby becomes easier to position in interdisciplinary dialogue.

18 Extended discussion: governance, NEwcON, and the need for guardrails

Any framework that translates empirical evidence into higher-order coherence claims faces a credibility problem unless it explains its constraints. The packet addresses this through cCC* guardrails and NEWcoN. Even though the full formalization is not reproduced in every page, the repeated association of cCC* with guardrails matters. It signals that the stream recognizes the risk of arbitrary reinterpretation.

In practical terms, guardrails mean that remapping procedures, dimensional assignments, and coherence claims must remain bounded by method and by evidence. NEWCoN appears in the stream as a constitutional or normative constraint on how far interpretation can legitimately go. That is one reason the packet is stronger than a purely metaphorical systems model: it explicitly grapples with the question of discipline.

A journal treatment should emphasize this point. The value of the stream does not lie only in imaginative synthesis. It lies in the claim that synthesis can be disciplined. If the journal paper formalizes those constraints clearly, it will make the whole framework much more persuasive.

19 Appendix: source figures from the supplied packet

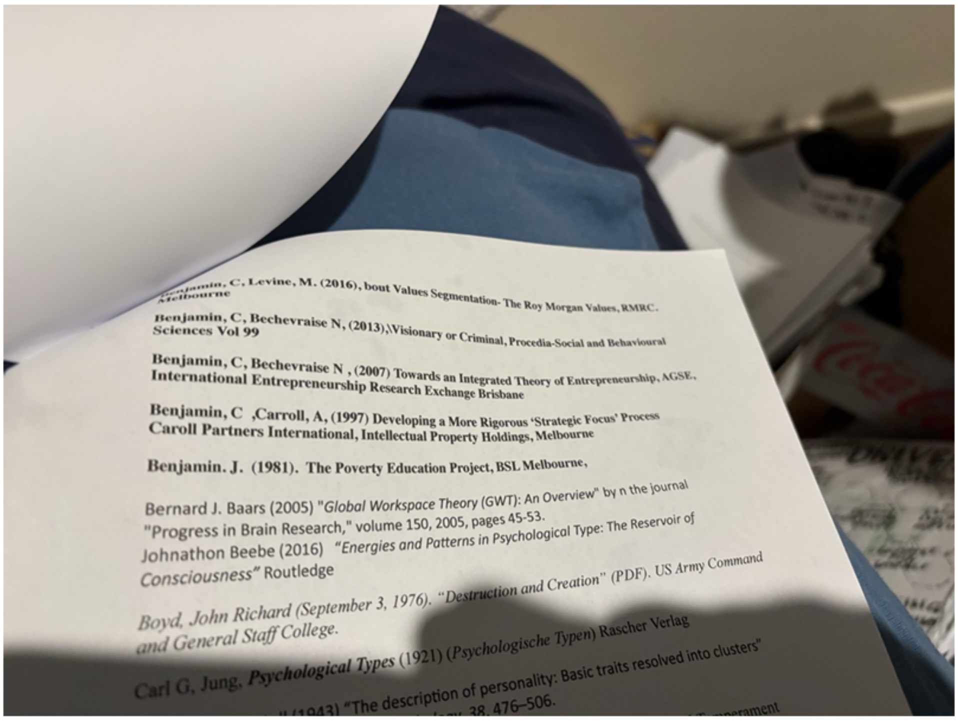

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Figure 1. Reference page 1

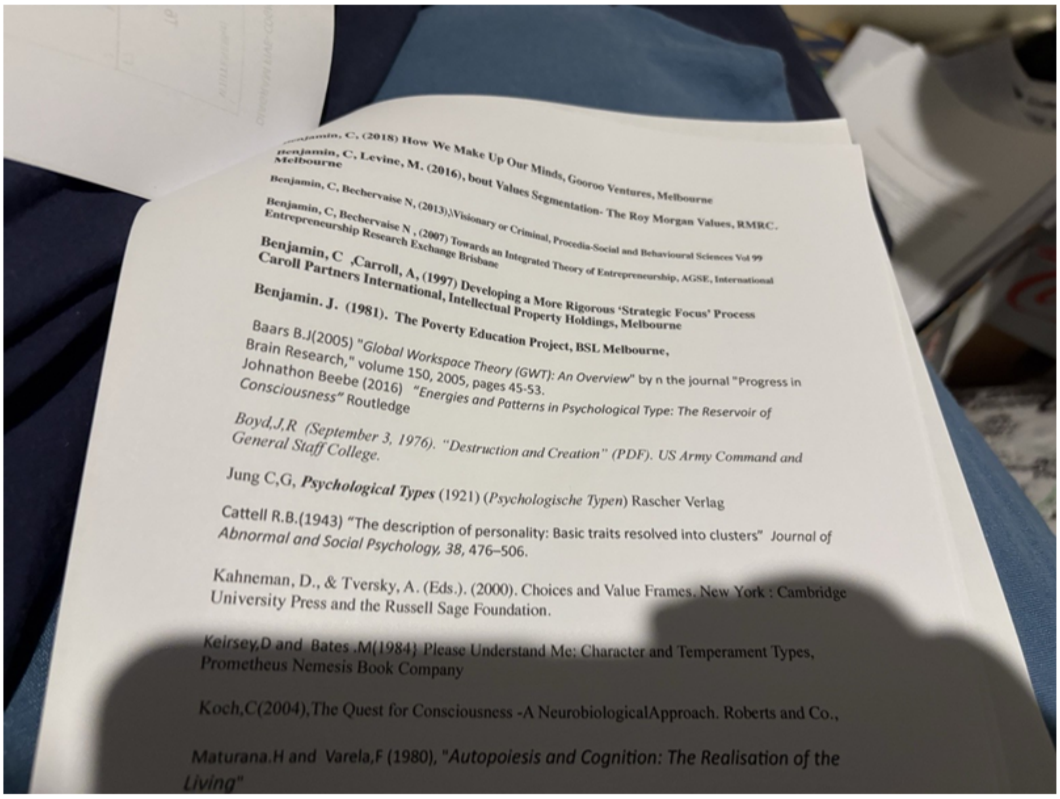

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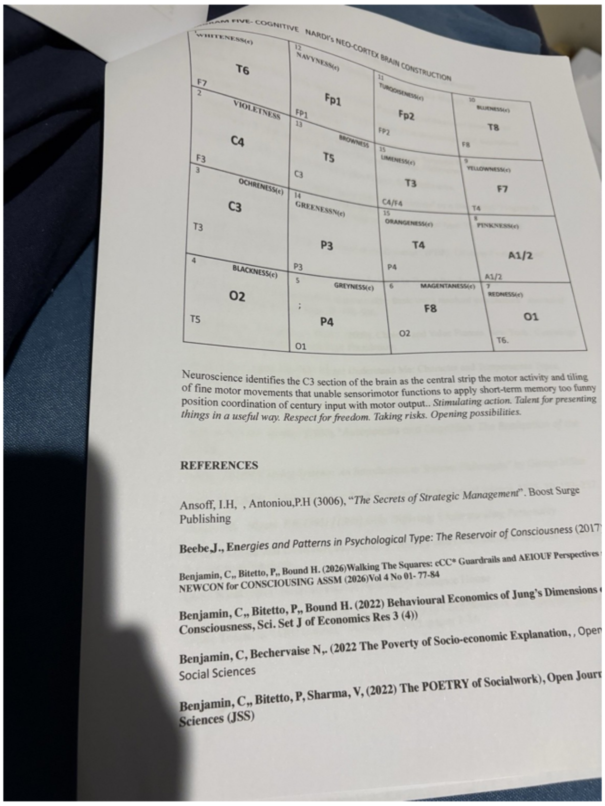
Figure 2. Reference page 2


FIVE- COGNITIVE NARDI's NEO-CORTEX BRAIN CONSTRUCTION

1 WHITENESS(e) T6 F7	12 NAVYNESS(e) Fp1 FP1	11 TURQOISENESS(e) Fp2 FP2	10 BLUENESS(e) T8 F8
2 VIOLETNESS C4 F3	13 BROWNESS T5 C3	15 LIMENESS(e) T3 C4/F4	9 YELLOWNESS(e) F7 T4
3 OCHRENESS(e) C3 T3	14 GREENESSN(e) P3 P3	15 ORANGENESS(e) T4 P4	8 PINKNESS(e) A1/2 A1/2
4 BLACKNESS(e) O2 T5	5 GREYNESS(e) ; P4 O1	6 MAGENTANESS(e) F8 O2	7 REDNESS(e) O1 T6.

Neuroscience identifies the C3 section of the brain as the central strip the motor activity and tiling of fine motor movements that unable sensorimotor functions to apply short-term memory too funny position coordination of century input with motor output.. *Stimulating action. Talent for presenting things in a useful way. Respect for freedom. Taking risks. Opening possibilities.*

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Figure 3. Reference / brain construction page

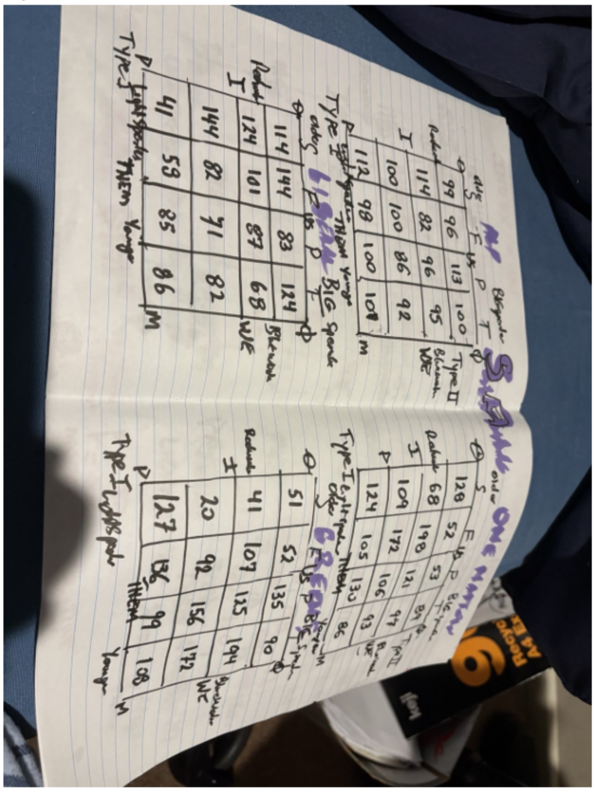

Figure 4. Empirical quadrant counts

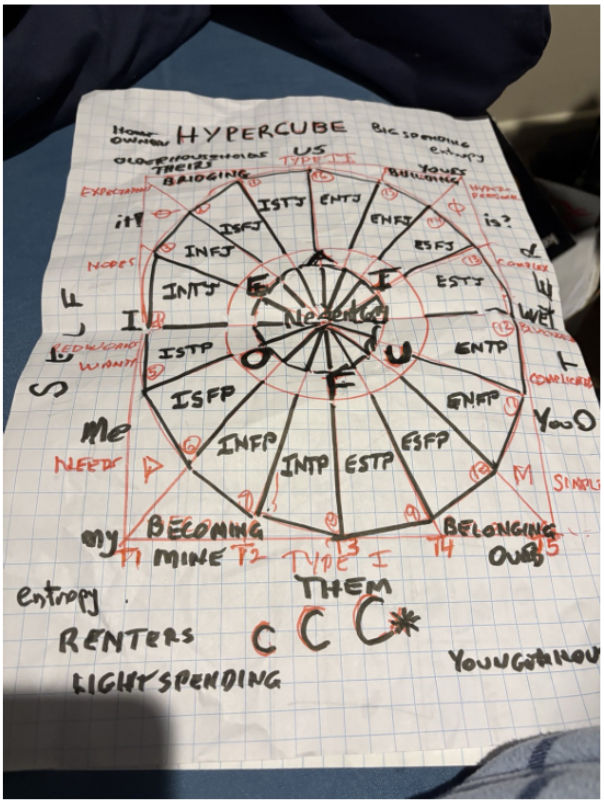

Figure 5. Type II / Type I becoming-bridging-building-belonging grid

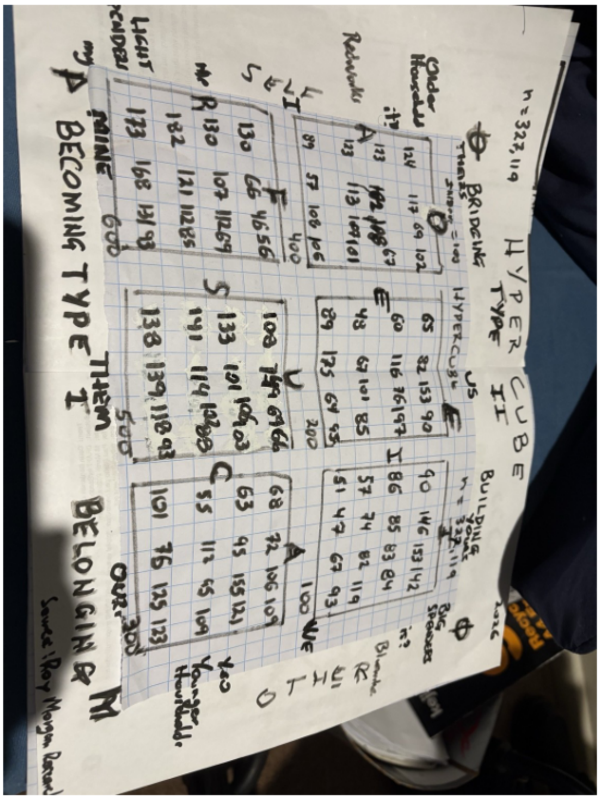

Figure 6. Type II / Type I becoming-bridging-building-belonging grid

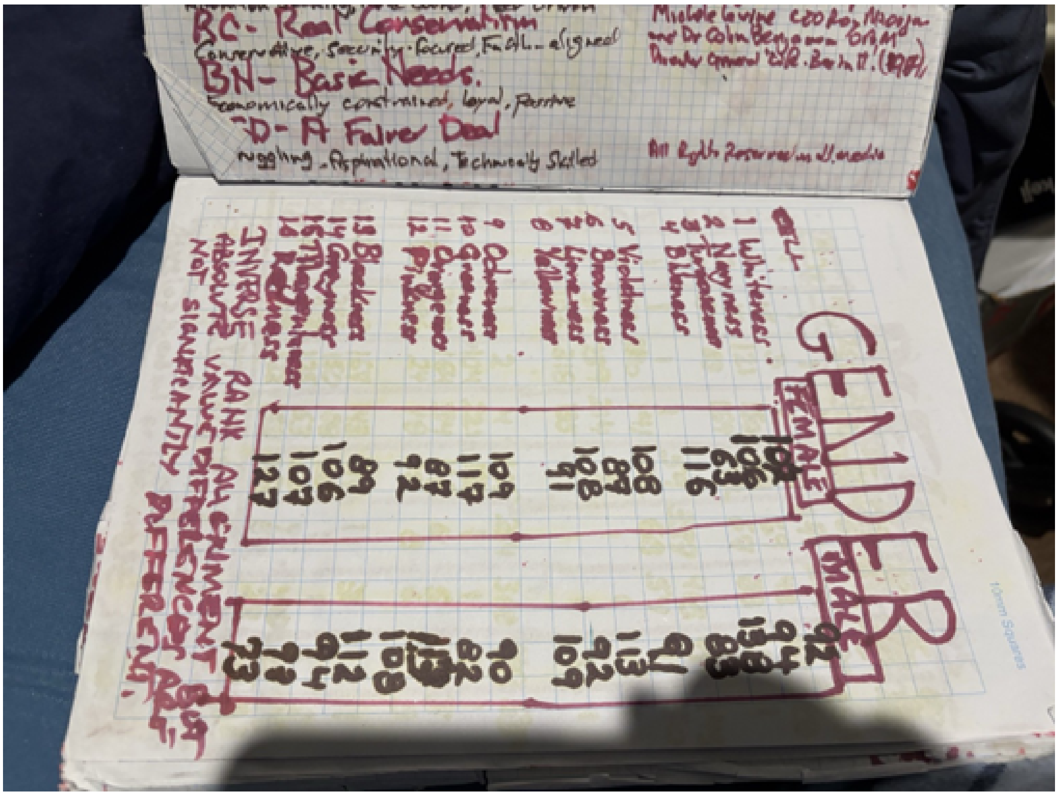

Figure 7. Gender-ranked values evidence

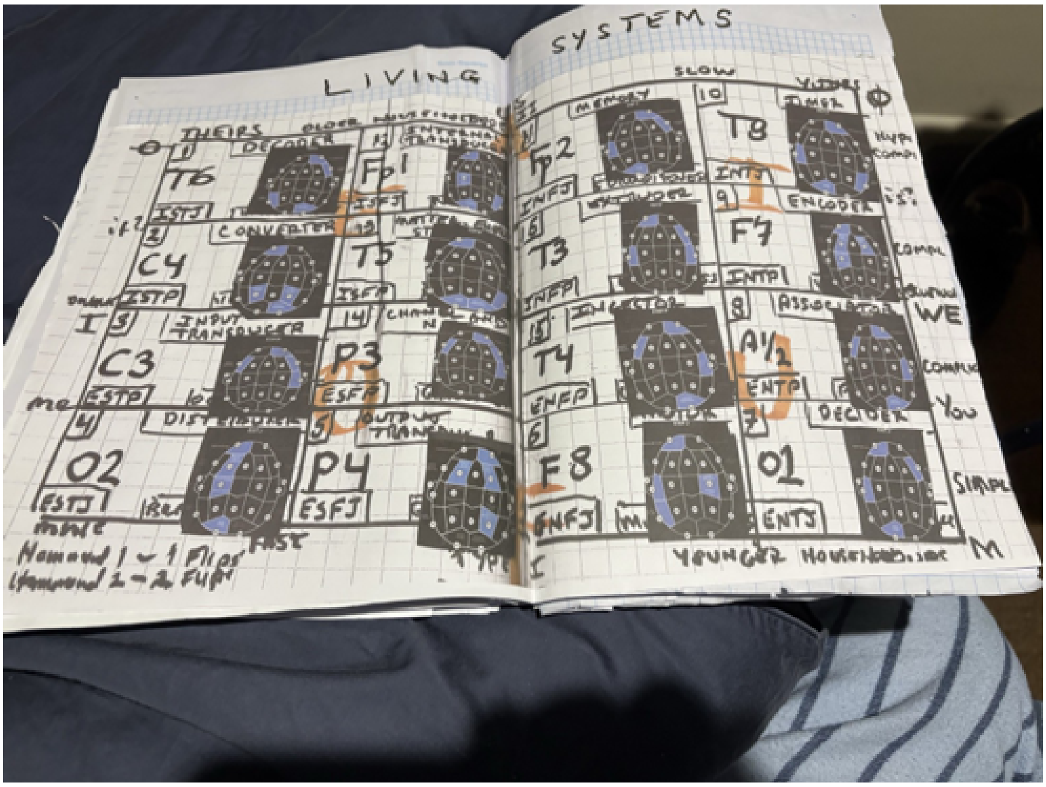

Figure 8. Living systems grid

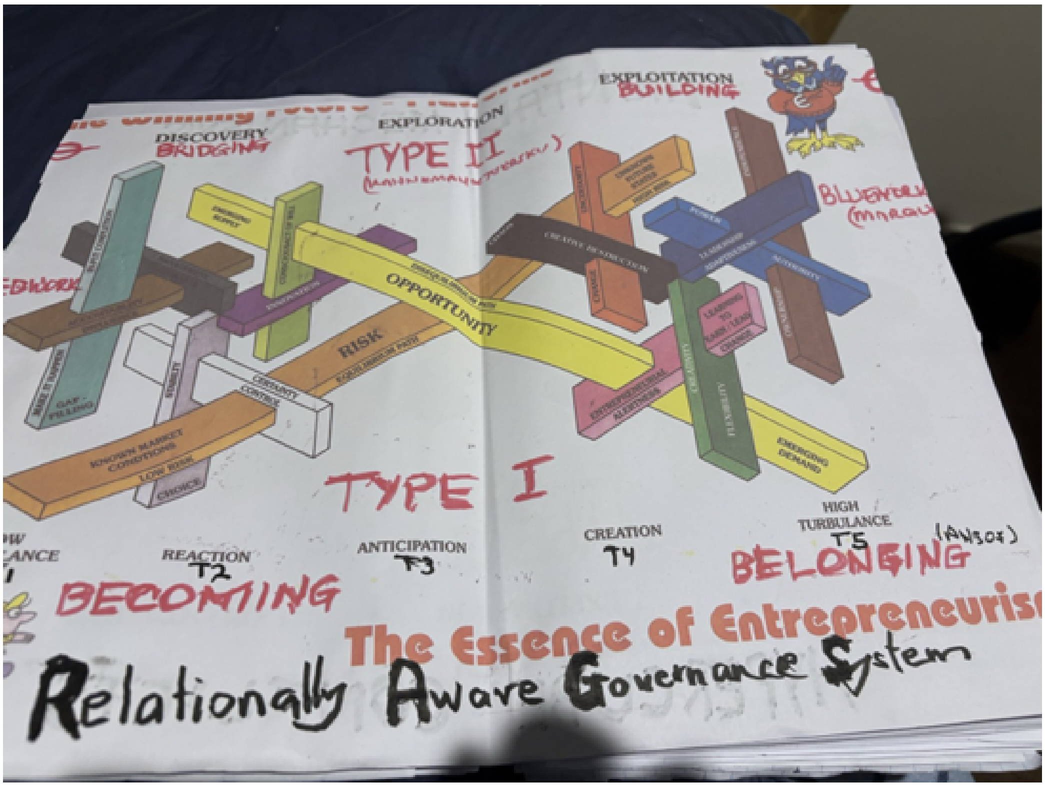

Figure 9. Entrepreneurialism and turbulence page

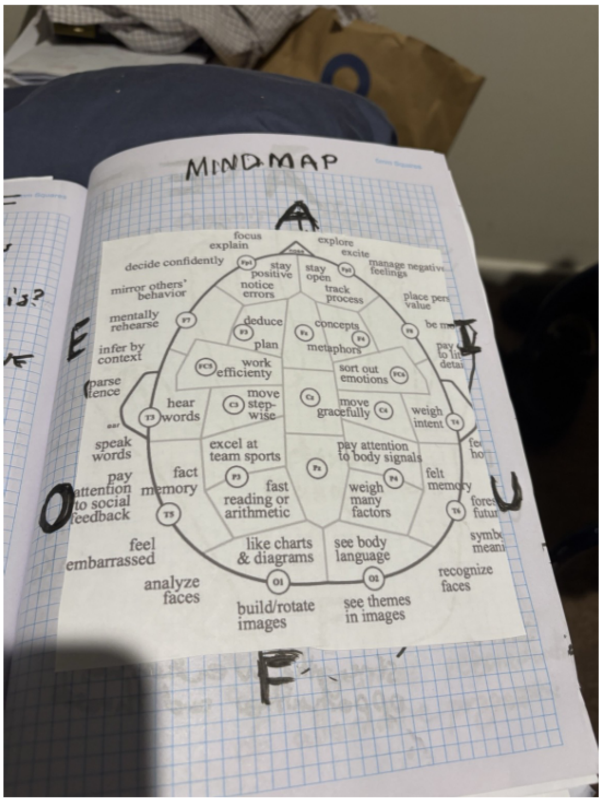

Figure 10. Mind-map page

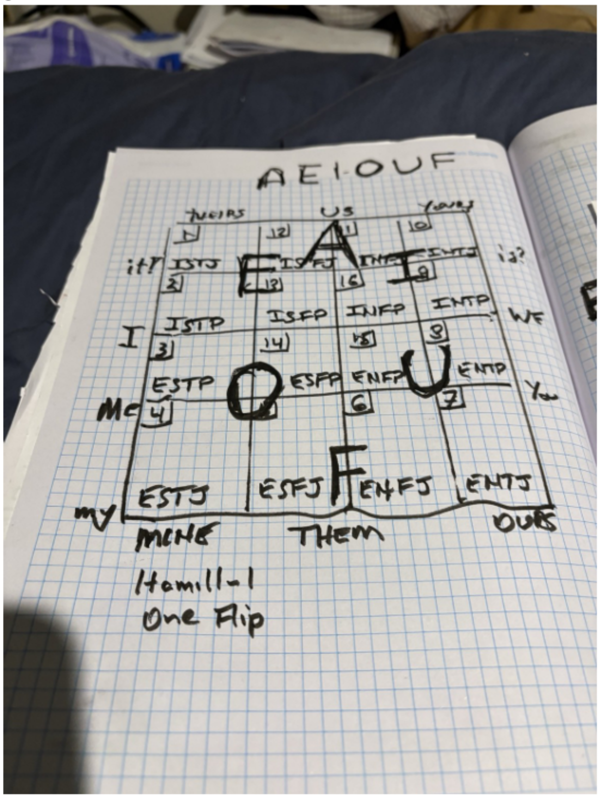

Figure 11. AEIOUF grid

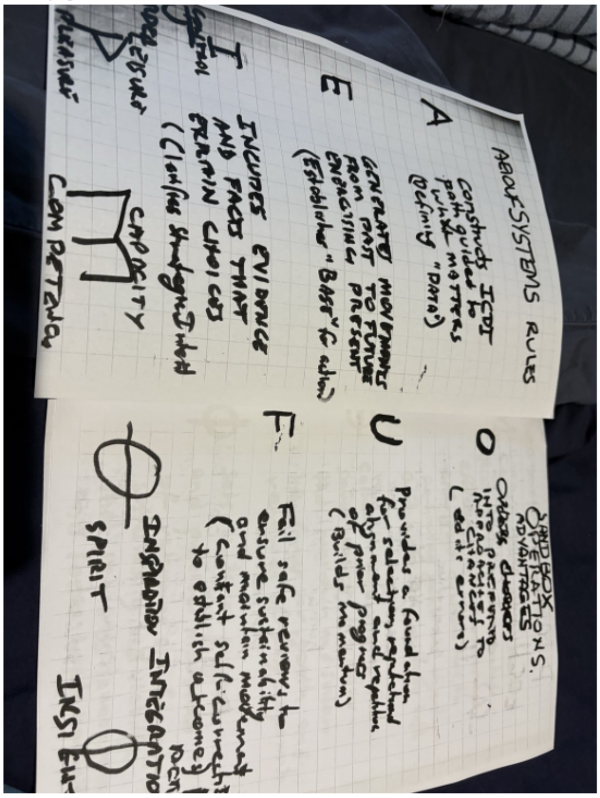

Figure 12. Systems rules page

20 Literature integration and theoretical positioning

The reconstructed stream can now be positioned more rigorously against adjacent literatures. In social-values research, segmentation frameworks have long been valued for their capacity to identify patterned differences across populations. Their limitation has often been that they stop at categorization. In typological and consciousness literatures, the opposite problem often appears:

rich symbolic explanation without sufficiently large empirical grounding. The cCC* stream attempts to meet in the middle. It takes a segmentation base large enough to claim population relevance and then uses typological, systems, and behavioural-economic resources to explain why those segment patterns may matter for coherence, relation, and governance.

Within behavioural economics, the stream is unusual because it treats values ordering and social positioning as part of the architecture of choice rather than as merely background variables. Standard behavioural-economic analysis often focuses on framing, salience, heuristics, and bounded rationality. The present stream does not reject those concerns; rather, it tries to place them inside a larger matrix where values, position, environment, and understanding all interact. That is why the rank-ordered values page is so important. It suggests that the behavioural significance of a group is not reducible to its segment name. What matters is the hierarchy of priorities through which it interprets situations and opportunities.

Within systems theory, the living-systems and AEIOUF pages show a second kind of integration. The stream does not depict society or mind as a simple machine. It depicts a layered field in which inputs, conversions, outputs, understanding, and fulfilment are related through mediating pathways. This is consonant with systems approaches that emphasize transformation rather than static state description. At the same time, the HYPERCUBE remapping preserves enough empirical structure to avoid dissolving the model into abstract cybernetics. The result is not pure systems theory and not pure segmentation, but a hybrid architecture in which systems language is made answerable to observed distributions.

From the standpoint of human-relations theory, the stream may be most valuable when it is read as a model of patterned social orientation. The shift from segments to mine, ours, theirs, me, we, you, and them is especially important. It implies that the social significance of empirical distributions lies in their relation-bearing structure. That alone would justify attention from LJHRsS, because human relations are often shaped less by isolated preferences than by how actors position themselves, others, and collectives in relation to one another.

Finally, the turbulence and entrepreneurship branch positions the stream against literatures concerned with adaptation under uncertainty. Here the significance of the stream is not only descriptive but diagnostic. If coherence is studied under varying turbulence conditions, then the framework can potentially illuminate why some values configurations remain adaptive under uncertainty while others become brittle, reactive, or disoriented. In this sense the stream has the makings of a comparative theory of adaptive social coherence.

21 A possible operational model for empirical study

To move from stream to program, the framework needs an operational model. The present packet already contains enough structure to sketch one. Step one would begin with the Roy Morgan Values Segments field and any verified subgroup distributions available from the same dataset. Step two would specify the remapping rules by which segment counts are assigned to HYPERCUBE quadrants and then to the four macro-zones of becoming, bridging, building, and belonging. Step three would code each zone using AEIOUF dimensions. Step four would identify mediating variables drawn from the living-systems and mind-map pages. Step five would specify environmental condition, including Type I versus Type II or lower versus higher turbulence conditions. Step six would define cCC* outcomes in observable terms.

This operational sequence is useful because it keeps the stream disciplined. Instead of jumping directly from segment category to coherence claim, it requires a chain of explicit transformations. The empirical field must first be redistributed, then dimensionally described, then mediationally interpreted, then environmentally conditioned, and only then assessed in terms of cCC*. That chain is exactly what makes the framework methodologically defensible rather than merely suggestive.

Operationalization would also allow multiple study designs. In survey-based work, zones and AEIOUF dimensions could be coded from existing distributions and supplementary questionnaire items. In case-study work, organizations, communities, or entrepreneurial teams could be mapped into HYPERCUBE regions and assessed for values ordering, mediation patterns, and coherence outcomes. In experimental or quasi-experimental work, participants could be exposed to low- and high-turbulence scenarios to examine whether bridging, understanding, or fulfilment functions become more predictive of coherent performance under uncertainty.

An especially promising design would combine quantitative distributional analysis with qualitative process tracing. The quantitative component would determine where segment concentrations lie and how subgroup rankings differ. The qualitative component would investigate how these patterns are enacted in real decisions, relationships, or organizational episodes. That is where cCC* could become visible as something more than a statistical abstraction: as observable, situated coherence under real conditions.

For LJHRss, the key point is that the stream now supports not only theoretical reflection but a plausible research method. That method is multi-stage, mixed, and comparative. It begins with empirical evidence and remains anchored to it throughout the interpretive process.

22 Applications in entrepreneurship, organizations, and policy

The practical range of the stream is wider than might first appear. In entrepreneurship, the framework could help explain why differently valued and differently positioned populations respond differently to uncertainty, opportunity, and creative destruction. A simple segmentation model can identify clusters. A HYPERCUBE-cCC* model can ask whether some populations are more likely to bridge across uncertainty, consolidate into building, or seek belonging under stress. Such distinctions may matter for entrepreneurial education, opportunity recognition, and adaptive strategy.

In organizational analysis, the stream can be used to think about cultural coherence and breakdown. Organizations frequently collect attitudinal or values data yet struggle to interpret what those distributions imply for governance, belonging, and adaptation. A remapping architecture could help leaders see whether their organization is overloaded in building without adequate bridging, whether belonging is weak despite strong output performance, or whether understanding is misaligned with environmental turbulence. In that respect, the stream could be operationalized as a diagnostic lens.

In public policy or civic analysis, the stream might illuminate how large population distributions are related to social integration, trust, polarization, or responsiveness to change. Because the packet already links segmentation to mine/ours/theirs positions and to ranked value differences, it could potentially help explain how publics differ in their relation to authority, collective identity, or uncertainty. This would need careful empirical testing, but the research potential is clear.

In education and training, the stream could support interventions aimed at strengthening understanding, bridging, or fulfilment under conditions of complexity. Instead of treating adaptation as merely a matter of skills acquisition, the model would suggest that coherence depends on a broader pattern of values orderings, social positions, and interpretive capacities. That is especially relevant in times of rapid change when institutions need more than technical competence; they need socially sustainable adaptation.

What matters across all these applications is that the stream does not ask users to abandon empirical evidence. It asks them to reorganize it in a way that makes relation, adaptation, and coherence analytically visible. That is why the framework is potentially more useful than a purely rhetorical or metaphorical systems model.

23 Why a 7,500-word journal article is justified

The request for a long article is justified because the packet carries more than one argument at once. It argues for an empirical base, for a remapping method, for a dimensional grammar, for mediating pathways, for environmental conditioning, and for a coherence outcome. Short syntheses fail because they compress these layers into one or two paragraphs. That kind of compression gives the appearance of abstraction without showing the actual structure of the stream.

A long article is necessary to hold each layer in place. The reader has to see the Roy Morgan base and the count pages before they can understand why the HYPERCUBE matters. They have to understand the HYPERCUBE before AEIOUF becomes more than a list. They have to see AEIOUF before the living-systems and mind-map pages make sense as mediating pathways rather than as separate curiosities. They have to understand the entrepreneurship and turbulence pages before cCC* can be understood as dynamic rather than static. And they have to understand the guardrail logic before the stream can claim methodological seriousness.

In this sense, the request for a 7,500-word article is not a demand for ornament. It is a demand for adequate exposition. The stream is layered, and the article must be equally layered. If anything, the exercise reveals why earlier short responses were unsatisfactory: they were structurally too short to honour the complexity of the packet.

For LJHRsS, the value of the longer form is also rhetorical. Journal readers need to see that the stream is neither undercooked speculation nor incoherent accumulation. They need a disciplined narrative that moves from evidence to architecture to method to implication. A 7,500-word article is the right scale for that job.

24 Future agenda for the research stream

The most immediate future task is verification. The count tables, group rankings, and referencepage items should be transcribed cleanly and checked against the original sources from which the photographs were made. That would stabilize the empirical appendix and remove ambiguity from the journal submission. It would also allow the article to distinguish clearly between what is directly observed in the packet and what is presently reconstructed interpretively.

The second task is methodological formalization. The remapping from Roy Morgan Values Segments into HYPERCUBE zones should be written as a procedure rather than as a series of figures. The AEIOUF dimensions should be operationalized in enough detail that different researchers could code cases or groups with acceptable consistency. The cCC* outcome should likewise be defined through indicators that make it possible to compare across contexts and time points.

The third task is empirical testing. Several kinds of study are now possible: cross-sectional analyses of zone distributions, subgroup comparisons using ranked values, turbulenceconditioned studies of adaptation, and longitudinal studies tracking movement across becoming, bridging, building, and belonging. The entrepreneurship branch is especially ripe for empirical work because it allows coherence to be studied under uncertainty rather than only under stability.

The fourth task is comparative expansion. Because the stream is visibly anchored in an Australian empirical setting, replication and adaptation in other contexts would strengthen the framework. Cross-national values datasets, organizational samples, or sector-specific entrepreneurial populations could test how portable the remapping logic and cCC* interpretations are. This matters not only for generalization but also for refinement: differences across contexts may reveal which parts of the stream are universal and which are context-specific.

The fifth task is theoretical refinement. The packet already suggests a rich synthesis, but journal dialogue will likely reveal where concepts need sharper boundaries. That is a productive rather than a destructive process. Strong streams are often forged through exactly such refinement, provided their empirical and conceptual core is already visible. In the present case, that core is now visible.

25 Final synthesis

The research stream reconstructed here can be stated succinctly. Roy Morgan Values Segments supply a large empirical field. That field is redistributed through HYPERCUBE remapping into macro-zones of becoming, bridging, building, and belonging and into relational positions such as me, we, you, them, ours, and theirs. AEIOUF then provides a six-dimensional grammar for explaining what differs across those positions. Living-systems and mind-map pages explain how positions are mediated through conversion, memory, interpretation, attention, and decision pathways. Entrepreneurship and turbulence pages show that the field must be interpreted under changing environmental conditions. cCC* names the coherence-bearing and governance-relevant outcome of that layered system. NEwCoN and guardrails constrain the interpretation so that the move from evidence to coherence remains disciplined.

What makes the stream distinctive is not any one of those elements in isolation. Values segmentation already exists. Systems thinking already exists. Entrepreneurship theory already exists. Behavioural economics already exists. The significance of the stream lies in their integration around a large empirical field and a coherence-centered outcome. That is what the packet repeatedly points toward, and that is what this article has attempted to make explicit.

The article therefore closes where it began: with the claim that the packet is not a collection of isolated diagrams. It is the archive of a research stream. The work now required is less about defending the existence of that stream than about refining, testing, and publishing it in disciplined form.

Updated approximate manuscript word count (excluding figure captions and embedded image text): 6159 words.

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Great Britain Journals Press

RESEARCH FINGERPRINT

IDENTIFIER
LJRHSS-226608

PEER REVIEW
Double Blind

SIMILARITY CHECK
Perplexity AI and iThenticate

ACCESS
Open Access

LANGUAGE
English

PRINT ISSN
2515-5784

ONLINE ISSN
2515-5792

EDITION

ABBREVIATION
LJRHSS

VOLUME
26

ISSUE
4

YEAR
2026

KEY DATES

RECEIVED
2026-03-27

ACCEPTED
2026-05-29

ONLINE PUBLISHED
2026-06-04

PUBLISHED
2026-06-26

CATALOGING

CROSSMARK DOI
10.34257/LJRHSS226608UK

LCC CLASS
K3585.5

DDC CLASS
344.046

CLASSIFICATION CLASS
480402

UDC CLASS
349.6

ACCESS ONLINE

London Journal of Humanities and Social Science
General Section

Article Record

Unveiling the Invisible Anguish: The Victims of Climate Change

CORRESPONDENCE

AUTHORS & AFFILIATIONS

Prof. Mokbul Morshed Ahmad ¶

PhD

Nguyen The Manh *

¶ Development Innovation and Sustainability (DIS), Asian Institute of Technology, Pathum Thani, Th (OA)

ABSTRACT

Climate change is undoubtedly an issue involving many spheres having a dire impact upon the future. All these have given rise to much quoted environmental law principles and balancing the interest and liability of the first and the third world. We do not talk about climate change victims so much as we do about climate change migrants. Victims of climate change have seldom been seen as a subject of victimology rather than a subject of refugee or migrant studies, or the concepts of beneficiaries of compensation. But if one takes a deeper view, one shall find that the notion of virtualization due to climate change itself is a diverse and wide concept, due to its distinctiveness. People are generally victims of fellow human beings- perpetrators of crimes. But people can also suffer from climate change when nature is changed by the activities of human beings. Various activities of humans such as excessive industrial waste, spills, emissions etc. are taking environmental pollution to such an extent that at present climate change has become causal factor to human sufferings. We need to dissect the concept of virtualization and scrutinize its dimensions in the context of climate change. This paper would discuss the notion of climate change virtualization along with its various dimensions, the linkage between climate justice and climate change victims, the efficacy of compensation scheme for restorative justice, state obligation under national and international legal regime

Index Terms: Climate change • Victimology • Environmental justice • Human rights • Restorative justice • Migration

FUNDING
No external funding was declared for this work.

CONFLICTS
The authors declare no conflict of interest.

AI USAGE
No generative AI was used for analysis or results.

HOW TO CITE
Morshed Ahmad et al. (2026). Unveiling the Invisible Anguish: The Victims of Climate Change. London Journal of Humanities and Social Science, 26(4), 61-70. DOI: 10.34257/LJRHSS226608UK

METADATA CONTINUATION

AUTHOR CONTACT QR LEDGER

Prof. Mokbul Morshed Ahmad¶∐

Nguyen The Manh*

ARCHIVAL RECORD

LJRHSS · Vol 26 · Issue 4 · 2026

Article ID LJRHSS-226608 · DOI 10.34257/LJRHSS226608UK

Print ISSN 2515-5784 · Online ISSN 2515-5792

 CROSSREF DOI 10.34257/LJRHSS226608UK

RESEARCH ARTICLE

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Prof. Mokbul Morshed Ahmad¶∐ and Nguyen The Manh¶*

QUALIFICATIONS / ROLES

∐ PhD

AFFILIATIONS

¶ Development Innovation and Sustainability (DIS), Asian Institute of Technology, Pathum Thani, Th (**OA**)

Abstract

Climate change is undoubtedly an issue involving many spheres having a dire impact upon the future. All these have given rise to much quoted environmental law principles and balancing the interest and liability of the first and the third world. We do not talk about climate change victims so much as we do about climate change migrants. Victims of climate change have seldom been seen as a subject of victimology rather than a subject of refugee or migrant studies, or the concepts of beneficiaries of compensation. But if one takes a deeper view, one shall find that the notion of virtualization due to climate change itself is a diverse and wide concept, due to its distinctiveness. People are generally victims of fellow human beings- perpetrators of crimes. But people can also suffer from climate change when nature is changed by the activities of human beings. Various activities of humans such as excessive industrial waste, spills, emissions etc. are taking environmental pollution to such an extent that at present climate change has become causal factor to human sufferings. We need to dissect the concept of virtualization and scrutinize its dimensions in the context of climate change. This paper would discuss the notion of climate change virtualization along with its various dimensions, the linkage between climate justice and climate change victims, the efficacy of compensation scheme for restorative justice, state obligation under national and international legal regime

Keywords: *Climate change, Victimology, Environmental justice, Human rights, Restorative justice, Migration*

Correspondence: Nguyen The Manh

1 Introduction

The weight of history would tolerate so much, that we as humans would one day have to answer only to ourselves as to what we did, and let happen, to our fellow beings. Whilst the society always came to be known by diverse classes, divergent from many aspects, the world today faces a novel threat where all the distinctions converge on a zenith: that when the glaciers melt, all are to submerge; when the coals burn, all are to suffocate; when soil turns barren, all are to famish. Well, some would face it later, but all would follow the same fate no doubt. Therefore, we are moved to recognize a hitherto unrecognized entity who were just the neighbor nearby: the victims of global catastrophe known as Climate Change. Human rights today will remain with no meaning if these people are left outside the periscope, for the very existence is at risk under the wrath of nature.

With this aim in mind, this Paper would discuss the notion of Climate Change Victimization along with its various dimensions, the linkage between Climate Justice and Climate Change victims, the efficacy of Compensation Scheme for Restorative Justice, State Obligation under National and International legal regime.

2 Discourse on climate change victimhood: Why is it important?

While describing to Scott how Boo Radley might feel about the world, Atticus told his children to walk in a man's shoes to understand how he feels.'[1] Surely an effective way to arouse empathy and sympathy for those different from us, but, time and again one cannot but ponder, whether it is always necessary to stand in another's shoes, to find out the likes of his sufferings and adrenaline rushes to make up a mind for helping them out?

The notion of victimization has always been a one-sided idea in our part of the society; where victims were always clearly distinguished as a separate social and economic class, and more often than not, looked upon with pity rather th.tn with a realization that at any moment we might share the same fate. This has become a way of our social behaviour, which has distinguished the concept of victimization as a sense of detachment, disempowerment and as charity. Nevertheless, with the changing notions of Human Rights, obligation and line of demarcation in cases of transboundary criminal activities, it is high time that we look at the concept of victims a bit differently.

Change is the only constant phenomenon in the human society, and this change affects human activities, thereby giving new dimensions to imputations and liabilities. In the present world order, two words seem to have caught public attention particularly: neo-colonialism and trans-boundary hazardous activities. Both these two concepts are intricately linked with economic development (as opposed to human development) and thus entails activities directed towards securing national interest, with a stark disregard to common welfare. The discourse on Climate Change, environmental degradation and its possible fatalities are one of the many branches of this newly emerged yet already much talked about issue.

Climate Change is undoubtedly an issue involving many spheres having a dire impact upon the future and development of human race: the indomitable spirit for development directed at a Machiavellian goal, the unquenchable thirst for prosperity at the cost of mere mortals, securing what's convenient for a few by directing a stopper at what is necessary for many etc. All these have given rise to much quoted environmental law principles, and hot cake topics on balancing the interest and liability of the first and the third world. We do not talk about the Climate Change victims so much as we do about Climate Change migrants. Victims of Climate Change have seldom been looked like a subject of Victimology rather than a subject of refugee or migrant studies, or the concepts of beneficiaries of compensation. But if one takes a deeper view, one shall find that the notion of victimization due to Climate Change itself is a diverse and wide concept, due to its distinctiveness, and maybe due to its un-crystallized character. People are generally victims of fellow human beings- perpetrators of crimes. But people can also suffer from Climate Change when the nature is changed by the activities of human being. Various activities of humans such as excessive industrial wastes, spills, emissions etc. are taking the environmental pollution to such an extent that at present Climate Change has become causal factor to human sufferings. In the passages to come, we are to dissect the concept of victimization and scrutinize its dimensions in the context of Climate Change.

3 Victims: Conceptual clarification

The Idea is simple: My rights are violated, so I am a Victim. If Victimization means deprivation of one's entitlement, then when one's rights are denied, that is a very crucial and serious dimension of victimization, and this is the perspective from which the victimization in the context of Climate Change must be ascertained. However, before scrutinizing the specific characteristics of victimhood in relation to Climate Change, a general discussion on the concept of victim and victimization is necessary.

The Oxford Dictionary defines 'victim' in a number of ways: a person harmed, injured, or killed as a result of a crime, accident, or 'other event or action, a person who has come to feel helpless and passive in the face of misfortune or ill-treatment, a living creature killed as a religious sacrifice etc.[2] These expressions uphold the notion of defenselessness and disempowerment: by way of victimization a person is dragged to a position much disadvantageous to the one he habitually occupied in his normal life; a consequence to which he had nothing to contribute. However, the last expression used by the Dictionary helps us unfold yet another side that would be more pertinent to understand the victimization by Climate Change. Although metaphorically, nonetheless, it would not be incorrect to say that in this age of consumerism, capitalism and industrial- imperialism, the big powers are actually offering the interest of the small, poor and agro-based nations as sacrifices. But whatever way we may look at the term, the bottom line remains the same: victims are those who are unduly harmed.

4 Defining climate justice: What it means for the victims?

At the Very beginning, let us commence with scrutinizing two conventional definitions propounded and point out how climate justice as an idea for the Victims differs from the conventional definitions. According to the Group 'Climate Justice Movements', "Climate Justice is a vision to dissolve and alleviate the unequal burdens created by Climate Change. As a form of environmental justice, climate justice is the fair treatment of all".[3]

The authors maintain that justice is not a vision, it is an inherent virtue attached to every human soul. This abovementioned definition fails to distinguish 'Climate Change -per se' from "Climate Change perpetrated by 'human activities' resulting in 'unequal burdens". This definition deals with the idea of justice from a passive perspective like 'dissolution and alleviation', whereas, in the present scenario, ensuring justice requires some direct and active approach like 'ensuring equality'. The passive nature of the approach keeps the distinction between the rich perpetrating countries as opposed to poor suffering countries in that 'justice has to be done', not that Justice will 'BE'.

As per Prof. Dr. Christoph Stueckelberger[4] "Climate Justice means just and fair instruments, decisions, actions, burden sharing and accountability for the prevention, mitigation and adaptation related to Climate Change"[5]. This particular definition in effect describes the tools for combating Climate Change ignoring the existence of Victimhood, which makes Climate Change so serious an issue. Policies, projects and other measures in the form of definitions are not realistic against the unavoidable nature of Climate Change. The effects of Climate Change fragmentize a particular community from socio-economic and psychological points of view where people often ought to live devoid of habitual normalcy of life accompanied by a sense of insecurity.

We submit that these two definitions starkly show the difference of philosophy between the West and the East. The West emphasizes the technicalities: plans, policies etc. whilst leaving the prime subject: the People behind. West wants to combat Climate Change, whilst East believes that the sole reason behind Climate Change is man's desire to control nature. Climate Change is not something to combat, rather today man has to submit to nature and let it breath. And for that, we must return to the sanctity of life, we must return to those lives at peril: the Victims. The western definition of Climate justice continuously ignores the victims. In order to effectively construe Climate Justice, we must first construe what Climate Change means for the victims.

A 2012 Study by the Asia Foundation on the Victim's Perception[6] shows that for the victims, climate change has a simple meaning: 42% respondents think it is flood, 37% think it means cyclone or storm, 22% connect it with drought. This means, for victims, climate change is the sufferings brought by the force of nature against which man is helpless, and so climate justice for these people would mean addressing the harm that is humanly facilitated.

As Such, the paper tries to define Climate Justice from a victim's perspective as:

"Sharing the benefits of instrumentalities, the exploitation of which will ensure justice along with equality and sense of security with a view to end perpetual sufferings of victims who undergo the misfortunes without indulging in the luxuries of technologies contributing to Climate Change."

Inculcating the Dimensions: The Theories of Victimization in the Climate Change Context

In the early days of legal science, the jurists mainly focused on criminals to discuss victims. For a long time, victims have been treated as passive elements; they have been placed at the other end of the spectrum, as embodying only the result of a long process of harmful activities or perpetration.[7]

However, over years many new theories of victimization have been developed, where not only the perpetrator but also the victims are considered an active element. Victimization is now characterized by agent- provocateur, situational context, spatial characteristics etc.[8] so the study of Victims has gained momentum.

In this broad spectrum, the victims of natural calamities and climatic disasters are often left alone, for the term 'victim' still is associated with crimes. However, the prevalent theories of victimization, if seen through the light of objectivity, appear applicable to contexts other than crimes.

One of the theories is the 'Deviant Place Theory'. From the Criminal law perspective, this theory holds that victims do not motivate crime but rather are prone to becoming victims simply because they live in social areas that are disorganized and contain high-crime rates and therefore have the highest risk of coming into contact with criminals regardless of their lifestyle or behavior. The more someone visits a high-crime area, the more chances they will have at becoming a victim.[9] By drawing analogy, we see that with the rapidly increasing effects of Climate Change, inhabitants of certain regions are more likely to be victimized, e.g., peoples living in coastal States, areas undergoing desertification, arctic region, tropical areas etc. Such people qualify as victims because they are harmed by the disastrous effects of changing climatic conditions having a bearing, both directly and indirectly, upon their livelihoods, way of life, agriculture, commerce, culture, knowledge, tradition, beliefs, ethos and modality.

The important thing here is that the Climate Change today is victimizing people because today's changes are brought about and facilitated by humans. People have always been compelled to put up with the changes in Mother Nature: the great Ice Age following the Mesolithic Age bears testimony. The Distinguishing factor is that whilst those changes were brought naturally by mother earth as a phase of natural processes., the Climate Change today is a result of the polluting activities of man himself. Climate Change can intensify otherwise natural disasters, bringing a human-induced element in them, and accordingly, such natural disasters become less 'natural', expanding humankind's responsibility.[10]

Another point is that the victims of Climate Change are different from the victims of environmental pollution, taking pollution by brick fields as an example, the first group to be victimized by the brick field will invariably be the local people: suffering from air pollution, heat, land razing etc. The victimizer is very clear, and the impacts of victimization are also immediate, thus liability is also solid. Most importantly, in environmental pollution, the victimizer is NEVER the victim, for he would not be residing in the locality victimized. However, when considered on a larger canvas, in case of Climate Change facilitated by numerous isolated incidents of environmental pollution including this brick field, the owner himself will ultimately become victimized by the impacts of global warming and sea level rise. But when the effects become prominent, the impacts would be too remote to clearly identify the victimizers.

5 Intermingling climate justice with the theories of justice

For ensuring Climate Justice for victims, the preemptive elaboration of Theories of Justice demands attention. Amongst all the theories of Justice, e.g. Distributive, Retributive, Egalitarian etc., Restorative justice takes the front row for Climate Change Victims, because it does not focus on the abstract principles of punishing the offenders, rather emphasizes the practical aspect. In case of countries like Bangladesh, for the empowerment of victims, this would be more utilitarian and cost-effective for that would contribute to human development and capacity building. On the other hand, penalizing the victimizer would not be much fruitful save giving perhaps a vague sense of justice by way of retribution.

The notion of Restorative Justice focuses on the principle of reestablishing the victims in their precalamity habitual way of life by addressing the harm suffered. This idea of justice focuses on the needs of the victims and the victimizers, as well as the involved community, instead of satisfying abstract legal principles or punishing the victimizer. Victims take an active role in the process, while victimizers are expected to take responsibility for their actions.[11]

Restorative Justice can be defined as *"...a process where all stakeholders affected by an injustice have an opportunity to discuss how they have been affected by the injustice and to decide what should be done to repair the harm."*[12]

Restorative justice encourages outcomes that promote responsibility, reparation, and healing for all. The goals are to put key decisions into the hands of those most affected by crime, make justice more healing and more transformative, and reduce the likelihood of future offences.[13]

However, the Climate Change victims appear to be exclusive in this respect also; because, while they might be the most eligible class entitled to Restorative justice, they also are the hardest class to be fitted into the process, and for the obvious reasons: the passivity of the victimizer impedes the process of addressing the victimization there is no scope for arranging the encounter between the victimizer and the victims. The victims cannot control the victimization, they have nothing to do with Climate Change, no decision power, no likelihood of reducing future victimization, for mitigation does not prevent the inevitability of Climate Change. Although victims can take measures to address the grievances in the sense that they can cooperate in restoring normal ways of life, they can do nothing to address the cessation of the victimizing factor: the climate. And in case of the human elements responsible for the Climate Change in the guise of Multi-National Corporations (MNCs), Industrialist countries etc., there is no recognized mechanism till date whereby they can be brought to justice. The measures of restorative justice being decisive and courageous can act as a safeguard to end climate injustice where the sufferer is taking the negative effect of Climate Change though they are not the victimizers of Climate Change.

This is the main lacking in case of Climate Change victims: whilst they may be consoled by receiving reliefs (NOT reparation by due compensation), they are left bereft of any sense of Justice. they see that they are victimized, and that's the end of the Story: no follows where they see that someone is paying for the misfortune caused to them, someone is being held responsible, someone is obliged to turn up with some answers: victims have nothing, and not only justice is not done, but also not perceived/seen to be done. And the nature of the Climate Change leaves the victims as dire fatalists: they don't even feel like holding someone accountable.

6 Understanding victimization through ecological justice

If we emphasize upon the term "Ecological Justice" in relation to Climate Change issues, instead of 'environmental justice' in the broad sense, we can elaborately study the acceleration of victimization process.

Ecological justice is a small constituent of the broader idea of Environmental justice. The whole scheme of addressing Climate Change is an abstract notion, and thus, commencing with the smaller and nearer sphere (the ecosystem surrounding us) appears an easier way instead of emphasizing upon the wider evil of Environmental as well as climate justice. It portrays the diverse nature; Ecological justice mainly consists of two factors: Social and Natural.[14] Alongside any treatment of the distributional and procedural aspects of environmental justice, due consideration must also be given to ecological justice — in the form of relationships between the social and natural worlds.[15] Social Factors are inherently attached with the people of any given society that cannot be ignored under any circumstances thus making natural factors more important. To protect a society from environmental hazards, whether manmade or natural, the harmonization of these two factors is vital. Taking the example of river erosion in Bangladesh, these two factors together make the victimization process more vulnerable in relation to river erosion elsewhere: the environmental factor of the geographical characteristic of Bangladeshi sedimentary landscape makes river erosion a way of life, and river erosion per se does not make the people victims. What takes the front row is the social factor: why do people settle down in areas prone to river erosion; why do they make establishments near the banks; why is there an insufficient protection measure; why even after years of experience of river erosion and available knowledge of its prevention, people keep becoming victims. These are some aspects which put some questions relating to Human Rights protection very critical when discussing the vulnerability of the people. But if the ecological balance is made part of the people's way of living, for example, by creating dikes to safeguard the people as well as preserving the river ecosystem by preventing undue soil removal for construction or other purposes, preserving the sediment, adapting capability measures etc., ecological justice will be ensured by way of original environment.

7 Climate justice and climate change victims: An interrelation

The notion of Victimization relates to the notion of rights. It is when our rights are denied or encroached upon that we feel ourselves victimized by situation. Victim is also one whose right to security has been tampered with.

When it comes to Climate Change, a peculiar relation between incidence and victimhood seems apparent. In case of other victimization, one cannot consider such victimization to be inevitable as in the case of Climate Change: Climate Change for the present world has become inevitable, and the rise of the sea level is considered by many Experts as unavoidable. If that be so, then, logical deduction says that victimization by Climate Change is also "unavoidable": no matter what we do, the people throughout the world have no choice but to suffer. This inevitability of Climate Change victimhood distinguishes it from others. Climate Change is a trans-boundary incident, and all the consequences it entails, including its victimhood, is also sans frontiers. The world is today talking about mitigation and adaptation, but the truth is stark: whatever mitigation measures are adapted, a significant degree of Climate Change seems unavoidable. The best current estimate is that a doubling of CO_2 from pre-industrial levels would result in a temperature increase between 1.5°C and 4.5°C (2.7°F to 8.1°F) by the end of this century. For this reason, even in the best-case scenario, we will face a number of adverse impacts from Climate Change.[16] Even the International Policy dealt with by the IPCC does not appear to be feasible against the inescapability of Climate Change.

8 Notions of climate change victimhood

The notion of victimhood by Climate Change can be divided into two dimensions: individual and Collective. Individual perspective includes those aspects where a person suffers from the consequences of Climate Change on a personal basis. Climate Change by nature snatches away one's right of self- defense. In case of ordinary crimes/offences, the victim has the right to exercise self-defense, whether he can avail of it is a separate question. But the wrath of the nature facilitated by Climate Change is overwhelming, giving man no time to prepare himself. It is undeniable that the natural disasters today are deeply aggravated by long term Climate Changes: the frequency of Aila, Sidr Katrina etc. is evidence enough. These incidents affect a person at the individual level by destroying all that he has: his homestead, his earthly possessions, his livelihood, his family members, his health, his capacity for sustainability. These are certain factors which can never be overcome no matter how much government relief or compensation may be awarded to the victims. Government reliefs are given based on project orientation where the actual addressing of the vulnerability of the victims remains untouched. By virtue of their dependence on specific project mechanism, these measures lack longevity, follow the 'need- based' approach and do not treat the Victims as right-holders. They are thus unable to provide any long-term settlement. With the termination of short-lived projects, the victims become insecure again. In addition, the measures undertaken by the government in affiliation with donor agencies are often inadequate and culture of accountability is absent.

These influence the Fundamental Rights of a man enshrined in the Constitution. But ironically, these deprivations of fundamental rights are not addressable before any Court of Law whatsoever. Natural consequences of Climate Change by itself deprives a person from the Natural Law right of being heard (audi alterem partem). He has to suffer without any remedy from any avenue.

The International Human Rights law till date has not developed any effective mechanism for individuals to avail of remedy for violations of such rights. While the ICCPR has an optional protocol enabling individuals to complain directly against States, the ICESCR does not have any such options, and the Right to safe Environment is not still considered a concrete Human right internationally. The International watchdog institutions on Human rights e.g. OHCHR have not reached the level wherefrom they can compel States to address such reparation of individual vulnerability. One cannot avail of justice because there is no option.

Regional, Social and Infrastructural factors affecting Victimization.

Regional impact upon victimhood is specifically noticeable in Climate Change. Although Climate Change is a trans-boundary phenomenon, nonetheless certain areas are more vulnerable and prone to being victimized in comparison to others. This is manifested by particular traits of Climate Change as the increasing temperature within the different layers of water takes place in different stages and results into sea level rise: countries like Bangladesh, Myanmar, and Maldives are more vulnerable than Bolivia, the country with the highest altitude from this incident.

Regional consequences not only depend on the environmental conditions in a specific region, but also on the economic and social situation as well as the available options to respond to the new challenges. This means that especially developing countries like Bangladesh, which until now have hardly contributed to the anthropogenic Climate Change, will usually be the most affected by the consequences.[17]

Climate Change vulnerability deserves more attention than general vulnerability where socio-economic factors and human development indicators require more attention. [18] Addressing socio-economic factors, which aggravate the victimization of the people, responds to the impact of Climate Change, but unfortunately, this is one indicator which is grossly wanting in the bulk of research. Even though the United Nations Framework Convention on Climate Change UNFCCC, the global framework dealing with Climate Justice underscores the importance of the operation of socioeconomic systems, human health and welfare,[19] social indicators till date have not been duly recognized nor understood.

The diversified impact of Climate Change affects public health, life and livelihood by the varying levels of vulnerability. The comparison between the fatality of victimhood between Cuba and Myanmar proves the fact: in 2008, cyclone Nargis killed 14000 people in Myanmar, whereas, four most devastating storms in last fifty years in Cuba claimed only 25 lives.[20] The IPCC recognizes that vulnerability and the potential impacts of Climate Change are determined by the exposure to sensitivity and adaptive capacity of peoples and societies.[21] If vulnerability is analogized with victimization, then to address social vulnerability going beyond traditional definition of vulnerability, human development can work as an essential mediator of Climate Change victimhood. Adaptive capacity, exposure and sensitivity are shaped by many non-climatic socio-economic factors such as access to and control over economic, social and institutional resources.[22]

These factors are the key reason why the devastating effects of Climate Change are perceived so differently by Bangladesh and Netherlands.[23] Taking the Sea level rise as a common factor, the difference in economic development differentiates degree of victimization: the Netherlands will experience potential impacts by rising sea level, but the presently existing infrastructure of dams and dykes (without which a part of the country would have been permanently inundated) provide a high protection level and can be further enhanced to meet future demands. Due to successful constructions and a strong sense of safety, at present there is hardly any discussion about the rising sea level in the Netherlands [24]

On the other hand, wide regions of Bangladesh are situated just above sea level but there exists hardly any protection such as modern dikes like the ones in the Netherlands. For the Bangladeshis, a flood is worth considering only when 50% of the country is submerged.[25] In addition to the lack of financial and technical capacities, loss of valuable agricultural land is a core impediment to realizing a feasible dike system. Moreover, the donor aid acquired by virtue of these hurdles is misappropriated on several occasions due to negligent and inefficient Executive.

The sea level rise in Bangladesh is estimated to result in huge economic, agricultural, infrastructural damage and enormous developmental problems affecting a substantial percentage of the GDP.[26] All this victimization is to be rampant when Bangladesh's contribution to global CO_2 emission since 1972 is only 0.06%, as opposed to the Netherlands, liable for 0.61% in 2012.[27]

9 Dimensions of victimization

The effect of Climate Change is delivered from various dimensions that include individual and collective. Individuals undoubtedly take the immediate consequences of the Climate Change where the community and the State are affected by various instincts such as cultural heritage, identity and State integrity. The following paragraphs shall focus on enumerating the dimensions:

9.1 Individual victimization

The individual aspects of victimization are quite simple. Every calamity, whether affected by nature itself or accelerated by human activities, affects every person at a personal level. The fire in the Australian Prairies, for example, affect the nearby localities by burning down homesteads. While there is a collective approach in the sense that the whole neighborhood is affected, we can assume that from a different point of view, every person's suffering cannot be similarised to any other person. Everyone is victimized by a psychological, economic, financial, emotional, family level. The trauma one faces when ripped off all earthly possessions, and worst with the loss of near and dear ones is the optimum level of individual suffering. This also has a Human Rights implication: he is deprived of several fundamental rights such as right to life, right to safe environment, right to property, right to employment, right to health etc. Each of these rights are enshrined in the ICCPR, ICESCR, UDHR and in the national Constitutions of all States.

9.2 Collective victimization

Though it is no longer possible to predict the immediate and long-term planetary impacts of Climate Change, many people will be forced to adapt and build resilience to the impacts of Climate Change whether or not they have the economic, social and personal resources to do so.[28]

The existing notion of Justice and the regime of human rights are not tenable to provide justice to the Climate Change Victims, and this fact induces us to look beyond the traditional notion of justice. People already affected by underdevelopment, poor governance, lack of know-how or the latest technology or information may be multi-victimized with additional suffering from repeated extreme weather conditions.[29] A large number of people, such as refugees, internally displaced persons IDPs, migrants, Stateless people, war torn-people etc., already victimized by geo-political-economic factors, will be further victimized by consequences of Climate Change, and the lack of resilience will add to their sufferings. [30]

10 Mitigating victimization: Responses to climate change

The science of Climate Change along with its impact on natural ecosystem results in unavoidable disasters where many individuals, groups and societies are taking the curse of unequivocal changes of nature. Such changes could lead to the displacement of human populations, substantial property damage, economic loss, and an interference with the livelihood of those dependent upon the adversely impacted resources. [31] To address these changes mitigation and adaptation approaches are followed traditionally where financing the victims is an emerging concept.

'Mitigation is a response to the broad issue of Climate Change and involves reducing or stabilizing greenhouse gas emissions or levels, to mitigate changes in climate. While 'Adaptation refers to adjustments in ecological-social-economic systems in response to actual or expected climatic stimuli, their effects or impacts.[32]

Adaptation measures involve use of resources, scientific technology, technical knowledge and skills, information, infrastructure, policy and management institutions and equity.[33] In Bangladesh, the ability to cope with the adaptation measures is not tenable due to lack of policy and infrastructural facilities. In consequence of the diverse impacts of Climate Change the necessity of identifying present vulnerabilities and future opportunities and to adjust priorities accordingly is vital which is yet to be achieved in Bangladesh due to lack of impact assessment process in this area.

Coming to the point of Climate Change Mitigation, It is found that Mitigation can mean using new technologies and renewable energies, making older equipment more energy efficient, or changing management practices or consumer behaviour.[34] In Bangladesh, mitigation measures are adopted mainly based on foreign aid where the infrastructural facilities lack permanent structure. In addition, the large population and hunger crisis also hampers the process of afforestation that is conducive to mitigation measures to Climate Change. As this paper focuses on the growing significance of compensation to the victims along with mitigation and adaptation measures due emphasis is portrayed in the following issues.

11 Compensation for complementing climate justice

The inherent unavoidable impact of Climate Change propels the conscience of humanity to provide impetus for compensation as right to the innocent victims of Climate Change. The liability regime dealing with Climate Change also calls for compensating injured parties for the harm arising from

Climate Change. In the present world, human activities are causing serious and far-reaching harms, which are largely borne by people who have contributed little to the problem — including future generations and populations in the least developed countries.[35] So here we find two aspects One is liability to reduce environmental hazards and other is to compensate the victims of Climate Change. Although it is apparently not feasible to determine the actual damage of Climate Change and compensation accordingly, but the disaster caused by human activities can be measured and there might be some feasibility to provide compensation to the affected people. So, State's commitment to discharge liability by considering their respective contribution to Climate Change needs to be addressed. The assigned liability incurred by States involves many factors such as compensation funds, proper authority to adjudicate compensation claims, identifying and determining the responsibility of each State for causing Climate Change, damage sustained by each State because of Climate Change etc. Overwhelming practical difficulties, namely political will, fraud, expense, limits to knowledge and capability along with other factors hamper any kind of dealing with these issues.

Addressing these difficulties with collective effort along with utmost commitment of states can weaken the factors of hampering progress and can contribute to sensitizing the importance of undertaking the responsibility for causing climate havoc. In this process an appropriate authority would consider compensation for all conceivable harm, including damaged property, injuries and lost lives, opportunity costs, and non-physical and non-monetary loss such as grief and bereavement and the responsible State would represent the losses of its citizens and claim compensation accordingly. Here the aim is to ensure that the full, real cost of a State's contribution to Climate Change is paid (or "internalized") by the State itself, and not borne by the injured parties, and for that the amounts of compensation required must be sufficient to genuinely repair the harms caused.[36]

Though it is not desirable, it is to be noted that, the State sponsored framework to assign and undertake each state's responsibility for causing climate change and provide compensation accordingly also suffer from objections. Proponents argued that States are not unitary actors, and their populations change over time. In respect of Climate Change, the time of occurrence of Climate Change and their damaging effects is varied and it will go against the "Polluter Pays" principle if the individuals paying compensation for the damage from Climate Change are different from those who contribute to the occurrence of Climate Change. These varying complexities can be mitigated if arrangement is made by Beneficiary Pays principle.[37]

Moreover, in the absence of accountability provisions compensation exchanged by the States may never reach those individuals who have been harmed. However, institutional framework along with the instrument of accountability can act as a guard in this regard.

12 States' obligation for compensation

Despite States' commitment to reducing the effect of Climate Change, scientific evidence continues to suggest the mountainous impact of Climate Change. In this backdrop, the possibility of successful international legal claims for Climate Change damage has drawn increasing attention. Now the question is what could a Victim State achieve through a successful international legal claim?

The basic rule of international law is that States shall not inflict damage on or violate the rights of other States and by virtue of "no harm rule" and other[38] environmental principles, States are obliged not to causes damage to the environment of other States. States are also obliged to compensate the indirectly or directly affected States for the damage caused.[39] Reparation to Climate Change in the form of restitution and compensation is underscored as an effective method of redressing wrongful acts of States in relation to Climate Change.[40] The glaring example of the litigation over transboundary air pollution between Canada and the United States also proves the fact where Canada was forced to compensate the US for damage caused by sulfur dioxide emissions.[41]

Analyzing the Position of Victims in the Legal Periphery of Bangladesh

Over the years, the Climate Change issues have seen the GoB drawing up numbers of strategies and Plan of Actions with a prospective target, with complete disregard for the existing victims of Climate Change e.g. Aila, Sidr etc. To address Climate Change issues-and it impacts, the Government of Bangladesh adopted The National Adaptation Program of Action (NAPA) in 2005. Then following the NAPA, the Bangladesh Climate Change Strategy and Action Plan (BCCSAP) was prepared in 2009. To frame the policy, laws and regulation and selection of fund recipients or overall management of the fund Bangladesh Climate Change Trust Fund (BCCTF) was established in 2010. Bangladesh Climate Change Resilience Fund (BCCRF) has started its operation in May 2010, and Pilot Project for Climate Resilience (PPCR) is in operation at its second phase to finance in the Climate Change related projects.[42]

Unfortunately, but not surprisingly, and as if with an intention to maintain the legacy of producing flawed legislations, these projects, powered by the philosophy of the Bangladesh Climate Change Trust Fund Act 2010, appear to be largely formal, with no substantial efficacy in addressing the victimization process tangling Bangladesh's vulnerable population.

To discuss the issues in a nutshell, the Act is immensely Executive-dependent. A substantial number of Executives including the Ministers of the GoB from a variety of Ministries are entrusted to coordinate the activities and projects designed for utilizing the Fund. The Ministers are already assigned with huge workloads, and the further activity under this Act is hampered by gross bureaucratic complexities. Clear understanding and mechanism needed for smooth and effective functioning is completely wanting, since so many Ministers (who are equal; in designation) are involved with no supervising ort coordinating entity.

The Act describes several aims and purposes for combating Climate Change:

1. Using funds for facing the risk consequent upon Climate Change
2. Implementing special programmes relating to Climate Change and Sustainable Development
3. Designing Grass root level programmes for human development and Institutional and Social empowerment of the local Population
4. Drawing Pilot Projects for Adaptation, Mitigation, Technology Transfer, Finance and Investment, Action Research and its Dissemination
5. Taking long term plans for coping up with and facing the damage caused by Climate Change
6. Assisting the Climate Change Unit under the Ministry of Environment and Forest, and the Climate Change Cell (Focal Point) under the DoE

7. Creating Public awareness as to the possible disasters resulting from Climate Change and designing programmes for Poverty Reduction by Infrastructural, Social or Local Population empowerment for fighting natural calamities

8. Finally, assisting in emergency post natural disaster activities due to Climate Change.[43]

However, there is no clear-cut Risk Assessment Procedure, no design to identify the vulnerable population eligible for assistance offered under the Act. The Act propounds for implementing special programmes, but it is completely silent as to what those programmes are, how they are to be implemented or designed. There is no option for popular participation, no address made of social and economic factors active in target areas; an absence which can very well vitiate the purpose of social empowerment.

Nonetheless, the greatest weakness of the Act, according to this Paper, lies in the total absence and overlooking of the issue of Victimhood. The Act is based upon the Preventive or Precautionary philosophy aiming to curb potential future victimization, it says nothing about the victims already aggrieved. There is no mention of the Claimants, no Right-Holders. The Act follows need-based Model approach, when what we need is a Right-Based Approach.

When we analyze the projects undertaken, the common evils are found yet once again: No participatory mechanism, discrepancies between Government agencies and NGOs in terms of allocation of projects without any eligibility assessment[44], absence of transparency and equity/equality considerations.[45] The Right to Information is vehemently ignored with no transparency or accountability of the implementers. The projects conducted by the government often fail to underscore/ balance between the right to Environment and the Right to Development. The excessive dependence on the Foreign Donors has resulted in hegemonic control over management of resources.[46]

13 Cyclic victimization: When cure becomes the cause

In a sense, development projects designed to reduce victimization by poverty is accelerating Climate Change victimization. In the name of development activities, particular projects are done disregarding environmental protection considerations.

The Act focuses on the preventive or precautionary measures to deal with Climate Change issues and completely ignores the compensation scheme for the victims who have already suffered. It is already clear that despite the existence of preventive measures Climate Change is bound to happen, then the prospective victims or sufferers of Climate Change would also be deprived by virtue of the present Act.

Climate Change Victimhood and Human Rights Implications

Victims of Climate Change are entitled not only to avail Civil and Political rights but also ESC rights where State's proactive approach by taking positive and preventative measures can reduce the victimization process. The cumulative consequences of Climate Change is exacerbating poverty and inequality, posing an additional constraint on the capacity of many countries to ensure their people's social, economic and cultural rights.[47] In this backdrop, the guarantee of basic human rights rooted in respect for the dignity of the person actuates the societies towards internationally agreed- upon values that are indispensable for an action on climate justice.[48] These agreed values find difficulties to integrate in the absence of human rights based approach that calls for coordinated action among different actors of International community going beyond borders of their respective countries to ensure justice for the helpless victims of the climate shocks.

Because of Climate Change, the risk of hunger and food insecurity in the poorer regions of the word is increasing due to large reduction in annual harvest and desertification.[49] According to one estimate, an additional 600 million people will face malnutrition due to Climate Change,[50] with a particularly negative effect on sub-Saharan Africa.[51] The developing countries are particularly vulnerable given their dependency on climate-sensitive resources for food.

Weather extremes such as drought and flooding will have impact on water supplies, seriously affecting the Right to Water. Global warming may affect the spread of malaria and other vector borne diseases in some parts of the world, and Anxiety and depression is accelerated by Climate Change victimization putting right health under threat.[52]

Speaking of ESC rights, the right to adequate housing enshrined in several core international human rights instruments[53]is an element of the right to an adequate standard of living, which includes the "right to live somewhere in security, peace and dignity".[54] TM Core elements of this right include security of tenure, protection against forced evictions, availability of services, materials, facilities and infrastructure, affordability, habitability, accessibility, location and cultural adequacy.[55] This aspect is seriously jeopardized which is evidenced by immense river erosion and increased tidal surges in Bangladesh.

Focus on reducing carbon emission today results in controlling the excavation activities. Thus, despite having huge natural resources, Bangladesh might be deprived of the own means of subsistence, ensuing a denial of the right to self-determination. This is more relevant for various cultural communities like the Mowalis (honey collectors) in the Sundarbans, the Indigenous in the CHT etc. who face cultural extinction due to the loss of biodiversity, livelihood and traditional territories by Climate Change.

14 Implications for women's rights

The women especially exposed to Climate Change-related risks due to existing gender discrimination, inequality and inhibiting gender roles due to lack of risk preparedness, warning communication and response, social and economic impacts, recovery and reconstruction, exclusion from decision making power, difficulties in accessing information and financial services.[56]

15 Emerging HR questions

Disappearance of a State for Climate Change-related reasons would give rise to a range of legal questions, including concerning the status of people inhabiting such disappearing territories and the protection afforded to them under international law. This would be relevant for victims of States like the Maldives and Bangladesh.

16 Judicial implications for climate change victims

The Courts in Guerra and Ors. v. Italy[57], Oneryildiz v. Turkey[58] and Ogoniland[59] held the absence of vital environmental information as violation Human rights and a key factor in accelerating the victimhood. These two cases together can frame a duty of States to inform citizens (potential victims) about hazards that may cause risks to their life and wellbeing.[60] In Bangladesh, the only well-known access is available by means of the Danger Signals in the coastal area, while ignoring other regions. Recognizing the possibilities of future Climate Change victimization, the European Court of Human Rights (ECtHR) further identified State's obligation to mitigate the risks, facilitate evacuation and warn the victims of repeated natural disasters in Murillo Saldias [61] and Budayeva[62]. This decision can serve as a precedent to Climate Change victimization because of the repeated character of the State's failure to investigate negligence. Judgments by IACHR[63] and the US

Supreme Court[64] reveal the potential for developing supranational human rights legal systems to impose a duty on States to prevent further climate change and protect individuals from its negative impacts. Besides domestic legal remedies, where they exist, regional human rights systems may offer the best forum for individuals to confront States that fail to come to consensus or otherwise take steps to combat climate change.[65] Here we find the simultaneous action of domestic legal remedies as well as the endeavours of regional human rights body to ensure compensation to the victims of climate change. Last but not the least, the definition of "Aggrieved Person" provided by the Apex Court in the famous case of Mohiuddin Farooq v. Bangladesh[66] can also pave way for widening the jurisprudence on Climate Change victimhood. Just as the notion of aggrieved person was broadened because the cause espoused in the case was a "cause of an indeterminate number of people in respect of a subject matter of great public concern", analogically, the potential and existing victimization by Climate change stands as a stark reality for the development of Bangladesh.

17 Conclusion by way of recommendation

It is high time that the ever-yearning voices of the victims were heard. If human rights are realized, then the invisible must be made visible and the voiceless must be vested with a voice, the unheard must be made audible. This is the society Tagore always dreamed of. However, Bangladesh as State has a long way to cover before the victims get their human dignity. With that end in mind, we submit the following recommendations for consideration:

1. An autonomous body in pursuance of strong legislation entrusted with authority to identify the potential victims and rightful beneficiaries of climate change is necessary. This body should be responsible for assessing the extent of vulnerability in consequence of climate shocks.

2. Potential victims of climate change should be supported by strong facilitating measures to enhance their capability in the form of Climate fitness vis-à-vis diminishing their Climate weakness.

3. Addressing Exhaustive Risk Assessment procedures, identification of special implementing programmes running special training and educational curriculum on Disaster management, risk mitigation, evaluating level of environmental degradation in the surrounding, the initial measures to be taken post-disaster, increasing accessibility in terms of information, transport, infrastructural measures etc. should be seriously considered.

4. Decentralizing the management of the Climate Change Trust Fund is mandatory. Compensation must reach the victims, and that should be conducted at the local level. There should be a Trust Fund Management Office at every vulnerable site that in turn must be identified. There should be a Vulnerable Site Assessment Team for monthly assessment. A Specific scale must be prepared to assess the level of vulnerability in units of Psychological, physical, material and health factors. Particularly, the economic factors e.g. income, crop harvest, loss of schooling etc. must be accounted.

5. Experience shows that lack of transparency leads to corruption in exhausting the assistance available, resulting in loss of foreign fund disentitlement. The "Climate financing in Bangladesh: Challenge of good governance and way forward" survey by TIB carried within 2011-2013 shows the NGOs appointed for different climate adaptation projects had to give nearly 20 % of project money as bribe to government officials to have their funds released from Bangladesh Climate Change Trust Fund (BCCTF). Right to Information must be utilized to its fullest possibility as a tool for ensuring transparency. The right holders as well as the public in general must enjoy full availability of the information on the govt. run programs.

6. Procedural and legislative loopholes should be eliminated to realize the due compensation from the Victimizers. For example, the climate fund project managed by World Bank should be dealt with right based approach where comprehensive recognition of human rights framework, accountability, and participation would be the key governing principles to run the project.

7. There must be a clear line of demarcation between various preventive and reparatory measures. Compensation and Mitigation/Adaptation measures are not to be interfered with by compensation scheme, rather these measures are to be cumulatively enforced.

For a better world, the tireless striving must stretch its arms towards perfection, knowing fully well that deliverance might be found at the end of the voyage, when one reaches the last limit of power. And so, to give a new turn to a phrase from Aubrey Meyer, one cannot but realize:

"Compensate for the damages we cannot prevent and Prevent the damages for which we cannot afford to compensate."

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